

Annual Report and Accounts



For the year ended 31 March 2012

Together with the Certificate and Report of the Comptroller
and Auditor General for Northern Ireland

ANNUAL REPORT AND ACCOUNTS FOR THE YEAR ENDED 31 MARCH 2012

*Together with the Certificate and Report of the
Comptroller and Auditor General for Northern Ireland*

The Annual Report is laid before the Northern Ireland Assembly by the Department of Justice in accordance with section 61(5)(a) of the Police (Northern Ireland) Act 1998. The Statement of Accounts together with the report of the Comptroller and Auditor General for Northern Ireland are laid before the Assembly in accordance with paragraph 12(2) Schedule 3 to that Act as amended by the Northern Ireland Act 1998 (Devolution of Policing and Justice Functions) Order 2010.

on 4 July 2012

Glossary of Abbreviations

ACU	Area Command Unit
AEP	Attenuated Energy Projectiles
BBA	Broadly by Analogy
C&AG	Comptroller and Auditor General
CARE	Career Average Related Earnings
CETV	Cash Equivalent Transfer Value
CHS	Case Handling System
CPI	Consumer Prices Index
CS Spray	CS Incapacitant Spray
CSP	Civil Service Pensions
DCU	District Command Unit
DFP	Department of Finance and Personnel
DOJ	Department of Justice
DPP	Director of Public Prosecutions
FSNI	Forensic Science Northern Ireland
FReM	Financial Reporting Manual
HET	Historical Enquiries Team
HIA	Head of Internal Audit
IAS	International Accounting Standard
ICO	Initial Complaints Office
IFRS	International Financial Reporting Standard
IPSAS	International Public Sector Accounting Standard
NDPB	Non Departmental Public Body
NICS	Northern Ireland Civil Service
NIO	Northern Ireland Office
NIPB	Northern Ireland Policing Board
NIPSA	Northern Ireland Public Service Alliance
PCSPS(NI)	Principal Civil Service Pension Scheme (Northern Ireland)
PPS	Public Prosecution Service
PSNI	Police Service of Northern Ireland
RPI	Retail Prices Index
RUC	Royal Ulster Constabulary
VAT	Value Added Tax

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Foreword

I am pleased to publish the Annual Report and Accounts for the Office of the Police Ombudsman for Northern Ireland (“the Office”) for the year ended 31 March 2012.

This report provides a comprehensive overview of the work of the Office. It reflects a strong performance in the delivery of an effective police complaints handling system that both the public and the police has confidence in. It also highlights the important contribution the Office continues to make in influencing more effective policing on the ground.

However, this performance has been delivered in the context of a particularly challenging year for the Office. During the year its reputation and credibility became the subject of intense public scrutiny and saw its operational independence, its governance arrangements and its leadership openly questioned. As a result of this criticism, and in particular the criticisms contained in a report by the Criminal Justice Inspectorate, the Police Ombudsman suspended the investigation of historic cases associated with “*The Troubles*”. These investigations remain suspended, except in circumstances where I, as interim Chief Executive, judge that there is a significant operational risk of evidence being lost or compromised and where failure to commence an investigation could undermine the investigation, particularly where there is a parallel police enquiry.

Despite the challenges that have been faced, the confidence of the public in the Office remains high.

The Senior Management team acknowledge that these events have damaged the confidence of some stakeholder groups; a fact clearly demonstrated in falling levels of complainant satisfaction. However, the Office is determined to move forward in a positive fashion and put this difficult year behind it. The process is well underway, all major criticisms levelled at it having been accepted and steps having been taken to correct inadequacies in its governance arrangements and operation processes.

I am confident that the steps that are now being taken, bolstered by the recent announcement that Dr. Michael Maguire will shortly take up the post of the Police Ombudsman, will begin the process of rebuilding complainant satisfaction and public and police confidence in the delivery of an effective and efficient police complaints system across all stakeholder groups.

My time as Interim Chief Executive will come to an end early in the tenure of the new Police Ombudsman. I would like to thank the management and staff for their patience and support in assisting me lead the Office through this difficult period of its history.



Colin Lewis
Interim Chief Executive
 25 June 2012

Report of the Chief Executive

Introduction

I am pleased to report on the business and performance of the Office for this past year. The work of the Office is illustrated in detail in the Review of the Work and Performance of the Office on pages 14 to 42. I also recommend that you visit our website for more detail on our work. www.policeombudsman.org.

Statutory Duties and Background

The Police Ombudsman for Northern Ireland was established under the Police (Northern Ireland) Act 1998. The Office was established on 6 November 2000 by virtue of Statutory Rule 2000 No 399, Police (Northern Ireland) Act 1998 (Commencement) Order (Northern Ireland) 2000. The Office is an executive Non Departmental Public Body (NDPB) of the Department of Justice (DOJ). The Office is not governed by a Board, but is headed by a Police Ombudsman as a Corporation Sole who is appointed by Royal Warrant and normally serves for a period of seven years. The Office of the Police Ombudsman is constituted and operates independently of the Department of Justice, the Northern Ireland Policing Board (NIPB) and the Police Service of Northern Ireland (PSNI). The Office is accountable to the Northern Ireland Assembly and is required to have regard to any guidance given by the DOJ.

The Office complies with the corporate governance and accountability framework arrangements (including *Managing Public Money Northern Ireland*) issued by the Department of Finance and Personnel (DFP) and DOJ.

Corporate Business Planning

The vision, mission, strategic goals, objectives, indicators and targets for the year 2011/12 were set by the Police Ombudsman in consultation with

directors, managers and staff. Progress in relation to 2011/12 targets was reviewed quarterly by all Directorates and steps taken throughout the year to focus effort on those targets requiring attention. Quarterly reports were provided to the Department of Justice Accounting Officer through the Sponsor Division, Policing Policy and Strategy Division. The 2012/13 Corporate Business Plan has been agreed and is available on the Office website at www.policeombudsman.org.

Principal Activities

The Office of the Police Ombudsman for Northern Ireland provides an independent impartial police complaints system for the people and the police of Northern Ireland. It investigates complaints against the Police Service of Northern Ireland, the Belfast Harbour Police, the Larne Harbour Police, the Belfast International Airport Police and the Ministry of Defence Police in Northern Ireland and the Serious and Organised Crime Agency when its staff operates in this jurisdiction. The Office is also responsible for the investigation of criminal allegations made against staff of the UK Borders Agency whilst exercising the powers of constable here in Northern Ireland. The Police Ombudsman investigates complaints about the conduct of police officers and, where appropriate, makes recommendations in respect of criminal, disciplinary and misconduct matters. The Police Ombudsman also investigates matters of public interest, and all matters that he considers to be grave or exceptional that are referred to him, and reports as appropriate. In addition, the Police Ombudsman publishes reports and makes policy recommendations aimed at improving policing within Northern Ireland. He also provides statistical reports for management purposes to the Police Service of Northern Ireland, the Northern Ireland Policing Board and the Department of Justice.

THE POLICE OMBUDSMAN FOR NORTHERN IRELAND IS:

- established by the Police (NI) Act 1998;
- accountable to the Northern Ireland Assembly;
- constituted and operated independently of the Northern Ireland Policing Board (NIPB) and the Chief Constable;
- required to have regard to any guidance given by the Department of Justice;
- an executive non-departmental public body financed by a Grant in Aid from the Department of Justice.

THE POLICE (NI) ACT 1998 DIRECTS THE POLICE OMBUDSMAN TO:

- exercise his powers in the way he thinks best calculated to secure
- the efficiency, effectiveness and independence of the complaints system;
- the confidence of the public and of members of the police force in that system;
- observe all requirements as to confidentiality;
- receive complaints and other referred matters and to decide how to deal with them;
- investigate complaints, referred matters and matters called in for investigation by the Police Ombudsman;
- receive and record policy complaints and refer them to the Chief Constable;
- make recommendations to the Director of Public Prosecutions for criminal prosecution;
- make recommendations and directions in respect of disciplinary action against police officers;
- notify the Department of Justice, NIPB and Chief Constable of the outcome of certain complaints, referred matters and any investigation which the Ombudsman initiates without a complaint;
- report to the Department of Justice annually.

THE POLICE (NI) ACT 2000 DIRECTS THE POLICE OMBUDSMAN TO:

- carry out inquiries as directed by the Department of Justice;
- supply statistical information to the NIPB.

THE POLICE (NI) ACT 2003 DIRECTS THE POLICE OMBUDSMAN TO:

- investigate a current practice or policy of the police if
 - the practice or policy comes to his attention under the Act; and
 - he has reason to believe that it would be in the public interest to investigate the practice or policy.

Progress and Achievement of Objectives and Targets 2011/12

An overview of progress against key targets and indicators as set out in the Annual Business Plan for 2011/12 is set out on page 42.

Further details in respect of the handling of complaints can be found in the Review of the Work and Performance of the Office on pages 14 to 42. The following provides an overview of some of the key statistics contained in that section.

- During the year 2011/12, 3,336 new complaints were registered, approximately the same level that were received last year. The number of allegations contained within these complaints was 5,896, a decrease of 7% from 2010/11.
- 30 matters were referred by the Chief Constable, nine of which related to the discharge of Taser, nine in relation to the discharge of AEP and two in relation to a discharge of firearms.
- 35 reports on matters previously referred were submitted to the NIPB and Chief Constable during the year. Eleven were in relation to discharge of Taser, six in relation to discharge of AEP and five in relation to attempts to pervert the course of justice.
- 3,334 complaints were closed during the year, 7% less than last year but comparable to the number of complaints received.
- The Office closed 6,074 allegations during the year containing 8,877 recommendations. Twenty two percent of recommendations were to close the allegation following complainant non co-operation. A further 41% were not substantiated due to there being insufficient evidence to support the allegation. Five percent of recommendations related to action being taken against police officers involved.
- 908 recommendations were made to the Public Prosecution Service (PPS). Nine criminal charges involving six police officers were recommended including three charges of Intent to Pervert the Course of Justice, two for Misconduct in Public Office and two for Common Assault.
- During the year 493 recommendations were made to the Chief Constable following investigations; 62% of the recommendations were for advice and guidance and 23% for Superintendent's Warning. There were 19 allegations where formal disciplinary proceedings were recommended.
- Disciplinary hearings arising from Police Ombudsman investigations were concluded on six officers, two resigned prior to hearing and two were found not guilty. Two officers initially received either a caution or a fine but these were overturned at a Chief Constable Review.
- 501 complaints were considered suitable for informal resolution but only 300 complainants (60%) agreed to the informal resolution process. 74% of matters dealt with through informal resolution during 2011/12 were successfully resolved.
- Throughout 2011/12, the Office continued to provide detailed management information on police complaints to the PSNI and significant information in relation to trends and patterns of complaints as outlined in this Report was provided to the NIPB and PSNI.
- Complainants were surveyed after the closure of complaints. 52% of respondents were very satisfied or satisfied with the quality of service provided. This was a fall from 59% last year.
- Police officers subject of investigation were also surveyed. Of those who returned satisfaction questionnaires, 73% said they were satisfied or very satisfied with the investigation process. This is consistent with 2010/11.

Executive Management

The Office of the Police Ombudsman for Northern Ireland is supported by me as Interim Chief Executive and a Senior Management Team. The executive management structure at 31 March 2012 was as follows:

Mr C Lewis	Interim Chief Executive
Mr P O'Sullivan	Acting Senior Director of Investigation
Mrs O Laird	Director of Corporate Services
Mr G Mullan	Director of Research and Performance
Mr T Gracey	Director of Information
Mr J Kitson	Director of Legal Services
Mr P Holmes	Director of Investigation
Mr J Smyth	Acting Director of Investigation

The former Police Ombudsman, Mr A Hutchinson ceased operational control with effect from 29 February 2012.

The former Chief Executive, Mr S Pollock resigned with effect from 31 August 2011.

The former Senior Director of Investigation, Mr J Coupland resigned from the Office with effect from 13 October 2011.

Mr C Lewis was appointed as Interim Chief Executive on 30 January 2012.

Mrs O Laird acted as Chief Executive until the appointment of the Interim Chief Executive on 30 January 2012.

Mr P O'Sullivan has acted as Senior Director of Investigation from 1 October 2011.

Mr J Smyth has acted as Director of Investigation since 27 April 2011.

Budget and resources

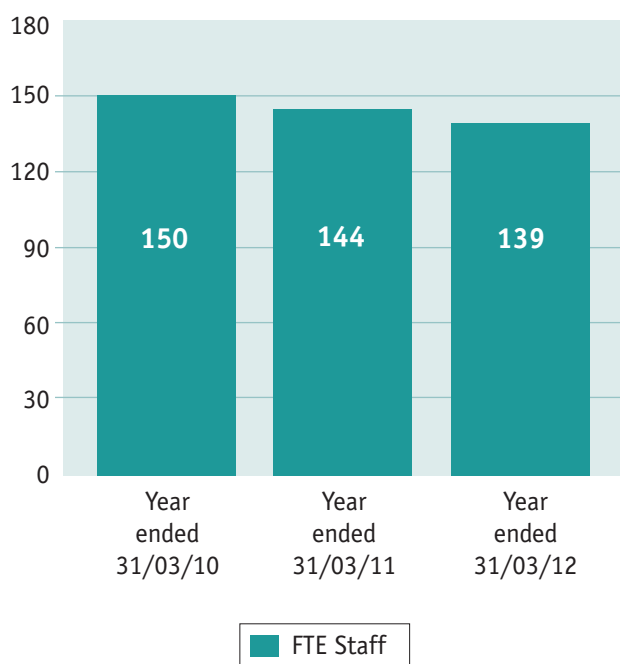
During the course of the financial year, the Office continued to demonstrate sound financial management of the resources made available to it. Of the initial revenue budget allocation of £8,454k, the Office eased £100k back to the DOJ. Expenditure in relation to the re-aligned budget was tightly managed and remained within the target set of 2% within resource at the end of the financial year.

During the course of the year, the Office worked with the Department to seek approval for additional resources for an enlarged Historical Enquiries Team. The approval of this business case was granted by the Department on 15 March 2012 and the Office has initiated processes to resource an enlarged team to undertake this important work.

Staffing

The key resource within the Office is the people it employs. Expenditure on staffing represents the largest area of spend by the Office. The Office is resourced mainly by directly recruited staff, but also by a number of individuals seconded from police services in England and Wales and from Civil Service organisations.

Expenditure on staff was £6,022k in the financial year (£6,090k for 2010/11). During the year to the end of March 2012, the Office staffing level continued to operate within available complement as decisions were taken not to fill on a substantive basis those posts which became vacant. These decisions were taken in order to minimise the risk of redundancy in future years in anticipation of cuts to budgets. An average full time equivalent (FTE) of 139 staff were employed across the year (144 in the year to 31 March 2011). Further information in respect of staff costs can be found on pages 67 to 69 in note 4 to the Notes to the Accounts.

Figure 1 Average FTE Staff in Post by Financial Year

Training and Development

The ongoing training and development of competent staff continues to be viewed as a key priority by the Office. The training delivered during the financial year specifically included Serious Crime Investigative Review and Road Traffic Collision Investigations. In addition, the Office continued with its ongoing commitment to Investigative Interviewing and Accredited Investigation learning and development and also developed an Accredited Complaints officer training programme which will be delivered in 2012-13. Corporate mandatory training was also delivered in respect of performance management, absence management and health and safety. During the course of the year there were 764 individual training interventions delivered.

Investors in People

During the year the Office was successful in retaining its accreditation as an Investor in People further to a review completed in August 2011. The Office of the Police Ombudsman was first recognised as an Investor in People in 2006.

Sickness Absence

During the year the Office implemented a revised sickness absence policy in order to seek to manage more effectively the incidence of sickness absence within the Office, which has been increasing over the past number of years. A corporate target was set of 4% sickness absence for the year. The level of sickness absence for the year ended 31 March 2012 was 3.96% which met the corporate target and represents a decrease in sickness absence which was 4.8% for the year ended 31 March 2011. The level of sickness absence for the Northern Ireland Civil Service (NICS) is reported as 4.7% for the year ended 31 March 2011.

Disabled employees and equal opportunities

It is the policy of the Office to promote equality of opportunity. The Office will provide equal opportunity for all job applicants and employees. All recruitment, promotion and training will be based on a person's ability and job performance and will exclude any consideration of an applicant's/employee's religious beliefs, political opinion, sex, marital status, disability or age.

The Office submitted an annual report on its Equality Scheme to the Equality Commission within the required timescale. In addition, the Office submitted its annual monitoring return under the Fair Employment and Treatment (Northern Ireland) Order 1998. The profile of staff at 1 January 2012 indicates that 44% are male and 56% are female and that 52% are Protestant, 40% are Catholic and 8% are non-determined.

Employee Consultation and Involvement

The Office recognises the importance of good industrial relations and is committed to effective employee communications. Trade Union representation is open to all employees and the Office has an established Joint Negotiating Consultative Committee with formal recognition of two staff unions, NIPSA and Unison.

Health and Safety

The Office is committed to providing for staff and visitors an environment that is, as far as possible, safe and free from risk to health. A standing sub-committee on health and safety operates under the Joint Negotiating Consultative Committee.

Social and Community Issues

The existence of the Office, particularly in the context of Northern Ireland, has centred on building confidence within and between communities in relation to an effective, efficient and accountable police service. Many complaints arise within communities in the context of difficult operational tensions for the police and where perceptions can be polarised and extreme. The administration and investigation of complaints must therefore help resolve misunderstandings and establish more awareness and appreciation of the complexity of policing duties and service to the public.

During the year the Office (in conjunction with the NIPB) produced a research project on the issues faced by people with learning disabilities when dealing with the police and policing organisations. Further information in relation to this research can be found on page 38 of this report.

Assembly Questions

During the year the Office responded through the Department of Justice to 28 Assembly Questions. Eleven of these questions related to the functions of the Office, and 17 were Department wide questions.

The Police Ombudsman also attended the Justice Committee of the Northern Ireland Assembly on 8 September 2011 to respond directly to questions from members of the Committee.

Freedom of Information

Since the introduction of the Freedom of Information Act 2000 in 2005, members of the public, journalists and police officers have used this provision to obtain information. Over the year to 31 March 2012 there have been 122 specific requests for information. There were four Data Protection requests in the same period.

Complaints against the Office

Individuals who are not satisfied with any aspect of the Police Ombudsman's service or actions have a right to make a complaint either verbally or in writing. During the year 23 new complaints were received against staff in respect of the administration of complaints. Of these 16 were from members of the public who were dissatisfied with the outcome of complaints. Seven of the complaints received were from serving or retired police officers in relation to the administration of investigations. In one case it was considered that there were mistakes or weaknesses in processes and an explanation/apology was issued. In four cases, after enquiries were made, the matters were clarified or explanations provided and were resolved through correspondence. In eight cases it was considered that the complaints had no foundation when examined and in a further eight cases that the matter was either repetitive or ill-founded. Three of the complaints received are still current and being considered.

Working with other Police Oversight Bodies

There continues to be ongoing communications and dialogue with the Garda Síochána Ombudsman Commission, the Scottish Police Complaints Commission and the Independent Police Complaints Commission in England and Wales. We seek to work together in building strong accountable oversight mechanisms meeting the needs of our respective jurisdictions. In particular, the four bodies seek to identify opportunities to share learning and the Office has participated in a number of joint training events and continues to work to establish appropriate benchmarking information.

Funding and Financial Accountability

The Office operates under a management framework governed by the Police (Northern Ireland) Act 1998 as amended by the Police (Northern Ireland) Act 2000 and 2003. The Police Ombudsman is financed by a Grant in Aid from the Department of Justice. The allocation from which this funding came is the DOJ Request for Resources A. The Permanent Secretary, who is the Principal Accounting Officer of the Department of Justice, designated me as Interim Chief Executive and Accounting Officer for the Office of the Police Ombudsman for Northern Ireland on 30 January 2012.

Expenditure and Accounts

The statutory authority to incur expenditure is Schedule 3, Paragraph 11 of the Police (Northern Ireland) Act 1998 and these accounts have been prepared in a form directed by the Permanent Secretary of the Department of Justice in accordance with Schedule 3, Paragraph 12 of the Police (Northern Ireland) Act 1998 as amended by the Northern Ireland 1998 (Devolution of Policing and Justice Functions) Order 2010.

Financial Position as at 31 March 2012

The financial position at the end of the financial year is set out in the Statement of Comprehensive Net Expenditure and Statement of Financial Position on pages 56 and 57 respectively. The Office incurred a net expenditure for the year of £8,634,893. The net expenditure for the year ended 31 March 2011 was £8,732,629 (restated).

The Office draws cash resource from the sponsoring Department on the basis of need to pay and not as costs are accrued. Consequently, at the end of the financial year the Office had net current liabilities of £448,157 (£304,630 for the year ended 31 March 2011). The Office continues to be funded through its sponsor Department and the financial statements have been prepared on a going concern basis.

Remuneration and Pensions

Full details of the executive management remuneration and pension interests for the year ended 31 March 2012 are contained in the Remuneration Report on pages 43 to 48. Pensions are provided to staff through the Principal Civil Service Pension Scheme (Northern Ireland). Further details in respect of pensions can be found in the Remuneration Report and on page 63 in Note 1.7 to the Accounts.

Register of Interests

A register of interests is maintained within the Office of the Police Ombudsman for all members of the Senior Management team. No interests were identified which may cause a conflict with management responsibilities.

Risk Management and Register

Within the executive processes of the Office, there is now embedded a Corporate Risk Register in line with HM Treasury guidance. Currently ten high level risks are identified, assessed in terms of likelihood of occurrence and impact and then ranked in terms of risk. The most significant risk attached to the business of the Office remains that of maintaining confidence and credibility in running the police complaints system. The Risk Register is reviewed by Senior Management normally at quarterly intervals, but more frequently where appropriate. Directors consider signs or warning of risks, examine existing controls to reduce or manage risks and if necessary take additional action.

Prompt Payments

The Office's policy is to pay all suppliers within 10 working days following receipt of a properly rendered invoice or in accordance with contractual conditions, whichever is the earlier.

The overall performance for the year to 31 March 2012 was 97.7% (98.1% for the year to the 31 March 2011).

Data Handling

I am required to report personal data related incidents which occurred during the year ended 31 March 2012. Personal data includes any information that links one or more identifiable living person with information about them which if released would put them at significant risk of harm or distress or any source of information about 1,000 or more identifiable individuals, other than information sourced from the public domain. There were no such personal data related incidents during the year ended 31 March 2012 nor in prior years. Information risk is managed within the Office within the context of the risk management framework to which I refer in my Statement on Internal Control.

Environmental Matters

The Office, despite its small scale, is concerned to ensure that it minimises its environmental impact. The Office recycles paper, plastic, cardboard and cans which has reduced by 50% the amount of waste that is disposed of to landfill. Additionally, in monitoring on a monthly basis the use of vehicles in business journeys, managers encourage sharing of cars. This contributes to reductions in emissions as well as efficient use of resources.

Property Plant and Equipment

Assets are valued at cost, adjusted as appropriate to reflect current replacement costs. The leasehold interest in respect of leasehold improvements carried out to New Cathedral Buildings has been capitalised under land and buildings and valued on the basis of existing use value at £550,000 at 31 March 2012 (£690,000 at 31 March 2011). The open market value of the leasehold interest in New Cathedral Buildings has been valued at £nil at 31 March 2012 (£nil at 31 March 2011). Details of the movement of property plant and equipment are set out in Note 6 to the Accounts.

Events after the Reporting Period

Other than as outlined in note 18 to the accounts on page 77, there have been no significant events since the end of the financial year which would affect the results for the year or assets and liabilities at the year end.

Future Developments

As noted above, the 2012/13 Annual Business Plan has been agreed and is available on the Office website at www.policeombudsman.org.

The Office has already faced the challenge of finding savings within its budget for the 2011/12 financial year, however the further impending pressures from Government in relation to public

service funds will be the primary challenge facing the Office over the next three years in respect of the core ongoing business of the Office. Directors are already planning for the implications of further decreasing resources within the core business of the Office set against the backdrop of an enlarged Historic Investigations Directorate.

Auditors

The Financial Statements are audited by the Comptroller and Auditor General (C&AG) who heads the Northern Ireland Audit Office and is appointed by statute and reports to the Northern Ireland Assembly. His certificate and report are produced on pages 54 and 55.

As Accounting Officer I am required to ensure that all relevant audit information is provided to the auditors. I have taken all reasonable steps to make myself aware of any relevant audit information and have ensured that all such information is available to the auditors. I also confirm that there is no relevant audit information about which I am aware that the auditors have not been informed about.

The audit fee for the work performed by the staff of the C&AG during the reporting period was £12,000 which relates solely to the audit of these financial statements. The audit fee for the year ended 31 March 2011 was £12,000.

The C&AG may also undertake other work that is not related to the audit of the Office of the Police Ombudsman's Financial Statements, such as Value for Money reports. No such activity took place during the year.



Colin Lewis
Interim Chief Executive
25 June 2012

Review of the Work and Performance of the Office

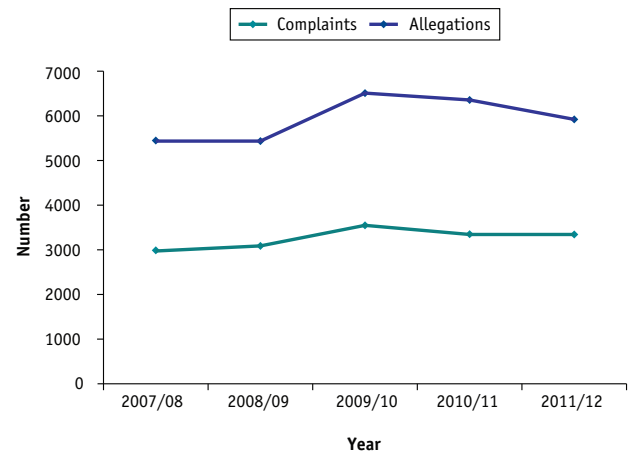
New Complaints and Allegations Received^{1,2,3,4}

In 2011/12 the Office received 3,336 complaints, approximately the same number as was received during 2010/11 (3,334). The volume of allegations received during 2011/12 fell by 7% from 6,326 in 2010/11 to 5,896 in 2011/12.

Table 1: Complaints and Allegations received, 2011/12

Complaints	3336
Allegations	5896

Figure 2: Complaints and allegations received, 2007/08 to 2011/12



COMPLAINTS BY ORGANISATION

Of the 3,336 complaints received by the Office during 2011/12, the vast majority were in relation to PSNI officers. However, there have been a higher number of complaints received against other organisations, particularly Designated Civilians, during 2011/12 when compared with 2010/11.

Table 2: Complaints and allegations received by organisation, 2010/11 to 2011/12

Organisation	Complaints		Allegations	
	2010/11	2011/12	2010/11	2011/12
Police Service of Northern Ireland (PSNI)	3315	3291	6295	5842
Designated Civilian	10	22	13	30
Airport Police	0	2	0	2
Harbour Police	4	2	12	2
Serious and Organised Crime Agency	1	0	1	0
Other / Unknown	4	19	5	20
Total	3334	3336	6326	5896

1 For detailed statistical data, see Appendix 1.

2 Note that percentages may not always add to 100% due to the effects of rounding.

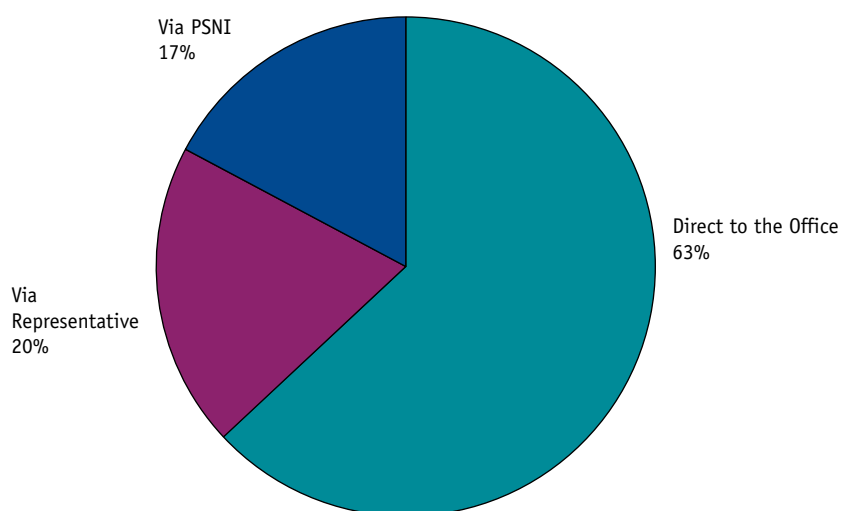
3 It is important to note that the information included hereafter is extracted from the Office's 'live' Case Handling System (CHS) and includes all information input up to 15 April 2012; thus, future figures may be updated and are subject to revision.

4 Unless otherwise stated, the data to follow includes all public complaints and non-complaint matters. Non-complaint matters refer to Ombudsman Call-Ins and incidents referred by the Chief Constable, Policing Board, Minister of Justice or Director of Public Prosecutions.

SOURCES OF COMPLAINTS

Sixty-three percent of complaints received during 2011/12 were made directly to the Office.

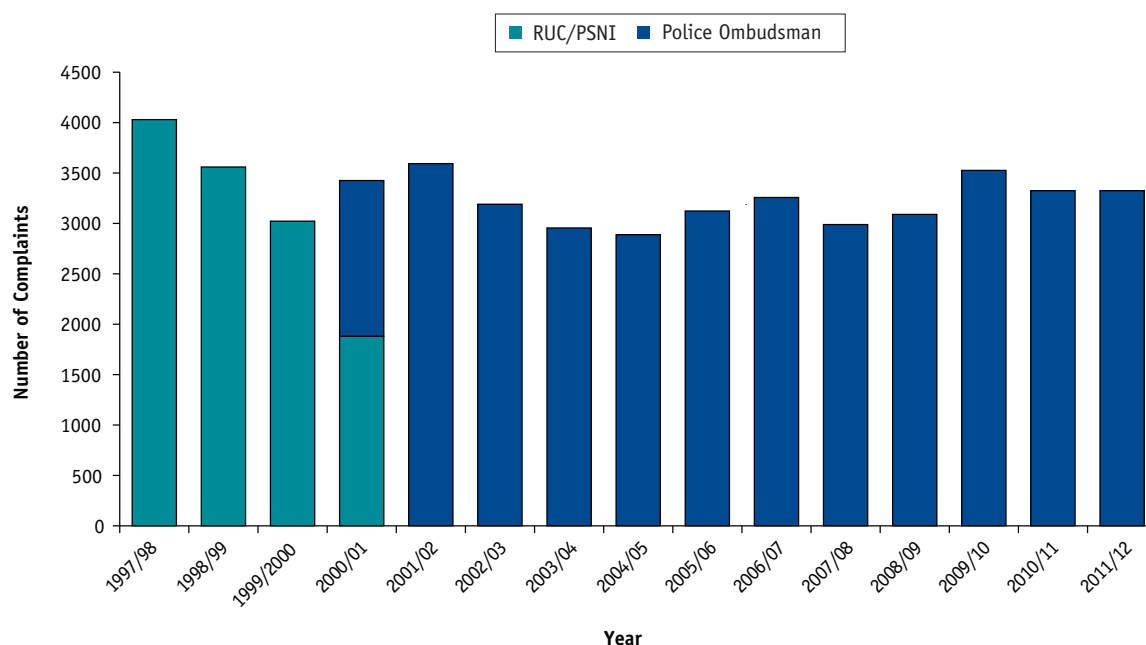
Figure 3: Source of complaints received, 2011/12



TRENDS IN LEVEL OF COMPLAINTS RECEIVED OVER 15 YEARS

The number of complaints received during 2011/12 was the third highest since the Office opened in 2000. There were more complaints received during the years 2001/02 and 2009/10.

Figure 4: Complaints received, 1997/98 - 2011/12



NON COMPLAINT MATTERS

Chief Constable (including Historical Enquiries Team (HET)) Referrals, Director of Public Prosecutions (DPP) Referrals and Police Ombudsman Call-Ins

By virtue of Section 55 of the Police (Northern Ireland) Act 1998 the Police Ombudsman can investigate matters about which no complaint has been made.

Of the 3,336 complaints received during 2011/12, 49 were Section 55 non complaint matters. Thirty-three were matters referred to the Office by the

Chief Constable, of which three were HET referrals. Twelve were matters which the Police Ombudsman decided to investigate in the public interest (Police Ombudsman Call-In). A further four referrals came from the Director of Public Prosecutions.

Table 3: Section 55 matters, 2011/12

Section 55 matters	Number
Chief Constable Referral	30
Police Ombudsman Call-In	12
DPP Referral	4
HET Referral	3
Total	49

Table 4: Underlying factors in Section 55 non-complaint matters, 2011/12

Underlying Factors in Section 55 Non Complaint Matters	Number
Section 55 (Chief Constable Referral)	
Discharge of Taser	9
Failure in Duty	5
Discharge of AEPs	9
Use of excessive force	3
Discharge of firearm	2
Self-inflicted injury to detained person	1
Fatal road traffic accident	1
Sub-Total	30
Section 55 (Police Ombudsman Call In)	
Self-inflicted injury to detained person	2
Death following police contact	2
Failure in Duty	2
Discharge of AEPs (not reported to the Office via Section 55 referral procedure)	1
Discharge of firearm	1
Attempt to pervert the course of justice	1
Police response to report of missing person	1
Threat to life	1
Use of excessive force	1
Sub-Total	12
Section 55 (DPP Referral)	
Attempt to pervert the course of justice	4
Sub-Total	4
Section 55 (HET Referral)	
Matters relating to the conduct of the RUC (1968 - 1998)	3
Sub-Total	3
Total	49

Regulation 20⁵ Reports submitted to the Chief Constable, Department of Justice and Northern Ireland Policing Board

At the conclusion of any investigation of a matter investigated under Section 55 of the Police (Northern Ireland) Act 1998, the Police Ombudsman is required to send a copy of the investigation report (Regulation 20 Report) to the Chief Constable, Department of Justice and Northern Ireland Policing Board. Thirty-five Regulation 20 Reports were issued during 2011/12.

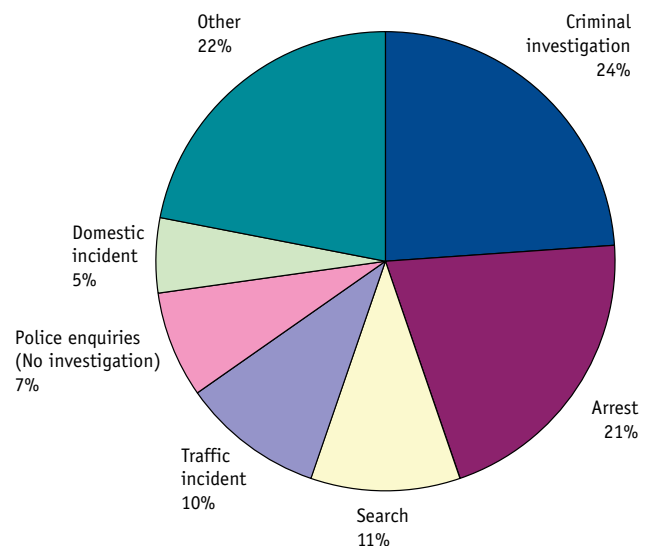
Table 5: Regulation 20 Reports submitted, 2011/12

Section 55 (Regulation 20 Reports) submitted 2011/12	Number
Discharge of Taser	11
Discharge of AEP	6
Attempt to Pervert the Course of Justice	5
Failure in Duty	4
Assault	2
Discharge of CS Spray	1
Fatal Road Traffic Collision	1
Missing Person	1
Death following police contact	1
Traffic Offence	1
Oppressive Behaviour	1
Discharge of firearm	1
Total	35

FACTORS UNDERLYING COMPLAINTS

The Office records details of the factors underlying complaints. As was the case in the past number of years, the manner in which police conducted criminal investigations was the most common specified factor underlying complaints (24%). More than one fifth (21%) involved arrest, whilst searches comprised a further 11%.

Figure 5: Factors underlying complaints, 2011/12



5 Regulation 20 of the Royal Ulster Constabulary (Complaints, etc) Regulations 2000

CASE STUDY

COMPLAINT OF UNLAWFUL ARREST

The complainant was arrested, interviewed, charged and taken to court where he was remanded in custody. Approximately two months later all charges were dropped and the complainant was released from custody. The complainant subsequently contacted the Office of the Police Ombudsman alleging that his arrest and detention had been unlawful.

The complaint was referred to an Investigator who examined all relevant documentation in relation to the matter. Based on the Investigating Officer's review, it was concluded that the arrest and detention of the complainant were justified and the complainant was advised accordingly. No action was recommended against any police officer involved.

NATURE OF ALLEGATIONS

Failure in Duty (35%) accounted for the largest proportion of allegations during 2011/12, followed by allegations of Oppressive Behaviour (33%). Allegations of Incivility made up 10% of those received during 2011/12.

Figure 6: Nature of allegations received, 2010/11 – 2011/12

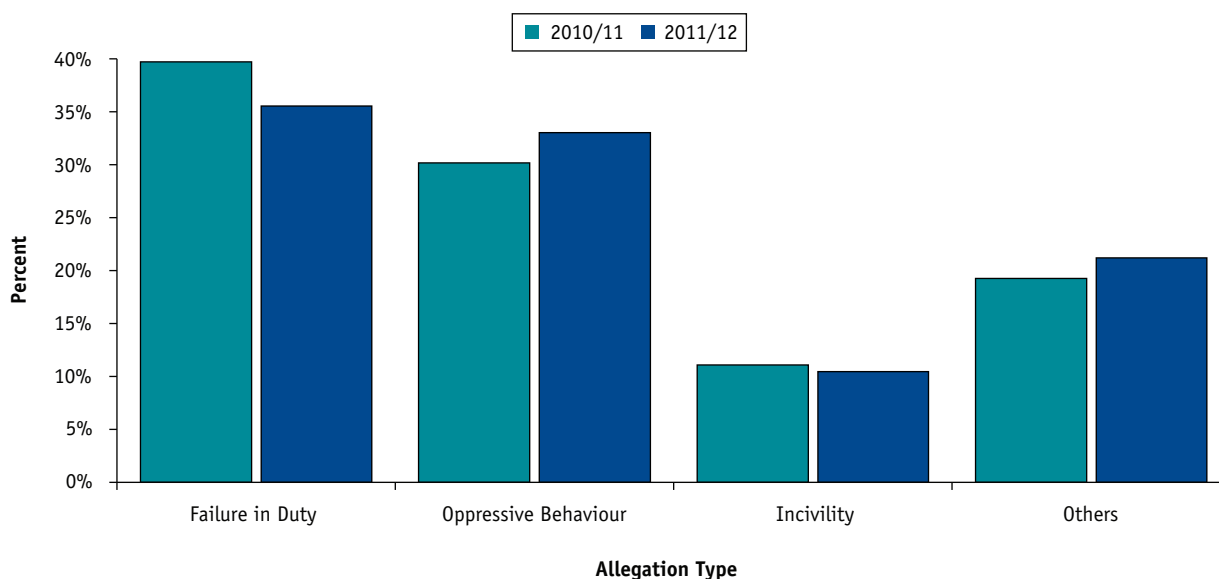


Table 6: Allegations by type and sub-type, 2011/12

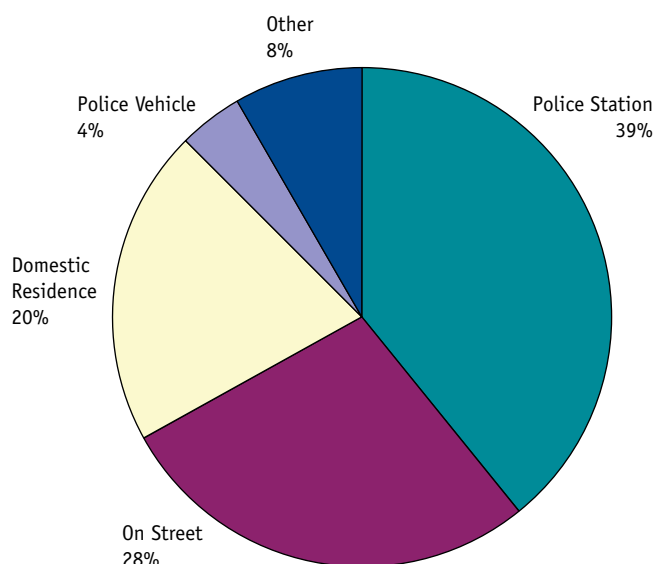
Allegation Type	Allegation Subtype	Number	%
Failure in Duty	Conduct of police investigations	550	9%
	Failure to investigate	299	5%
	Failure to update	168	3%
	Failure to return phone calls and / or reply to correspondence	146	2%
	Detention, treatment and questioning	101	2%
	Improper disclosure of information	99	2%
	Failure / refusal to identify self	45	1%
	Failure to attend appointments / Undue delay in police response	42	1%
	Procedural irregularity	51	1%
	Denied access to medical attention	24	0%
	Failure to provide requested documentation e.g. police reports	19	0%
	Denied access to legal advice	5	0%
	Identification procedures	3	0%
	Other failure in duty	539	9%
	Sub-Total	2091	35%
Oppressive Behaviour	Oppressive conduct (not involving assault)	746	13%
	Harassment (series of like incidents)	243	4%
	Sexual assault	36	1%
	Serious non-sexual assault	33	1%
	Other assault	886	15%
	Sub-Total	1944	33%
Incivility	Incivility at domestic residence	135	2%
	Incivility by officer on the telephone	91	2%
	Incivility at police station	71	1%
	Incivility when stopped for a traffic offence	58	1%
	Incivility to person under 18 years	15	0%
	Other incivility	244	4%
	Sub-Total	614	10%
Search	Irregularity re - search of premises	102	2%
	Irregularity re - stop/search of person	74	1%
	Damage to property	35	1%
	Irregularity re - stop/search of vehicle	30	1%
	Seizure of property	29	0%
	Sub-Total	270	5%

Allegation Type	Allegation Subtype	Number	%
Unlawful/Unnecessary Arrest/Detention	Unlawful/unnecessary arrest/detention	224	4%
	Sub-Total	224	4%
Malpractice	Irregularity re evidence/perjury	91	2%
	Corrupt practice	27	0%
	Sub-Total	118	2%
Mishandling Of Property	Mishandling of property	107	2%
	Sub-Total	107	2%
Discriminatory Behaviour	Sectarian discriminatory behaviour	31	1%
	Racially discriminatory behaviour	31	1%
	Gender discriminatory behaviour (including sexist remarks)	8	0%
	Homophobic discriminatory behaviour	3	0%
	Disability discriminatory behaviour	3	0%
	Other discriminatory behaviour	3	0%
	Other religious discriminatory behaviour	1	0%
	Sub-Total	80	1%
Traffic	Driving of police vehicles	53	1%
	Other traffic irregularity	12	0%
	Sub-Total	65	1%
Section 55 Referral	Chief Constable referral	30	1%
	Police Ombudsman Call-In	12	0%
	DPP referral	4	0%
	Chief Constable HET referral	3	0%
	Sub-Total	49	1%
Other	Police Ombudsman call-in/out NFA	26	0%
	Other allegation	95	2%
	Other – insufficient detail	213	4%
	Sub-Total	334	6%
	Total	5896	100%

ALLEGATION LOCATION

Similar to 2010/11, almost two fifths (39%) of allegations received related to incidents occurring at police stations. A further 28% occurred on a street, whilst 20% arose from incidents occurring at domestic residences.

Figure 7: Location of allegations received, 2011/12



ALLEGATIONS BY DISTRICT COMMAND UNIT (DCU) AND AREA COMMAND UNIT (ACU), 2011/12

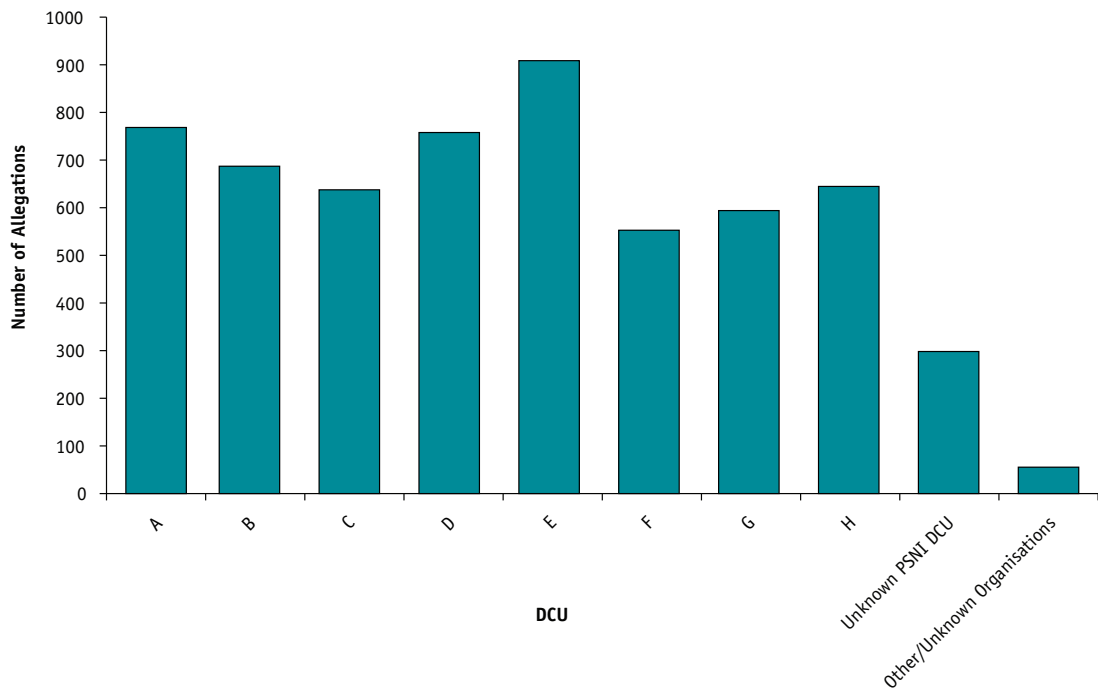
Within the PSNI there are eight District Command Units (DCU) and 29 Area Command Units (ACU) as illustrated in Table 7.

Table 7: The PSNI by DCU and ACU

DCU	ACU				
A	North Belfast	West Belfast			
B	East Belfast	South Belfast			
C	Ards	Castlereagh	Down	North Down	
D	Antrim	Carrickfergus	Lisburn	Newtown-abbey	
E	Armagh	Banbridge	Craigavon	Newry & Mourne	
F	Cookstown	Dungannon & South Tyrone	Fermanagh	Omagh	
G	Foyle	Limavady	Magherafelt	Strabane	
H	Ballymena	Ballymoney	Coleraine	Larne	Moyle

During 2011/12, the largest number of allegations arose from incidents occurring in DCU E with 908 allegations followed by DCU A with 768 allegations. Within the DCUs the largest number of allegations arose from incidents occurring in the South Belfast ACU, with 459 allegations, followed by the North Belfast ACU, with 424 allegations (see Appendix 1, Table 12).

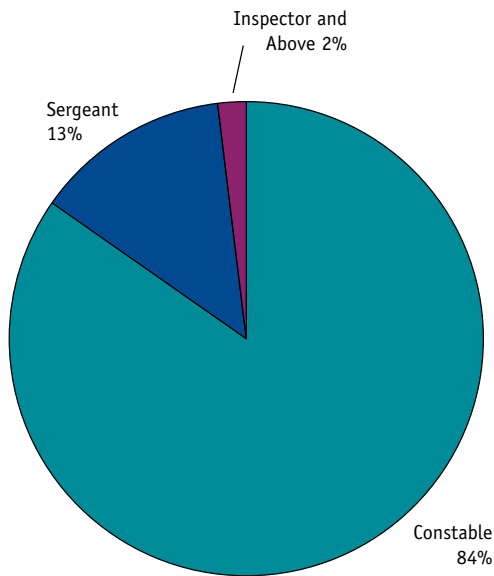
Figure 8: Allegations received by DCU, 2011/12



RANK OF OFFICERS SUBJECT OF COMPLAINTS

The majority of officers who attracted complaints were constables.

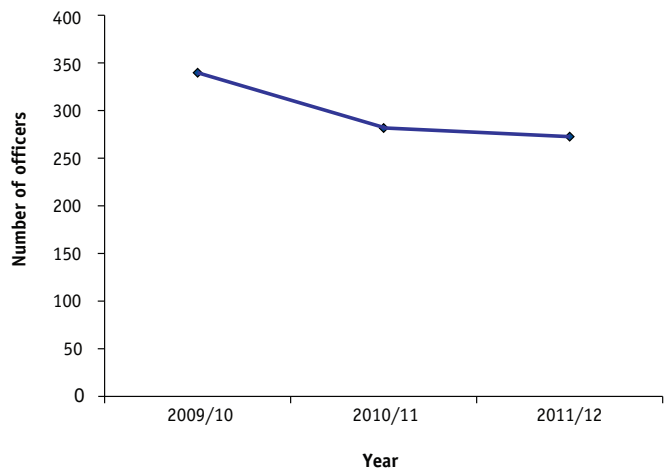
Figure 9: Rank of officers complained about, 2011/12



OFFICERS WITH MULTIPLE COMPLAINTS*

Two hundred and sixty-four police officers attracted three or more complaints during 2011/12. The overall number of officers attracting three or more complaints has decreased over the last three years.

Figure 10: Number of police officers attracting 3 or more complaints, 2009/10 - 2011/12



* For confidentiality purposes, this does not include officers above the rank of Inspector.

PROCESSING OF NEW COMPLAINTS

When a complaint is made to the Office of the Police Ombudsman, it is normally received by the Initial Complaints Office (ICO) for preliminary assessment. The ICO can close complaints which are not suitable for formal investigation, for example, those which fall outside of the Office's remit. The ICO also processes less serious complaints which are deemed suitable for Informal Resolution or, in DCU D only, Local Resolution. Where a complaint is to be fully investigated, it is passed to an Investigation Team. An Investigating Officer is appointed to deal with the complaint and when all enquiries have been completed and relevant reports submitted and finalised, the Investigating Officer closes each of the allegations with one or more recommendations.

Of the 3,336 complaints received by the Office during 2011/12, 1,777 (53%) were referred for formal investigation whilst the remaining 1,559 (47%) were dealt with or, at the time of reporting were being considered, by the ICO. It is expected that the number of complaints received within the year which are referred to investigations will increase as preliminary enquiries within the ICO continue.

COMPLAINTS AND ALLEGATIONS CLOSED

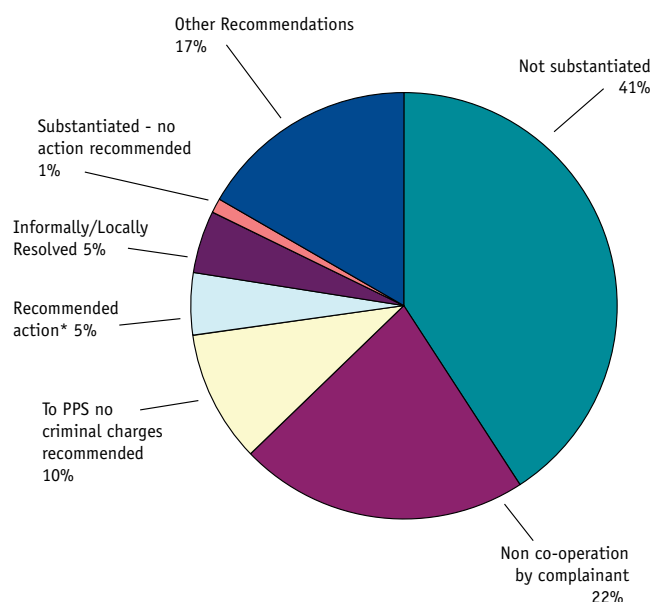
The number of complaints closed during 2011/12 was 3,334, 7% less than 2010/11 (3,592).

RECOMMENDATIONS ARISING FROM ALLEGATIONS CLOSED

When the investigation of an allegation is complete a recommendation for allegation closure is made. It should be noted that one allegation may have more than one associated recommendation, for example, when there are a number of police officers linked to an allegation.

The Office made 8,877 recommendations on allegations which were closed during 2011/12. The largest proportion of these recommendations were for closure as not substantiated (41%) due to insufficient evidence to support the allegation. A further 22% were for closure following non co-operation by the complainant.

Figure 11: Recommendations arising from allegations closed, 2011/12



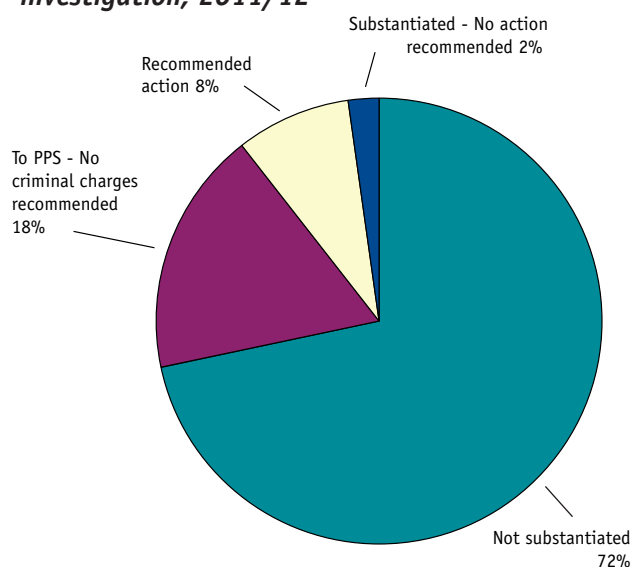
*Includes action such as Criminal Charges, Misconduct Charges, Superintendent's Written Warning, Advice and Guidance.

RECOMMENDATIONS FOLLOWING INVESTIGATION

Not all complaints and allegations received by the Office undergo a full investigation. A complaint may be withdrawn; a complainant may fail to co-operate with the investigation or the matter may be informally or locally resolved.

Of the recommendations made by the Office on allegations closed during 2011/12 which had undergone a full investigation, 72% were not substantiated due to insufficient evidence. Eight percent recommended that action be taken against the officers concerned.

Figure 12: Recommendations following investigation, 2011/12



CASE STUDY POLICE OFFICER DISCHARGES TASER

Uniformed police officers attended an address following receipt of information that a male on the premises had a knife in his possession and was self-harming. Upon arrival, officers observed the male in the living room of the house. He was in an agitated state and was swinging the knife he was holding.

Armed Response Officers were tasked to attend the scene and upon arrival succeeded in removing a second person from the premises. A Response Officer also spoke to the male involved, in an attempt to resolve the situation whilst awaiting the arrival of a trained negotiator whose services had been requested. The male responded by slamming shut the front door of the house, entering the living room and proceeding to begin cutting at his wrists. Due to the threat to life, police officers in attendance forced entry to the property and went into the living room, whereupon the male stood up and confronted police. When the male ignored warnings to drop the knife, a Taser was used and this action proved effective in incapacitating him.

Upon arrival of Police Ombudsman Investigators a short time later, the scene was preserved and a preliminary 'in situ' examination conducted. All available evidence subsequently gathered by Investigators, including that from witnesses and police officers at the scene, indicated that the male concerned posed a serious threat to his own life and the lives of police, and that his behaviour was highly agitated and unpredictable throughout.

It was the view of Police Ombudsman Investigators that the actions of police during the incident were graduated and proportionate to the circumstances. Investigators were also satisfied that police service guidelines and procedures were adhered to, that all decisions made were authorised and that throughout the incident the health and well-being of the male involved and police officers at the scene was considered and preserved. It was concluded that police handled the incident in a professional manner and that the use of the Taser was justified in the circumstances. No disciplinary or criminal action was recommended against any police officer.

RECOMMENDATIONS MADE TO THE PUBLIC PROSECUTION SERVICE (PPS)

At the conclusion of an investigation conducted by the Office, the Police Ombudsman will consider whether the investigation report indicates that a criminal offence may have been committed by any police officer. If it is determined that the report indicates that a criminal offence may have been committed by an officer the Ombudsman will send a copy of the report to the PPS together with such recommendations as the Ombudsman considers appropriate.

During 2011/12 the Office made 908 recommendations to the PPS in respect of ongoing and closed investigations. Nine criminal charges, involving six police officers, were recommended during 2011/12.

Table 8: Recommendations to the PPS, 2011/12

	Number
Recommendations for no prosecution	902
Recommendations for prosecution	6

Table 9: Nature of charges recommended to the PPS, 2011/12

Nature of charges	Number
Intent to pervert the course of Public Justice	3
Common Assault	2
Misconduct in a Public Office	2
Careless Driving	1
Fabrication of False Evidence	1
Total	9

CASE STUDY OFFICER DISCIPLINED

Following an assault the injured party reported the matter to the police whereupon an officer was appointed to investigate the incident. A number of weeks later the injured person contacted the Office alleging that police had not properly investigated the assault and had failed to keep pre-arranged appointments. The Police Ombudsman's Investigator interviewed all parties concerned and reviewed evidential documentation. The Investigator concluded that the PSNI officer complained of had failed in his duty to expeditiously record statements from the complainant, despite being directed to do so as a matter of urgency by a supervisory officer.

The Police Ombudsman's Investigator recommended that the police officer concerned be disciplined in relation to the delay in the recording of statements and be reminded of the importance of completing prompt and efficient investigations. This recommendation was accepted by the PSNI and duly administered.

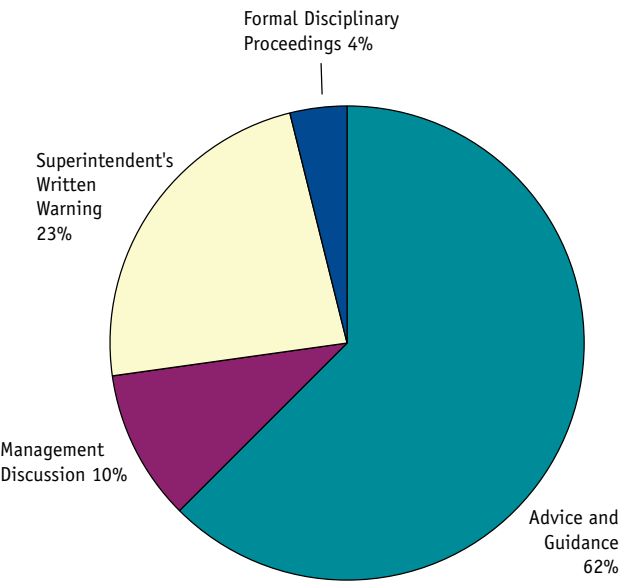
RECOMMENDATIONS TO THE CHIEF CONSTABLE

Where the PPS has dealt with the issue of criminal proceedings, or where the Ombudsman determines that an investigation report does not indicate that a criminal offence may have been committed by a police officer, the Ombudsman will send the Chief Constable, or appropriate disciplinary authority, a memorandum containing his recommendation as to whether or not disciplinary action should be taken in respect of the conduct which has been the subject of investigation.

During 2011/12 the Office made 493 recommendations to the Chief Constable relating to individual police officers in respect of ongoing and closed investigations. Sixty-two percent of recommendations were for Advice and Guidance and 23% recommended that the officer concerned receive a Superintendent’s Written Warning.

Four percent of recommendations were for disciplinary proceedings. These involved six police officers and 19 allegations.

Figure 13: Recommendations made to the Chief Constable, 2011/12



During 2011/12, seven misconduct charges, arising from Police Ombudsman investigations, involving six officers, were heard at PSNI disciplinary hearings.

Table 10: Formal Misconduct Charges, arising from disciplinary hearings, 2011/12

Nature of misconduct charges	Number of Officers Involved	Number of Charges Involved	Sanction
Professional Duty	1	2	2 x Resigned prior to hearing
Equality	2	2	Resigned prior to hearing Fined*
Detained Persons	1	1	Not guilty
Integrity	1	1	Caution*
Use of Force	1	1	Not guilty
Total	6	7	

* Finding overturned at Chief Constable’s Review to Not Guilty
Source: PSNI Professional Standards Department

INFORMAL RESOLUTION

Cases referred to PSNI for Informal Resolution

Of the 3,336 complaints received during 2011/12, 15% were deemed suitable for Informal Resolution. When contacted by the Office, 300 (60%) of those complainants agreed to engage in the Informal Resolution process, which involves a senior police officer speaking to both the officer(s) involved and the complainant with a view to reaching satisfactory resolution of the complaint. The remaining 201 (40%) complainants declined the offer to participate in the Informal Resolution process.

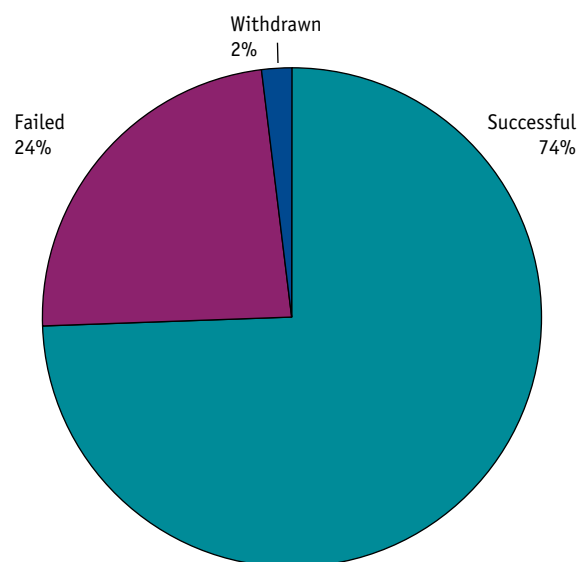
Table 11: Consent levels for complaints suitable for Informal Resolution, 2011/12

	Number
Number of complaints/referrals	3336
Complaints suitable for IR	501
Complaints with consent given	300
Successful	162
Failed	54
Ongoing	59
Withdrawn	7
Outside Remit	7
Unsuitable	11
Complaints with consent not given	201
Declined	79
No response	94
Withdrawn	7
Further Enquiries	21
Total	501

Outcomes of complaints referred for Informal Resolution

During 2011/12, 200 complaints were successfully informally resolved. These included a number of complaints received during previous reporting years. In 64 complaints, the Informal Resolution process failed and these matters were referred for formal investigation. Five complaints were withdrawn during the Informal Resolution process.

Figure 14: Outcomes of Informal Resolution, 2011/12



CASE STUDY

SUCCESSFUL INFORMAL RESOLUTION

In a letter received by the Office, a firm of solicitors alleged that property owned by their client had not been returned by police, despite numerous requests. The Office took the view that rather than initiating a full investigation into the complaint, it would be more appropriate to attempt to resolve the matter by way of Informal Resolution. The solicitors concerned liaised with their client who agreed with this course of action. Details were duly forwarded to police, who appointed a senior officer (Appointed Member) to look into the matter. The Appointed Member met the complainant and it was agreed that, should there be no need for police to retain his property, it would be returned.

Following enquiries it was accepted by police that the complainant's property should have been returned to him and arrangements were made for this to be done. When the Appointed Member subsequently spoke to the complainant following the return of his property, the complainant confirmed that he was satisfied that his complaint had been successfully resolved. The matter was subsequently closed by the Office and the complainant advised accordingly.

Successful Resolutions

Ninety-six (48%) complaints were successfully resolved when either the complainant stated that they would be satisfied if constructive advice was given to the officer complained about or that the action proposed by the PSNI Appointed Member was accepted. Having the complaint brought to the attention of the officer(s) complained about led to the successful resolution of a further 21% of complaints. Expressions of regret on behalf of the officer concerned, and face to face interaction between the complainant and the officer resulted in successful Informal Resolution in a small percentage of cases.

Table 12: Outcomes of successful resolutions, 2011/12

Outcomes of successful resolutions	Number	%
Action taken accepted	51	26%
Constructive advice	45	23%
Brought to attention of officer(s)	41	21%
Apology from officer	23	12%
Apology on behalf of PSNI	16	8%
Face to face meeting with officer	10	5%
Explanation accepted	8	4%
Expression of regret	3	2%
Accept nothing further could be done	2	1%
Brought to attention of senior officer(s)	1	1%
Total	200	100%

LOCAL RESOLUTION

Local Resolution was piloted in DCU D (Antrim, Carrickfergus, Newtownabbey and Lisburn) from June to November 2010. Local Resolution gave back the responsibility of dealing with less serious complaints to first line managers in the PSNI whilst the Office maintained a monitoring role. Following

the success of the pilot project in DCU D, the Police Ombudsman, in agreement with PSNI Senior Management and the DCU Commander, decided to continue with Local Resolution in DCU D.

Four hundred and forty-eight complaints were received in DCU D during 2011/12. Forty-four of these complaints were deemed suitable for Local Resolution and of these, 29 have since been successfully Locally Resolved.

RECOMMENDATIONS MADE BY THE OFFICE FOR IMPROVEMENTS IN POLICE POLICY AND PRACTICE

During the 2011/12 reporting year, the Office made 62 recommendations to the police in respect of improving police policy and practice. Examples of such recommendations are as follows:

- That PSNI guidelines on the Operational Use of Taser be amended to specify that any decision by a Custody Officer to reduce the level of cell supervision must be recorded in detail in the custody record and account for consideration being given to the risk factors identified in the PSNI Taser Procedure.
- That Custody Officers and Civilian Detention Officers should receive training and guidance in the level of cell supervision appropriate to detainees that have been subjected to a Taser discharge.
- That when police officers receive an allegation of harassment, a warning should normally be administered to the alleged harasser to make them aware that if the kind of behaviour described were to continue, they would be liable to arrest and prosecution.
- That a review is carried out in respect of the accountability of interview tapes and PACE 25s⁶ that are held in non-designated police stations.

6 Tape Recording Forms which include details of those present at the interview, the interview duration and the tape number(s).

- That movements of detained persons should be accurately recorded in custody records, including details of the identities of the police officers involved and the timing of such movements.
- That buzzers in consultation rooms within police stations be installed to alert custody staff when persons enter or leave the rooms.
- That the PSNI reviews its procedures regarding the recording of property at police stations to ensure that there is a full audit trail of where an item is during any given time within two specific police stations.
- That PSNI review its current policies and procedures in relation to the removal of legally held weapons and, in particular, that relevant associated risk assessments are considered.
- That officers operating in two specific DCUs should receive additional training at DCU level with regard to the 'Procedures' as stated in Section 7 of Policy Directive 09/08 "Police Response to Domestic Incidents", and on collating information to prosecute offenders.
- That each police Tactical Support Group (TSG) should have its own evidence gathering capability so that evidence can be captured immediately they are deployed.
- That PSNI consider deploying AEP gunners with body worn cameras or cameras mounted on the AEP launcher. This will have the benefit of improving accountability and the evidence gathering capabilities of the PSNI.
- That Investigating Officer requests for bail checks should have a fixed time period for review to avoid bail checks occurring more often than requested and that all requests be recorded in NICHE to show an audit trail.
- That, where possible, lockers be placed outside Custody Suites to allow officers to safely and securely store their firearms prior to entering the suites.

The performance measure that the Office has historically adopted to demonstrate its effectiveness in improving PSNI policy and practice

has been confined to confirmation by PSNI that the recommendations made have been accepted and implemented. Whilst this is welcomed as a validation of the work of the Office it fails to provide evidence of improvements having actually occurred on the ground. To address this situation the Office, working closely with the Policing Board and the PSNI, proposes during the 2012/13 reporting year to develop a strategy to evaluate the impact of recommendations made by the Office in respect of police policy and practice.

CASE STUDY POLICY RECOMMENDATION

During a telephone call to the Office, a member of the public stated that police had seized equipment belonging to him following an alleged offence having been reported by a third party. The caller went on to complain that police had taken a disproportionately lengthy period to investigate the matter and had failed to keep him updated on the progress.

Following a thorough investigation, the Police Ombudsman concluded that the investigation into the matter had been disproportionately long and that during this period the complainant had not been adequately updated.

Whilst the Ombudsman took the view that no disciplinary action should be taken against any police officer involved, he recommended to PSNI that consideration be given to developing a policy relating to the updating of suspects during protracted investigations or in circumstances where there has been a lengthy delay.

In response, the PSNI advised that the recommendation had been forwarded to its Criminal Justice section which would consider it as part of a wider piece of work being undertaken. The Office is awaiting developments in relation to this issue.

EQUALITY MONITORING

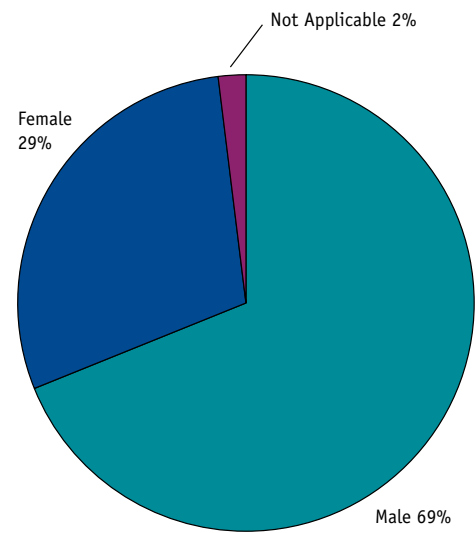
A number of complainant characteristics are monitored as a means of fulfilling the obligations laid upon the Office by Section 75 of the Northern Ireland Act 1998. Most of the information collected is extracted from monitoring forms issued to all complainants once they have made a complaint. Six hundred and fifty nine monitoring forms were returned, representing a 20% sample.

Gender

The gender of the complainant is not applicable in 2% of complaints, for example in Police Ombudsman Call-Ins or Chief Constable Referrals. As well as being taken from monitoring forms, gender is also inferred from complainants’ titles or salutations.

In 2011/12, 69% of complainants were male (70% in 2010/11) and 29% were female (29% in 2010/11).

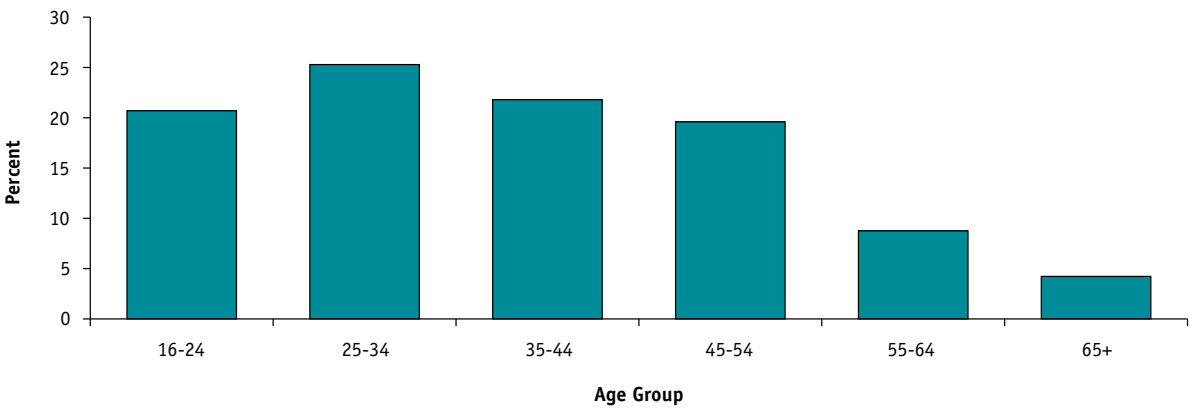
Figure 15: Gender of complainants, 2011/12



Age

In addition to information provided on Equality Monitoring forms, the age of complainants can be determined from date of birth. Of the 2,151 complainants whose age was known, 25% fell within the 25-34 age group, an increase of three percentage points from 2010/11. The percentage of complainants aged 16-24 is 21%, a decrease of five percentage points from 2010/11.

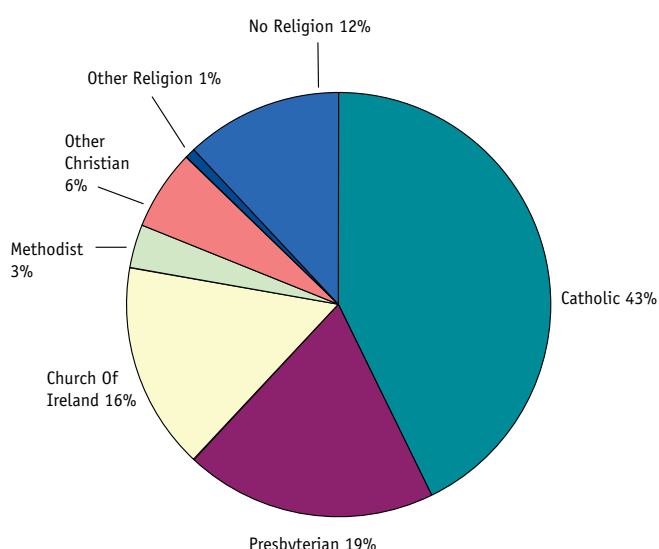
Figure 16: Age of complainants, 2011/12



Religious Belief

Of the 651 complainants who provided information about their religious belief, 43% were Catholic (40% in 2010/11), and 38% were of Presbyterian, Church of Ireland or Methodist faiths (39% in 2010/11). Nineteen percent of respondents had an 'other christian', 'other religion' or 'no religion' (21% in 2010/11).

Figure 17: Religious belief of complainants, 2011/12



Employment Status

Forty-two percent of the 637 respondents who provided information on their employment status were working full or part-time or were self-employed, whilst 37% of respondents were unemployed or not working because they were permanently sick.

Marital Status

The largest proportion of complainants (41%) who provided information on their marital status were single. Thirty-seven percent were either married, co-habiting or in civil partnership, while 18% were either separated or divorced. The remaining 4% of complainants had been widowed.

Figure 18: Marital status of complainants, 2011/12

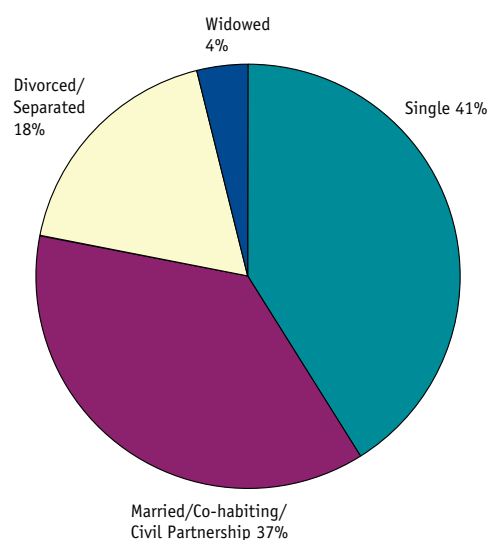
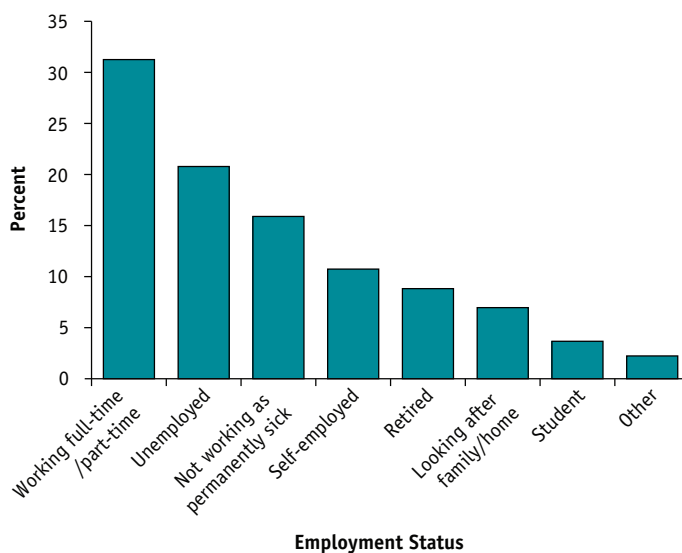


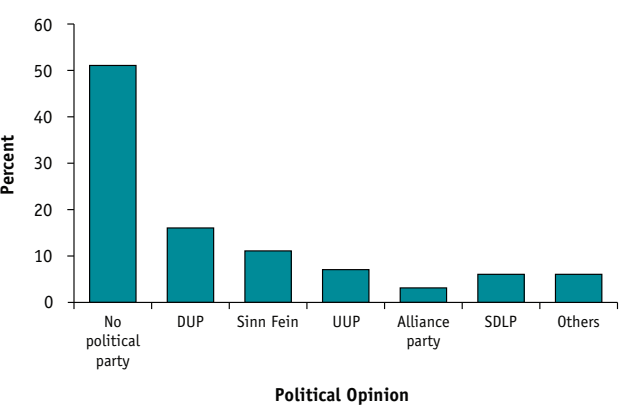
Figure 19: Employment status of complainants, 2011/12



Political Opinion

Of the 501 complainants who provided information about their political opinion, 3% supported the Alliance Party, 16% the Democratic Unionist Party (DUP), 6% the Social Democratic and Labour Party (SDLP), 11% Sinn Fein, 7% the Ulster Unionist Party (UUP) and 6% supported an ‘other’ political party. Fifty-one percent of complainants who provided information reported that they supported no political party.

Figure 20: Political opinion of complainants, 2011/12



PUBLIC ATTITUDES TO THE OFFICE OF THE POLICE OMBUDSMAN

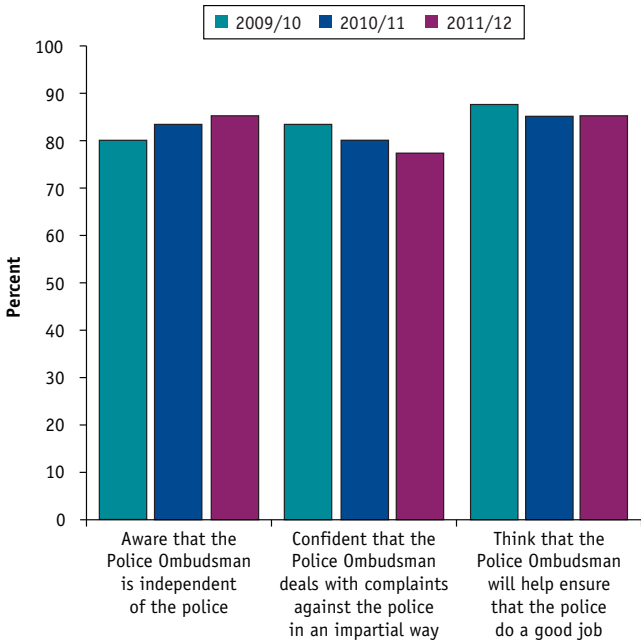
The Northern Ireland Statistics and Research Agency (NISRA) collected data for this independent report. Interviews took place during January and February 2012. Over 1,100 persons aged 16 and over participated in the survey.

Awareness of the Police Ombudsman

Eighty-five percent of respondents had heard of the Police Ombudsman. This level of awareness is similar to the level reported in 2010/11.

A higher proportion of men (89%) than women (81%) had heard of the Police Ombudsman. Respondents aged 25 or under showed lower levels of awareness of the Police Ombudsman than older age groups. Awareness was similar among Catholic and Protestant respondents.

Figure 21: Public attitudes to the Office, 2009/10 - 2011/12



Awareness of independence of the Police Ombudsman

Eighty-five percent of respondents who had heard of the Police Ombudsman thought the Office was independent of the police and 12% thought that the Police Ombudsman was part of the police. This level of awareness of independence is similar to the level reported in 2010/11.

Men and women were equally likely to think that the Police Ombudsman was independent of the police. Younger respondents were less likely

than older respondents to think that the Police Ombudsman was independent of the police. Protestant respondents (87%) were more likely than Catholic respondents (82%) to think that the Police Ombudsman was independent of the police.

Impartiality of investigation

Seventy-seven percent of respondents who were aware of the Police Ombudsman were confident that the Police Ombudsman for Northern Ireland deals with complaints against the police in an impartial way. This level is similar to the level reported in 2010/11.

Women (81%) were more likely than men (72%) to be confident that the Police Ombudsman deals with complaints against the police in an impartial way. Younger respondents showed similar levels of confidence to older respondents that complaints were dealt with impartially. Protestant respondents (81%) were more likely than Catholic respondents (70%) to think that the Police Ombudsman deals with complaints against the police in an impartial way.

Effect of Police Ombudsman on Policing

Respondents who were aware of the Police Ombudsman were asked about the effect of the Police Ombudsman on policing. Eighty-five percent of respondents thought that the Police Ombudsman would help ensure that the police do a good job. This proportion is similar to 2010/11.

Women (88%) were more likely than men (83%) to hold this view. Generally young respondents were as likely as older respondents to feel that the Police Ombudsman would help ensure that the police do a good job. Catholics and Protestants were also equally likely to think that the Police Ombudsman would help ensure that the police do a good job.

Fairness of treatment

Eighty-three percent of respondents thought that they would be treated fairly if they made a complaint against the police. This proportion is similar to 2010/11.

Men and women were equally likely to think that they would be treated fairly if they made a complaint against the police. Respondents aged 25 or under were less likely to feel that they would be treated fairly compared with older respondents. Eighty-seven percent of Protestants felt that they would be treated fairly compared with 78% of Catholics.

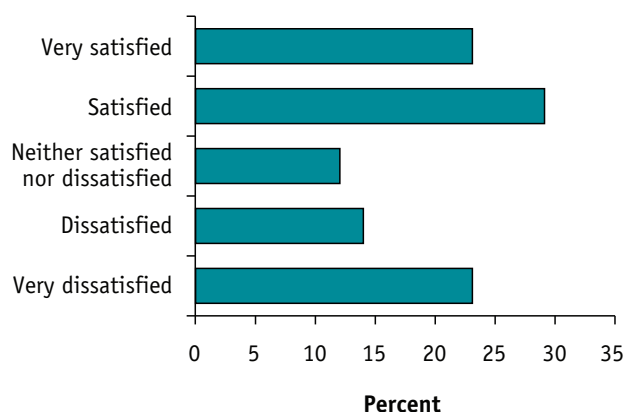
COMPLAINANT SATISFACTION

A complainant satisfaction questionnaire was issued to 2,929 complainants during 2011/12 following closure of their complaints. Respondents were presented with 24 questions, 13 of which required yes/no answers, nine required answers on a scale very satisfied to very dissatisfied, and two were open ended questions. Follow-up telephone calls were made to complainants whose complaints had been closed during November, December, January and February and had not returned a questionnaire. These complainants were asked three key questions relating to fair treatment, overall satisfaction and whether they would use the system again. Overall, 501 survey responses were received, which represents a response rate of 17%.

Overall satisfaction with service

Fifty-two percent of respondents, taking everything into account, were satisfied or very satisfied with the service they received. This level of satisfaction has fallen from 2010/11 (59%).

Figure 22: Overall complainant satisfaction with the service provided by the Office, 2011/12



“Take more time to investigate and be ready to listen to the public.”

(Complainant)

“I feel satisfied with the service I received.”

(Complainant)

“Certainly on this occasion, the Ombudsman’s Office were excellent, truly professional and certainly listened with due concern. Good job.”

(Complainant)

When complainants were asked if they would use the complaints system again, 64% reported that they would. This level is similar to the level reported in 2010/11 (69%). Sixty-seven percent of complainants felt that they were treated fairly by the Police Ombudsman’s Office. This level is similar to the level reported in 2010/11 (70%).

“I felt my case was dealt with very fairly and I was as satisfied as I could be with the overall outcome.”

(Complainant)

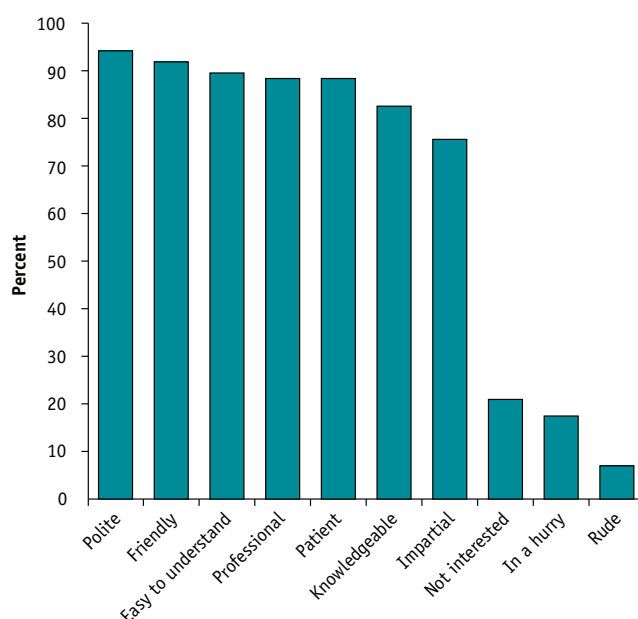
“Become more approachable and understandable.”

(Complainant)

Complainant perception of Police Ombudsman staff

The majority of respondents said that they had spoken to a member of staff (87%). These respondents were asked how staff seemed to them in relation to a number of positive and negative characteristics. The majority of respondents had a positive view of staff with over nine out of ten saying that they thought staff members were polite or friendly.

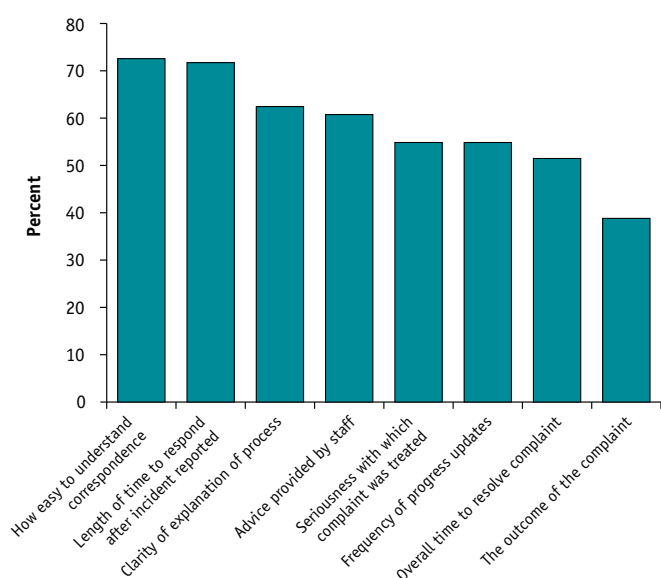
Figure 23: Complainant perception of Ombudsman staff, 2011/12



Complainant satisfaction with complaints process

The complainants were also asked to comment on how satisfied or dissatisfied they were with other aspects of the complaints process. Respondents were most likely to be satisfied with how easy letters were to understand and the length of time the Office took to respond after an incident was reported. Respondents were least likely to be satisfied with the outcome of their complaint.

Figure 24: Complainant satisfaction with aspects of the complaints process, 2011/12



“Improve the length of time to resolve matters.”

(Complainant)

“Feedback to the complainant.”

(Complainant)

“I have been satisfied with all you have done for me, thank you.”

(Complainant)

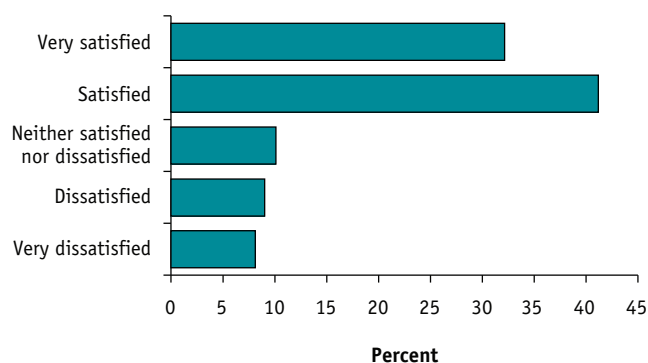
POLICE OFFICER SATISFACTION WITH INVESTIGATIONS

The Office of the Police Ombudsman for Northern Ireland issues satisfaction forms to all police officers who have been subject to formal investigation. During 2011/12, a total of 2,292 forms were issued to police officers and 391 were returned. This represents a response rate of 17%.

Overall police officer satisfaction with service

Of those police officers subject to a formal investigation, 73% were satisfied or very satisfied with the overall service they received. This is similar to 2010/11 level.

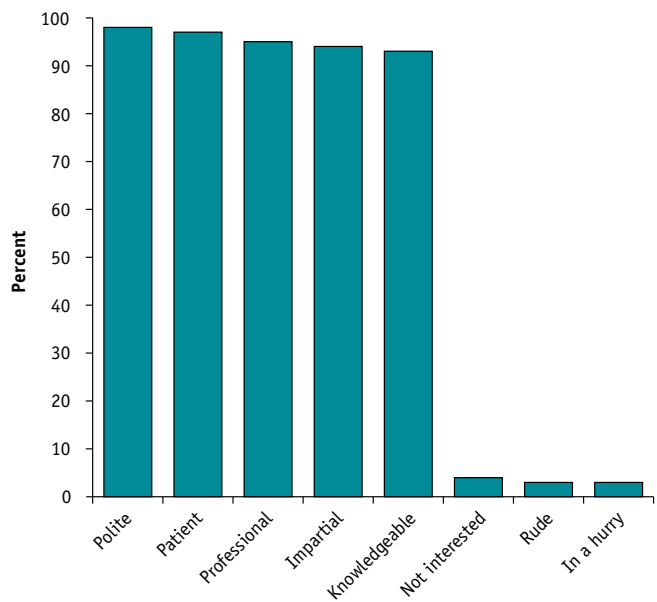
Figure 25: Police officer satisfaction with the service provided by the Office, 2011/12



Police officer perception of Police Ombudsman Investigation Staff

The majority of officers who had spoken to a member of staff had positive views of staff with over nine out of ten officers saying that they thought staff were polite, patient, professional, impartial or knowledgeable. A minority of officers had negative views of staff, with less than five percent saying that staff were not interested, rude or were in a hurry.

Figure 26: Police officer perception of Ombudsman Investigation Staff, 2011/12



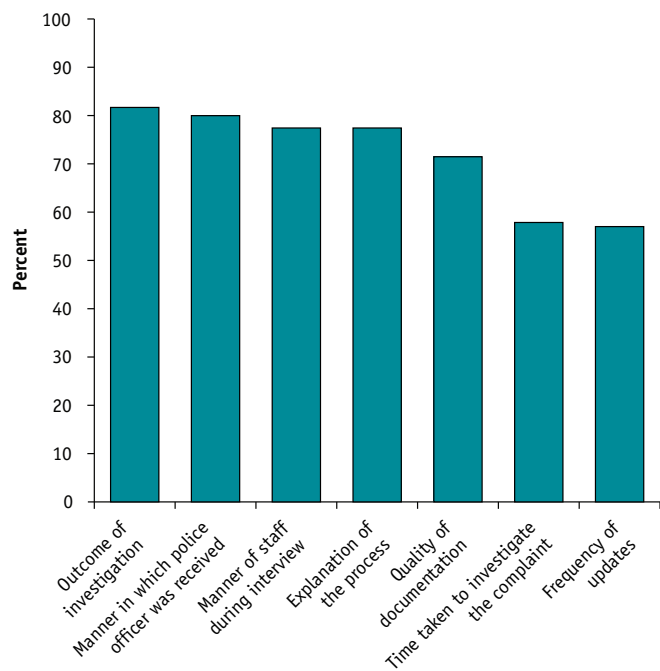
“I am satisfied it is an impartial Office.”
(Police officer)

“I have dealt with the Office a number of times and have yet to find any problems/issues.”
(Police officer)

Police officer satisfaction with the investigation process

Police officers subject to a formal investigation were asked to rate how satisfied or dissatisfied they were with individual aspects of the investigation process. Over 70% of respondents were satisfied with most aspects of the service provided. Respondents were less likely to be satisfied with the time taken to investigate the complaint and with the frequency of updates given.

Figure 27: Police officer satisfaction with investigation process, 2011/12

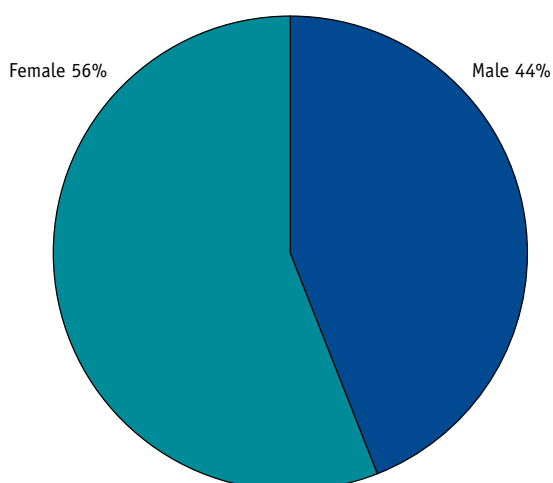


“If I had been updated more frequently I would be more satisfied. I do feel that the investigation took a very long time to come to its conclusion.”
(Police officer)

STAFF PROFILE

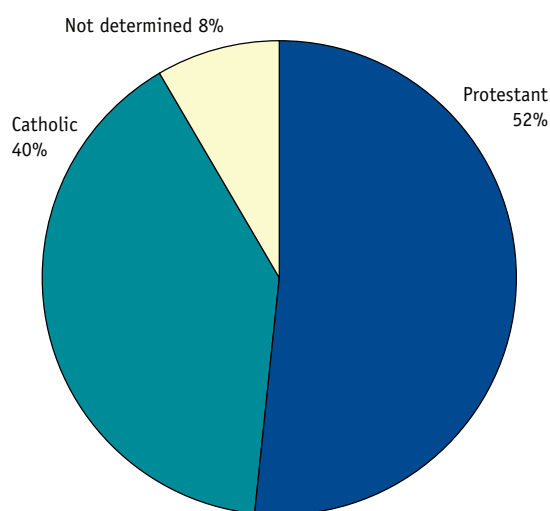
Information taken from the Fair Employment Monitoring Return made by the Office as at 1 January 2012 indicates that 44% of the staff employed in the Office are male and 56% are female.

Figure 28: Staff Profile by Gender



The community background of staff indicates that 52% of staff employed are Protestant, 40% Catholic and 8% not determined.

Figure 29: Staff Profile by Community Background



RESEARCH REPORTS

During 2011/12 the Office published a number of Research Reports and Policy & Practice Investigations, which are summarised below. All of the Office's publications are available for download at www.policeombudsman.org.

Views and Experiences of People with Learning Disability in relation to Policing Arrangements in Northern Ireland (May 2011)

The Office published a report on a major research project co-funded by the Police Ombudsman's Office and the Northern Ireland Policing Board into the issues faced by people with learning disabilities when dealing with the police and policing organisations. Researchers worked closely with Mencap and Disability Action on this project. Almost 300 people with learning disabilities, along with key workers and organisations in the learning disability sector, and representatives of the police, policing organisations and criminal justice bodies were consulted during the project.

The study found that people with learning disabilities had largely positive views and experiences of the police. However, it also found that many instances of bullying and harassment of people with learning disabilities were likely to go unreported because the victims did not realise that they had been a victim of crime, or were unwilling to report it.

The report made a total of 24 recommendations to help ensure that the police and policing organisations respond appropriately to the needs of people with learning disabilities, and also to help combat disability hate crime.

Complainant Satisfaction by Equality Categories, 2007/08 – 2009/10 (July 2011)

This report combined the findings of the Office's annual Equality Monitoring and Complainant Satisfaction surveys to test if there were differences in the levels of satisfaction between different complainant groupings. A number of differences were found in the satisfaction and dissatisfaction levels of complainants within a variety of equality groupings.

Some of the findings of the report include that females were more satisfied than males across all elements of satisfaction currently monitored by the Office and that complainants without a disability were more likely to express satisfaction than those with a disability regarding: how clearly the complaints process was explained; how easy it was to understand any letters written to them; and the overall service provided by the Office. The Office is committed to addressing these variations in satisfaction levels through an effective programme of Equality Monitoring and the establishment of a working group to identify measures to reconcile the differences found.

Equality Monitoring Report, 2006 – 2011 (October 2011)

The Equality Monitoring Report 2006-2011 presented the findings of five years' data from the Police Ombudsman's Equality Monitoring Survey, which covers all Section 75 categories, as well as employment status and country of birth. Overall, 34% of complainants returned equality monitoring survey forms.

The survey found that the services of the Office were being used by all of the groups monitored. However, there were disproportionately high numbers of young men, ethnic minorities, single, separated, divorced or co-habiting people, people with disabilities, unemployed people, people with dependants and people who supported other political parties outside the five main Northern Ireland parties, or who did not support any party. There were lower than expected proportions of women, people with no religious beliefs, people born in Northern Ireland and Sinn Féin voters.

Characteristics of police officers in Northern Ireland who attract complaints, 2008-2010 (December 2011)

The office published a report in December 2011 regarding the characteristics of police officers who attracted complaints. The profile of officers who attracted complaints in terms of age, gender, length of service and role was compared with the profile of officers in the PSNI overall. The main findings of the research demonstrated that less experienced officers in public facing roles and younger officers in public facing roles were over-represented among those who attracted complaints. The research also looked at the profile of officers who attracted Incivility, Oppressive Behaviour and Failure in Duty allegations. The profile of these officers is broadly similar to the profile of officers who attracted complaints.

Analysis of complaints involving CS Spray and its use by the PSNI, 1 July 2004 – 31 March 2010 (July 2011)

This report provides an analysis of all complaints and allegations received by the Office in relation to the use of CS Spray between 1 July 2004 and 31 March 2010. The report also provides an in depth exploration of 50 complaints involving the use of CS Spray received during 2009/10 and an analysis of CS Spray incidents recorded by the PSNI from 1 July 2004 to 31 March 2010. During the period 1 July 2004 to 31 March 2010 the Police Ombudsman's Office received 403 complaints and 56 Section 55 referrals, involving 488 allegations in relation to CS Spray.

Included in the findings of this report is that more than half of CS Spray incidents, which were subject of a complaint to the Office, occurred at the weekend and more than half occurred between midnight and 3am. In addition, during the in-depth analysis it was found that bystanders were affected in 38% of incidents. Of the incidents recorded by PSNI, 81% of officers involved in the use of CS Spray were assigned to Mobile Patrol. A number of recommendations were made to PSNI based on this report, including that Custody Officers ensure that custody records detail that enhanced cell supervision of persons who have been CS Sprayed has taken place and that police officers highlight to the detained person that they might be kept outside the station to allow the CS particles to disperse, before being taken into the custody suite. The PSNI welcomed the findings of this research and agreed to implement all the recommendations made.

Analysis of incidents involving the discharge of Tasers by the PSNI, 25 January 2008 – 30 September 2011 (January 2012)

This report included an analysis of the 29 incidents involving the discharge of Tasers by the PSNI since the weapon was introduced to the Service in January 2008. The report demonstrates that in the vast majority of incidents referred, there were clear risks of self harm, or indeed harm to others, from those subject to Taser discharge. The majority of individuals who were subjected to the discharge of a Taser were males aged between 18 and 29 years. Most police officers who used their Tasers had at least ten years' service, and had received Personal Safety refresher training in the twelve month period before the incident.

Of the incidents investigated to date, the Police Ombudsman has found no misconduct or criminality which explicitly involved the discharge of Taser. In all circumstances, the Police Ombudsman found that police actions were justified and proportionate. The report concludes with a number of recommendations, most of which are in respect of updating PSNI systems used to record Taser incidents and the Service Procedure which guides officers on their use.

FUTURE RESEARCH

The Office is committed to engaging in a programme of future research which aims to improve the Office, user satisfaction and PSNI policies and practices. Along with the annual reports into Equality Monitoring, Complainant and Police Officer Satisfaction and Public Attitudes to the Office, it is planned that the following research will also be published during the 2012/13 financial year:

Equality by DCU

All complainants to the Office of the Police Ombudsman are asked to complete an Equality Monitoring questionnaire to enable the Office to capture data in relation to Section 75 categories. The questionnaire includes the categories of age, gender, marital status, religious belief, race, disability, sexual orientation, employment status, dependants, political opinion and country of birth. The purpose of this report is to analyse the findings of these questionnaires by PSNI DCU; in order to assess whether there were variations in the equality profile of complainants in policing DCUs compared with the general population in those DCUs.

The report covers complaints made to the Office from 6 November 2000 to 31 March 2010, which total 30,242. From these complaints the Office received 10,466 completed Equality Monitoring forms, which represents a sample size of 35%. The findings of this report will be published during 2012/13.

Oppressive Behaviour

The Office will conduct an analysis of all complaints comprising one or more allegations of Oppressive Behaviour. This research will include an overview of the numbers and types of Oppressive Behaviour allegations received since the Office opened in 2000; the factors underlying the allegations; the location of the incidents leading to the allegations, the time of day and week the allegation occurred and the types of recommendations the Office made regarding these allegations. The research will also look at the types of complainants who made Oppressive Behaviour allegations in terms of age, gender and religious belief. This report will be published in June/July 2012.

Police Officer Characteristics (Phase Two)

The Office intends to conduct further research in relation to the characteristics of police officers who attract complaints. The proposed research will involve the use of statistical techniques to assess the impact of factors such as role and age on the likelihood that an officer will attract complaints. Qualitative research techniques will then be used to explore the findings; for example, why disproportionate numbers of officers in certain roles attract complaints. This research is due to be completed in December 2012.

Policy and Practice Investigation

The Office will initiate an investigation into an area of police policy and practice related to police complaints. The theme for investigation will be finalised once the Office completes its engagement with stakeholders to establish which theme merits a full investigation.

NEW DEVELOPMENTS

Statistics and Research Website

All Official Statistics must conform to the eight principles and three protocols in the Code of Practice for Official Statistics published January 2009. All bodies which produce Official Statistics must produce evidence that they comply with the Code.

During 2011/12 the Office developed a new dedicated area of its website for the publication of all statistical related matters, including the Complaint Statistics in Your Area pages and reports. It also has links to all of the required Official Statistics compliance statements and supporting information to enable the Office to demonstrate compliance with the legislation. This will help to ensure that all outputs are of the highest standards and quality, and also provides a function to revise and review statistics where necessary, in keeping with the Office's Revisions and Errors Strategy.

All statistical information is accessible in a variety of formats – PDF, Excel downloads and HTML. Users are encouraged to provide feedback on the usability of the site and to suggest improvements to allow their needs to be better met.

**Table 13: Key Performance Indicators
Customer Service Commitments, 2011/12**

Service Commitment	Targets 2011/12	Achievement against targets 2010/11	Achievement against targets 2011/12
Level of complaints registered	Resource and action all complaints and related allegations registered.	3,334 complaints - 6% decrease on 2009/10	3,336 complaints - approximately the same as 2010/11
		6,326 allegations - 3% decrease on 2009/10	5,896 allegations - 7% decrease on 2010/11
Responsiveness, prompt service and timely processes	Register all appropriate matters reported to the Police Ombudsman within 3 working days of receipt.	90%	94%
	90% of all complaints to be actioned within 5 working days of receipt.	88%	92%
	85% of complainants to be updated every 6 weeks.	89%	88%
	85% of police officers to be updated every 6 weeks.	78%	85%
	90% of complaints, not subject of investigation or Informal Resolution, to be dealt with within 40 working days.	97%	98%
	90% of complainants to be contacted by the Investigating Officer within 3 working days of the complaint being allocated to that officer.	96%	90%
	85% of complaints investigated, other than grave and exceptional matters, to be completed within 110 working days.	N/A*	78%
Quality and effective investigations, levels of satisfaction and confidence in police complaints system	To maintain a level of 80% public awareness of the Office.	84%	85%
	To maintain a level of 80% awareness of the independence of the Police Ombudsman.	83%	85%
	To maintain a level of 80% confidence that the Police Ombudsman for Northern Ireland deals with complaints in an impartial way.	80%	77%
	To maintain a level of 80% of respondents who think that they would be treated fairly by the Office if they made a complaint against the police.	84%	83%
	To maintain a level of 60% complainants being satisfied or very satisfied with service received.	59%	52%
	To maintain a level of at least 75% of complainants willing to use the service again.	69%	64%
	To maintain a level of at least 75% of police officers subject of investigation to be satisfied with the service provided by the Office.	74%	73%

* During 2010/11, a target was set that 90% of complaints investigated, other than grave and exceptional matters, were to be completed within 120 working days. Based on a Quality Assurance sample of 496 complaints, 77% of complaints investigated fulfilled this target.

Table 14: Key Business Targets 2011/12

Business Targets	Deadline Target	Performance against Target
Make Annual Report available to the Department of Justice	June 2011	Achieved
Publish Corporate Business Plan	June 2011	Achieved
Publish Annual Complaints Statistics	May 2011	Achieved
Report on Complainant Satisfaction	May 2011	Achieved
Report on Police Officer Satisfaction	May 2011	Achieved
Report on Public Attitude Survey Findings	May 2011	Achieved
Complete Annual Fair Employment Monitoring Return	May 2011	Achieved

Remuneration Report

Remuneration Policy

The Police Ombudsman is remunerated in line with judicial scales. The Chief Executive and Directors of Investigations are remunerated as senior civil servants. The remuneration of senior civil servants is set by the Minister for Finance and Personnel. The Minister approved a freeze of senior pay in respect of 2010/11 and 2011/12 pay awards, in line with the Executive's decision in Budget 2011-15 to mirror the UK Coalition Government's commitment to impose pay restraint.

The pay system in place for senior civil servants in the Northern Ireland Civil Service (NICS) is currently under review.

The remuneration of other members of the Senior Management Team within the Office is set within NICS pay structures. The Office is not involved in NICS pay negotiations. Performance is appraised by line managers of achievement against agreed objectives and targets.

Bonuses

The Office of the Police Ombudsman for Northern Ireland does not make bonus payments in respect of staff performance. No bonuses were payable to staff or to senior managers in respect of the year ended 31 March 2012 (nil for year ended 31 March 2011).

Appointments

Appointments are made in accordance with the Civil Service Commissioners' Recruitment Code, which requires appointment to be on merit on the basis of fair and open competition, but also includes the circumstances when appointments may otherwise be made.

Unless otherwise stated below, the officials covered by this report hold appointments which are open-ended. Early termination, other than for misconduct, would result in the individual receiving compensation as set out in the Civil Service Compensation Scheme. There were no exit packages provided for any employees of the Office during the financial year.

Further information about the work of the Civil Service Commissioners can be found at www.nicscommissioners.org.

The Police Ombudsman is appointed for a maximum of seven years as provided within schedule 3 paragraph 1(4) of the Police (Northern Ireland) Act 1998. Mr A Hutchinson was appointed as Police Ombudsman on 6 November 2007 and left post on 29 February 2012, prior to the completion of a seven year term.

Mr E Gaw and Mrs V Patterson were appointed on 1 April 2010 as Independent Non Executive Members of the Audit Committee within the Office on a 3 year term, with an option for a further 2 years. The Non Executive Audit Committee members are remunerated at a daily rate of £450 on the basis of time incurred on official business.

Audited Information

The following sections provide details of the remuneration and pension interests of the Police Ombudsman, the Accounting Officer/Chief Executive, members of the Senior Management Team and Non Executive Members of the Audit Committee. The information on the following pages 44 to 45 is covered by the audit opinion.

SALARY AND PENSION ENTITLEMENTS

The following sections provide details of the remuneration and pension interests of the most senior officials in the Office.

Remuneration	AUDITED INFORMATION			
	2011-12		2010-11	
	Salary (£'000)	Benefits in kind (to nearest £100)	Salary (£'000)	Benefits in kind (to nearest £100)
Mr Al Hutchinson¹ <i>Police Ombudsman (Resigned 29 February 2012)</i>	125 – 130	10,200	140 – 145	20,500
Mr Samuel Pollock² <i>Chief Executive (Resigned 31 August 2011)</i>	45 – 50	-	90 – 95	-
Mr James Coupland³ <i>Senior Director of Investigation Resigned 13 October 2011</i>	20 – 25	-	80 – 85	-
Mr Colin Lewis⁴ <i>Interim Chief Executive Appointed 30 January 2012</i>	15 – 20	-	-	-
Mrs Olwen Laird <i>Director of Corporate Services</i>	60 – 65	-	60 – 65	-
Mr Greg Mullan <i>Director of Research and Performance</i>	55 – 60	-	55 – 60	-
Mr Tim Gracey <i>Director of Information</i>	50 – 55	-	50 – 55	-
Mr Jim Kitson <i>Director of Legal Services</i>	50 – 55	-	50 – 55	-
Mr Paul Holmes <i>Director of Investigation</i>	60 – 65	-	60 – 65	-
Mr Peter O'Sullivan⁵ <i>Acting Senior Director of Investigation</i>	75 – 80	-	65 – 70	-
Mr Jeff Smyth⁶ <i>Acting Director of Investigation From 27 April 2011</i>	60 – 65	-	-	-
<i>Non Executive Audit Committee Members</i>				
Mr Edward Gaw	5 – 10	-	5 – 10	-
Mr Vilma Patterson	10 – 15	-	0 – 5	-
Mr S Ewing (to 20 May 2010)	-	-	0 – 5	-
Mr RST Simpson (to 7 June 2010)	-	-	0 – 5	-
Police Ombudsman's Total Full Time Equivalent Remuneration (note 4.3 to the accounts)		£150,447		£160,840
Median Total Remuneration		£31,569		£29,491
Ratio		4.77		5.45

¹ The figure quoted for the period 1 April 2011 to 29 February 2012. The full year equivalent is £140k - £145k.

² The figure quoted is for the period 1 April 2011 to 31 August 2011. The full year equivalent is £90k - £95k.

³ The figure quoted is for the period 1 April 2011 to 13 October 2011. The full year equivalent is £80 - £85k.

⁴ The figure quoted is for the period 30 January 2012 to 31 March 2012. The full year equivalent is £85 - £90.

⁵ The 2010/11 figure quoted is for the period 4 May 2010 to 31 March 2011. The full year equivalent is £75k - £80k.

⁶ The figure quoted is for the period 27 April 2011 to 31 March 2012. The full year equivalent is £60 to 65k.

PENSION BENEFITS

	AUDITED INFORMATION					
	Accrued pension at pension age as at 31/3/12 and related lump sum £'000	Real increase in pension and related lump sum at age 60 £'000	CETV at 31/3/12 £'000	CETV at 31/3/11 £'000	Real increase in CETV £'000	Employer contribution to partnership pension account (Nearest £100)
Mr Al Hutchinson <i>Police Ombudsman</i>	10 – 15	2.5 – 5.0	225	168	43	N/A
Mr Samuel Pollock* <i>Chief Executive</i>	10 – 15 plus lump sum of 35 – 40	10.0 – 12.5 plus lump sum of 32.5 – 35.0	263	24	240	N/A
Mr James Coupland* <i>Senior Director of Investigation</i>	5 – 10	2.5 – 5.0	62	16	44	N/A
Mr Colin Lewis <i>Interim Chief Executive</i>	20 – 25 plus lump sum of 65 – 70	0 – 2.5 plus lump sum of 0 – 2.5	400	397	0	N/A
Mrs Olwen Laird* <i>Director of Corporate Services</i>	10 – 15	12.5 – 15.0	159	11	144	N/A
Mr Greg Mullan* <i>Director of Research and Performance</i>	20 – 25 plus lump sum of 65 – 70	20.0 – 22.5 plus lump sum of 62.5 – 65.0	479	14	462	N/A
Mr Tim Gracey** <i>Director of Information</i>	0 – 5 plus lump sum of 0 – 5	0 – 2.5 plus lump sum of 0 – 2.5	27	13	12	N/A
Mr Jim Kitson** <i>Director of Legal Services</i>	5 – 10	2.5 – 5.0	75	11	61	N/A
Mr Paul Holmes* <i>Director of Investigation</i>	5 – 10 plus lump sum of 25 – 30	7.5 – 10.0 plus lump sum of 25 – 27.5	157	13	142	N/A
Mr Peter O'Sullivan <i>Acting Senior Director of Investigation</i>	N/A	N/A	N/A	N/A	N/A	N/A
Mr Jeff Smyth* <i>Acting Director of Investigation</i>	0 – 5	0 – 2.5	24	13	9	N/A
Non Executive Audit Committee Members						
Mr Edward Gaw	N/A	N/A	N/A	N/A	N/A	N/A
Mrs Vilma Patterson	N/A	N/A	N/A	N/A	N/A	N/A
Mr Edward Simpson	N/A	N/A	N/A	N/A	N/A	N/A
Mr RST Ewing	N/A	N/A	N/A	N/A	N/A	N/A

Pension transfer arrangements for officials within the Office from the Principal Civil Service Pension Scheme [PCSPS] to the Principal Civil Service Pension Scheme (Northern Ireland) [PCSPS(NI)] were completed during the year. Not all officials elected to transfer their pension service credit from PCSPS to PCSPS(NI). The CETV figures as at 31 March 2011 stated in last years report included an aggregate of pension values accrued within both PCSPS and PCSPS(NI), whereas the CETV as at 31 March 2011 and 31 March 2012 reported in this years report only include pension values within PCSPS(NI). Therefore the CETV figures as at 31 March 2011 differ from those disclosed in last years report.

* For those officials who elected to transfer their pension service credit, the real increase in CETV and the Real increase in pension and related lump sum at age 60 include amounts transferred in from the PCSPS.

** For those officials who elected not to transfer their pension service credit the pension values that are disclosed relate entirely to the pension service credit within PCSPS(NI).

Salary

‘Salary’ includes gross salary; overtime; reserved rights to London weighting or London allowances; recruitment and retention allowances; private office allowances and any other allowance to the extent that it is subject to UK taxation and any gratia payments.

Benefits in kind

The monetary value of benefits in kind covers any benefits provided by the Office and treated by the HM Revenue and Customs as a taxable emolument. Further information regarding the nature of the benefits in kind is provided in note 4.3 to the Accounts.

Northern Ireland Civil Service Pensions

Pension benefits are provided through the Northern Ireland Civil Service pension arrangements which are administered by Civil Service Pensions (CSP). Staff in post prior to 30 July 2007 may be in one of three statutory based ‘final salary’ defined benefit arrangements (classic, premium or classic plus). These arrangements are unfunded with the cost of benefits met by monies voted by Parliament each year. From April 2011, pensions payable under classic, premium, classic plus are increased annually in line with changes in the Consumer Prices Index (CPI). Prior to 2011, pensions were increased in line with changes in the Retail Prices Index (RPI). New entrants joining on or after 1 October 2002 and before 30 July 2007 could choose between membership of premium or joining a good quality ‘money purchase’ stakeholder arrangement with a significant employer contribution (partnership pension account). New entrants joining on or after 30 July 2007 are eligible for membership of the nuvos arrangement or they can opt for a partnership pension account. Nuvo is an ‘Career Average Related Earnings’ (CARE) arrangement in which members accrue pension benefits at a percentage rate of annual pensionable earnings throughout the period of scheme membership. The

current rate is 2.3%. CARE pension benefits are increased annually in line with increases in the CPI. For 2012, public service pensions will be increased by 5.2% with effect from 9 April.

Employee contributions are set at the rate of 1.5% of pensionable earnings for classic and 3.5% for premium, classic plus and nuvos. Benefits in classic accrue at the rate of 1/80th of pensionable salary for each year of service. In addition, a lump sum equivalent to three years’ pension is payable on retirement. For premium, benefits accrue at the rate of 1/60th of final pensionable earnings for each year of service. Unlike classic, there is no automatic lump sum (but members may give up (commute) some of their pension to provide a lump sum). Classic plus is essentially a variation of premium, but with benefits in respect of service before 1 October 2002 calculated broadly as per classic.

The partnership pension account is a stakeholder pension arrangement. The employer makes a basic contribution of between 3% and 12.5% (depending on the age of the member) into a stakeholder pension product chosen by the employee. The employee does not have to contribute but where they do make contributions, the employer will match these up to a limit of 3% of pensionable salary (in addition to the employer’s basic contribution). Employers also contribute a further 0.8% of pensionable salary to cover the cost of centrally-provided risk benefit cover (death in service and ill health retirement).

The accrued pension quoted is the pension the member is entitled to receive when they reach pension age, or immediately on ceasing to be an active member of the scheme if they are at or over pension age. Pension age is 60 for members of classic, premium and classic plus and 65 for members of nuvos. Further details about the CSP arrangements can be found at the website www.civilservice-pensions.gov.uk.

Cash Equivalent Transfer Values

A Cash Equivalent Transfer Value (CETV) is the actuarially assessed capitalised value of the pension scheme benefits accrued by a member at a particular point in time. The benefits valued are the member's accrued benefits and any contingent spouse's pension payable from the scheme. A CETV is a payment made by a pension scheme or arrangement to secure pension benefits in another pension scheme or arrangement when the member leaves a scheme and chooses to transfer the benefits accrued in their former scheme. The pension figures shown relate to the benefits that the individual has accrued as a consequence of their total membership of the pension scheme, not just their service in a senior capacity to which disclosure applies. The CETV figures, and from 2003/04 the other pension details, include the value of any pension benefit in another scheme or arrangement which the individual has transferred to the Civil Service Pension arrangements. They also include any additional pension benefit accrued to the member as a result of their buying additional years of pension service in the scheme at their own cost. CETV's are calculated in accordance with The Occupational Pension Schemes (Transfer Values) (Amendment) Regulations and do not take account of any actual or potential benefits resulting from Lifetime Allowance Tax which may be due when pension benefits are taken.

As part of the arrangements on devolution of justice functions, the pension arrangements for officials within the Office were transferred from the Principal Civil Service Pension Scheme [PCSPS] to the Principal Civil Service Pension Scheme (Northern Ireland) [PCSPS(NI)]. Although devolution occurred on 10 April 2010, the pension transfer arrangements were not concluded until the 2011/12 financial year.

The pension values as at 31 March 2011 that are disclosed within the remuneration report represent the value of the pension benefits that had accrued within the PCSPS(NI) as at 31 March 2011, prior to the transfer in of pension service credit from PCSPS during 2011/12. The corresponding figures in last years report included an aggregate of pension values for both PCSPS and PCSPS(NI) and as such the corresponding figures differ from those disclosed in this report.

The amounts that were transferred in to PCSPS(NI) from PCSPS were transferred as part of a bulk transfer of pensions and as such it is not possible to indicate the individual CETV values that were transferred in. The Real increase in CETV and the CETV at 31 March 2012 includes the amount of the that was transferred in where officials elected to transfer their benefits to PCSPS(NI).

Real increase in CETV

This reflects the increase in CETV effectively funded by the employer. It does not include the increase in accrued pension due to inflation, contributions paid by the employee (including the value of any benefits transferred from another pension scheme or arrangement) and uses common market valuation factors for the start and end of the period. The real increase in CETV for the current year includes amounts transferred in from the PCSPS where officials elected to transfer their benefits to PCSPS(NI).

Pay Multiples

Public bodies are required to disclose the relationship between the remuneration of the highest paid director in their organisation and the median remuneration of the organisations workforce. The Police Ombudsman for Northern Ireland is the highest paid official within the Office.

The total remuneration of the Police Ombudsman for the year ended 31 March 2012 as disclosed in note 4.3 to the accounts was £138,756, which as a full time equivalent would have been £150,447. This was 4.77 times the median remuneration of the workforce which was £31,569. The remuneration of the Police Ombudsman for the year ended 31 March 2011 was £160,840, which was 5.45 times the median remuneration of the workforce. This was £29,491 for the year ended 31 March 2011.

No employee of the Office of the Police Ombudsman received remuneration in excess of the Police Ombudsman during either the year ended 31 March 2012 or the prior year ended 31 March 2011.

Total remuneration includes salary and benefits in kind. It does not include employer contributions or the cash equivalent transfer value of pensions.

The pay multiple has reduced from 5.45 for the year ended 31 March 2011 to 4.77 for the year ended 31 March 2012. This is as a result of two main reasons. Firstly, there has been both a freeze of the Police Ombudsman's pay as part of the pay freeze approved by the Minister of Finance and Personnel in respect of 2010/11 and 2011/12 pay awards for staff remunerated at Senior Civil Service and above, and the reduction in personal flights by the Police Ombudsman during the year ended 31 March 2012, which reduced his benefit in kind in that year. Secondly, the median salary of staff has increased following the pay assimilation and progression of the staff in the office from NIO to NICS pay terms during the financial year.



Colin Lewis
Interim Chief Executive
25 June 2012

Statement of the Police Ombudsman for Northern Ireland and Chief Executive's Responsibilities

Under paragraph 12 of Schedule 3 of the Police (Northern Ireland) Act 1998 the Police Ombudsman for Northern Ireland is required to prepare a statement of accounts for each financial year in the form and on the basis directed by the Department of Justice.

The accounts are prepared on an accruals basis and must include a Statement of Comprehensive Net Expenditure, a Statement of Financial Position, a Statement of Cash Flows, and a Statement of Changes in Taxpayers' Equity. The accounts are required to give a true and fair view of the net expenditure for the financial year and the financial position at the year end.

In preparing the accounts the Office of the Police Ombudsman for Northern Ireland is required to:

- observe the accounts direction issued by the DOJ, including the relevant accounting and disclosure requirements, and apply suitable accounting policies on a consistent basis;
- make judgements and estimates on a reasonable basis;
- state whether applicable accounting standards have been followed and disclose and explain any material departures in the financial statements; and
- prepare the financial statements on the going concern basis.

The Accounting Officer of the Department of Justice has designated the Interim Chief Executive as Accounting Officer of the Office of the Police Ombudsman for Northern Ireland. The Interim Chief Executive's relevant responsibilities as Accounting Officer, including his responsibility for the propriety and regularity of the public finances and for the keeping of proper records, are set out Chapter 3 of *Managing Public Money Northern Ireland* issued by the Department of Finance and Personnel.

Statement on Internal Control

1. Scope of Responsibility

As Accounting Officer, I have responsibility for maintaining a sound system of internal control that supports the achievement of the Office of the Police Ombudsman's policies, aims and objectives, as set out in the Annual Business Plan and agreed with the Department of Justice, whilst safeguarding the public funds and the Office's assets for which I am personally responsible, in accordance with the responsibilities assigned to me in my letter of designation as Accounting Officer. In addition, I am required to report on progress towards business objectives, financial objectives, staffing and other matters on a quarterly basis to the Department.

2. The Purpose of the System of Internal Control

The system of internal control is designed to manage risk to a reasonable level rather than to eliminate the risk of failure to achieve policies, aims and objectives; it can therefore only provide reasonable and not absolute assurance of effectiveness. The system of internal control is based on an ongoing process designed to identify and prioritise the risks to the achievement of the policies, aims and objectives of the Office, to evaluate the likelihood of those risks being realised and the impact should they be realised, and to manage them efficiently, effectively and economically. This system of internal control has been in place in the Office of the Police Ombudsman for the year ended 31 March 2012 and up to the date of approval of the annual report and accounts, and accords with DFP guidance.

3. Capacity to Handle Risk

The Office of the Police Ombudsman considers all of its business and corporate responsibility in terms of its risk management framework and in line with the policies of the Department. Responsibility for implementing the risk management process rests with me, as Accounting Officer, supported by my Directors and is incorporated into the Corporate Planning process. A risk management policy, strategy and register has been established and has been communicated to all staff and is available on the internal website of the Office. Internal Audit periodically review risk management practice as part of their programme of work.

4. The Risk and Control Framework

The Office has an organisational risk register which includes key risks prioritised by likelihood and impact. On a quarterly basis, or more frequently if required, Directors review and consider the risks facing the Office in the achievement of its aims and objectives. Any additional risks identified are considered and assessed in terms of likelihood and impact. Further, any additional actions required to fully address new or existing risks are identified and assigned to an individual with responsibility for ensuring that appropriate measures are undertaken within an agreed timescale. The risk register and actions are regularly reviewed by the Audit Committee of the Office.

Management and Control of Information Risk

Information risk has become an area of increasing concern within the public sector over the past number of years. Data handling and information risk has been identified as a separate risk within the organisational risk register and the Office has documented a range of controls to mitigate against this risk resulting in failure to achieve organisational aims and objectives. I am satisfied that the Office has controls in place to ensure that information risk is effectively managed.

5. Review of Effectiveness

As Accounting Officer, I have responsibility for reviewing the effectiveness of the system of internal control. My review of the effectiveness of the system of internal control is informed by the work of the internal auditors and the executive managers within the Office of the Police Ombudsman who have responsibility for the development and maintenance of the internal control framework, and by the comments made by the external auditors in their management letters and other reports. I have been advised on the implications of the result of my review of the effectiveness of the system of internal control by the Audit Committee and a plan to ensure continuous improvement of the system is in place. The system of internal control is based on a framework of regular management information, financial and administrative procedures including the segregation of duties, management supervision and a system of delegation and accountability. In particular the system includes:

- business planning and objective setting processes, including the setting of targets to measure financial and other performance;
- the operation of a performance management system for staff;
- financial planning and budgeting systems;
- internal audit arrangements and an audit committee;
- financial accounting systems and administrative procedures, including delegated levels of authority;
- capital investment control guidelines.

Audit Committee

The Audit Committee was established to provide an essential oversight of the controls and good governance of the Office. The Audit Committee is a self standing Committee which is co-chaired by the two independent members of the Committee. The Terms of Reference of the Audit Committee was revised during the year, the most significant amendment being that the membership of the Committee is now comprised of the independent non executive members. The Police Ombudsman, Chief Executive and Director of Corporate Services are attendees of the meeting which is also attended by the Internal and External Auditors and a representative of the sponsoring Department. The internal audit plans and oversight of the risk management process are endorsed by the Police Ombudsman's Audit Committee and approved by me. I am required to report to this Committee quarterly or more often if required. The Audit Committee receives all audit reports and keeps under review the progress by the Office with regards to the implementation of any recommendations made.

Internal Audit

The Office of the Police Ombudsman for Northern Ireland has an internal audit service, which operates to standards defined in the Government Internal Audit Standards. The work of the internal audit service is informed by the risk management process and the internal audit plans are based on the risk register. The Head of Internal Audit (HIA) provides reports and recommendations in respect of the areas audited within the internal audit programme but is also required to provide me an annual report on internal audit activity in the Office during the year and an independent opinion on the overall adequacy and effectiveness of the Office's system of internal controls in relation to the effective and efficient achievement of the Office's objectives.

The internal audit programme for the year ended 31 March 2012 focused on assessing the controls in respect of the following areas: - Payroll, Pensions and Travel Expenses; Information Technology and Procurement. The HIA provides an assurance rating in respect of each area subject to audit which can be substantial, satisfactory, limited or unacceptable. Satisfactory assurance was provided in relation to each of the areas subject of audit during the financial year.

Internal audit also undertook a review of the Office's file archive arrangements and recommendations made will be followed up within the Internal Audit Plan for the year ahead.

6. Significant Internal Control Issues

Over the period since February 2011, the Office has received a number of reports which have criticised how the Office is directed and controlled.

The first to do so was an Internal Audit report issued in February 2011 in which the HIA provided a *limited assurance* rating in respect of an audit in relation to "Risk Management and Corporate Governance". This conclusion was reported in the Statement on Internal Control in the Annual Report and Accounts for the year ended 31 March 2011. Specifically, the HIA identified a significant issue in relation to the Office's internal governance structures, in particular that corporate governance arrangements and structures had been amended in 2009 with the creation of two separate tiers of executive management. The HIA considered that the revised structure, rather than strengthening, weakened internal governance leading to confused roles and responsibilities and undermined the role of the Chief Executive and Accounting Officer. The Comptroller and Auditor General (C&AG) of the Northern Ireland Audit Office also raised this as a Priority 1 issue in his *"Report to those Charged with*

Governance" which was produced in July 2011, further to the completion of the audit for the year ended 31 March 2011.

Two further reports were also commissioned by the Police Ombudsman to consider allegations of:

- a) Interference by Department of Justice officials (Commissioned from Mr Tony McCusker and reported on in June 2011); and
- b) A lowering of professional independence between the Office and the PSNI (Commissioned from the Criminal Justice Inspectorate and reported on in September 2011).

Associated with the findings and recommendations within these four reports, the former Chief Executive left his post on 31 August 2011, the former Senior Director of Investigations resigned on 13 October 2011 and the Police Ombudsman stepped down from operational duties and delegated the exercise of those duties to staff within the Office pending the appointment of a new Police Ombudsman. I assumed the role of Interim Chief Executive on 30 January 2012. The Police Ombudsman left office on 29 February 2012.

Following from the report of the Criminal Justice Inspector, the Police Ombudsman agreed to suspend historic case investigations, except those being pursued in parallel with ongoing PSNI investigations and one which was at an advanced stage. At this time historic investigations remain suspended. Work is ongoing to address these issues within a Transformational Action plan which I developed in tandem with the Senior Management Team and which I regularly monitor progress and oversee. The plan addresses issues in relation to corporate governance, organisational structure, governance protocols between the DOJ and the Office, management of Historic cases going forward and matters of communication. It assigns

responsibilities to the appropriate Director and sets out dates for which the relevant actions are to be completed. In addition to the regular monitoring of progress by me, progress on this is also reported to and monitored by the Audit Committee.

The period since February 2011 has been one of unprecedented instability and disruption for the Office which has prevented a settled arrangement of corporate governance from becoming established. However, whereas work to fully implement the recommendations of the HIA and the C&AG has not yet been completed, progress in relation to the recommendations for improved governance has been made and will continue to be monitored on an ongoing basis by the Audit Committee. I have assumed responsibility for the management and functioning of the Office through the chairing of the re-established Senior Management Team within the Office. Final decisions with regards to the recommended governance structures within the Office including the possible constitution of an Advisory Board and a revised organisation structure await the consideration of the newly appointed Police Ombudsman, Dr Maguire, when he takes up his position in July 2012.

The Senior Management Team, with the support of the Audit Committee is committed to ensuring that the arrangements for Corporate Governance within the Office, address the concerns raised and will work closely with the new Police Ombudsman to ensure that this is effectively progressed. The Non Executive Members of the Audit Committee have committed to reviewing the effectiveness of the revised governance arrangement once they are established. The HIA is also committed to carry out a follow up review of the response by the Office to the recommendations contained in the Risk Management and Corporate Governance report of February 2011 once a final decision has been made.

In May 2012, further to similar issues having been identified by a range of police services, including the PSNI, the Office carried out a review which established that there were four cases in which human tissue had been retained by the Office, prior to 2006, without the knowledge or consent of the families involved. Since then the Office has liaised with all of the families involved and has established an internal review to ensure that its policies and procedures are revised in line with best practice to prevent any future recurrence.

Annual Internal Audit Assurance

I have been provided with an annual internal audit assurance report by the HIA for the year ended 31 March 2012 which confirms that, notwithstanding the fact that the serious structural governance issues identified have not yet been fully addressed, the Office's overall system of internal control remains adequate and operated effectively, thereby providing satisfactory assurance regarding the effective and efficient achievement of the Office's objectives.

Assurance

In light of all of the information available to me, I remain satisfied and assured that the system of internal control in place within the Office remains effective. I am also satisfied that the Office will continue to address, with the support of the Audit Committee, the findings in the report of the HIA and the C&AG.



Colin Lewis
Interim Chief Executive
25 June 2012

The Certificate and Report of the Comptroller and Auditor General to the Northern Ireland Assembly

I certify that I have audited the financial statements of the Office of the Police Ombudsman for Northern Ireland for the year ended 31 March 2012 under the Police (Northern Ireland) Act 1998 as amended by the Northern Ireland Act 1998 (Devolution of Policing and Justice Functions) Order 2010. These comprise the Statement of Comprehensive Net Expenditure, the Statement of Financial Position, the Statement of Cash Flow and Statement of Changes in Taxpayers' Equity and the related notes. These financial statements have been prepared under the accounting policies set out within them. I have also audited the information in the Remuneration Report that is described in that report as having been audited.

Respective responsibilities of the Police Ombudsman for Northern Ireland, the Chief Executive and auditor

As explained more fully in the Statement of the Police Ombudsman for Northern Ireland and Chief Executive's Responsibilities, the Police Ombudsman for Northern Ireland and the Chief Executive are responsible for the preparation of the financial statements and for being satisfied that they give a true and fair view. My responsibility is to audit the financial statements in accordance with the Police (Northern Ireland) Act 1998 as amended by the Northern Ireland Act 1998 (Devolution of Policing and Justice Functions) Order 2010. I conducted my audit in accordance with International Standards on Auditing (UK and Ireland). Those standards require me and my staff to comply with the Auditing Practices Board's Ethical Standards for Auditors.

Scope of the audit of the financial statements

An audit involves obtaining evidence about the amounts and disclosures in the financial statements sufficient to give reasonable assurance that the financial statements are free from material misstatement, whether caused by fraud or error. This includes an assessment of: whether the accounting policies are appropriate to the Office of the Police Ombudsman for Northern Ireland's circumstances and have been consistently applied and adequately disclosed; the reasonableness of significant accounting estimates made by the Office of the Police Ombudsman for Northern Ireland; and the overall presentation of the financial statements. In addition I read all the financial and non-financial information in the Annual Report to identify material inconsistencies with the audited financial statements. If I become aware of any apparent material misstatements or inconsistencies I consider the implications for my certificate.

In addition, I am required to obtain evidence sufficient to give reasonable assurance that the expenditure and income reported in the financial statements have been applied to the purposes intended by the Assembly and the financial transactions conform to the authorities which govern them.

Opinion on Regularity

In my opinion, in all material respects, the expenditure and income have been applied to the purposes intended by the Assembly and the financial transactions conform to the authorities which govern them.

Opinion on the Financial Statements

In my opinion:

- the financial statements give a true and fair view, of the state of the Office of the Police Ombudsman for Northern Ireland's affairs as at 31 March 2012, and of the net expenditure, cash flows and changes in taxpayers' equity for the year then ended; and
- the financial statements have been properly prepared in accordance with the Police (Northern Ireland) Act 1998 as amended by the Northern Ireland Act 1998 (Devolution of Policing and Justice Functions) Order 2010 and Department of Justice directions issued thereunder.

Opinion on other matters

In my opinion:

- the part of the Remuneration Report to be audited has been properly prepared in accordance with the Police (Northern Ireland) Act 1998 as amended by the Northern Ireland Act 1998 (Devolution of Policing and Justice Functions) Order 2010 and Department of Justice directions made thereunder; and
- the information given in the Report of the Chief Executive, the Review of the Work and Performance of the Office and the Remuneration Report for the financial year for which the financial statements are prepared is consistent with the financial statements.

Matters on which I report by exception

I have nothing to report in respect of the following matters which I report to you if, in my opinion:

- adequate accounting records have not been kept; or
- the financial statements and the part of the Remuneration Report to be audited are not in agreement with the accounting records; or
- I have not received all of the information and explanations I require for my audit; or
- the Statement on Internal Control does not reflect compliance with Department of Finance and Personnel's guidance.

Report

I have no observations to make on these financial statements.



KJ Donnelly

Comptroller and Auditor General
Northern Ireland Audit Office
106 University Street
Belfast, BT7 1EU
27 June 2012

Statement of Comprehensive Net Expenditure for the year ended 31 March 2012

	Note	2011-12 £	2010-11 Restated £
Expenditure			
Staff costs	4	6,021,537	6,090,454
Depreciation/amortisation	5	483,076	457,386
Other expenditure	5	2,130,280	2,184,789
Net expenditure		8,634,893	8,732,629
Other Comprehensive Expenditure			
Net (gain)/loss on revaluation of Property Plant and Equipment	6	(1,848)	1,628
Net (gain)/loss on revaluation of Intangibles	7	(2,874)	74,314
Total Comprehensive Expenditure		8,630,171	8,808,571

The notes on pages 60 to 77 form part of these accounts

Statement of Financial Position as at 31 March 2012

	Note	As at 31 March 2012 £	As at 31 March 2011 £	As at 1 April 2011 £
Non-current assets:				
Property, plant and equipment	6	801,461	1,021,632	1,153,824
Intangible assets	7	777,633	958,830	1,144,007
Trade and other receivables	8	4,432	4,958	2,777
Total non-current assets		1,583,526	1,985,420	2,300,608
Current assets:				
Trade and other receivables	8	213,268	193,850	181,656
Cash and cash equivalents	9	-	175,187	156,748
Total current assets		213,268	369,037	338,404
Total assets		1,796,794	2,354,457	2,639,012
Current liabilities:				
Cash and cash equivalents	9	(93,115)	-	-
Trade and other payables	10	(568,310)	(673,667)	(564,652)
Total current liabilities		(661,425)	(673,667)	(564,652)
Total assets less current liabilities		1,135,369	1,680,790	2,074,360
Non-current liabilities:				
Provisions	11	(183,000)	(52,250)	(105,249)
Total non-current liabilities		(183,000)	(52,250)	(105,249)
Assets less liabilities		952,369	1,628,540	1,969,111
Taxpayers' Equity:				
General reserve		734,009	1,414,900	1,679,529
Revaluation reserve		218,362	213,640	289,582
		952,369	1,628,540	1,969,111

The notes on pages 60 to 77 form part of these accounts

The financial statements on pages 56 to 77 were approved and authorised for issue by:



Colin Lewis
Interim Chief Executive
25 June 2012

Statement of Cash Flow for the year ended 31 March 2012

	Note	2011-12 £	2010-11 £ Restated
Cash flows from operating activities			
Net Expenditure for the year		(8,634,893)	(8,732,629)
Adjustment for non-cash transactions	5	601,726	420,958
Increase in trade and other receivables	8	(18,892)	(14,375)
(Decrease)/Increase in trade payables	10	(105,357)	109,015
Movements in payables relating to items not passing through the Statement of Comprehensive Net Expenditure	6	42,791	(22,098)
Use of provisions	11	(65,862)	(3,999)
Net cash outflow from operating activities		(8,180,487)	(8,243,128)
Cash flows from investing activities			
Purchase of property, plant and equipment	6	(17,010)	(110,176)
Purchase of intangible assets	7	(24,805)	(96,257)
Net cash outflow from investing activities		(41,815)	(206,433)
Cash flows from financing activities			
Grant-in-Aid to fund resource expenditure		7,936,990	8,271,000
Grant-in-Aid to fund capital expenditure		17,010	197,000
Net financing		7,954,000	8,468,000
Net (decrease)/increase in cash and cash equivalents in the period	9	(268,302)	18,439
Cash and cash equivalents at the beginning of the period	9	175,187	156,748
Cash and cash equivalents at the end of the period	9	(93,115)	175,187

The notes on pages 60 to 77 form part of these accounts.

Statement of Changes in Taxpayers' Equity for the year ended 31 March 2012

	Note	General Reserve Restated £	Revaluation Reserve Restated £	Government Grant Reserve Restated £	Total Reserves £
Balance at 31 March 2010		779,185	32,365	1,157,561	1,969,111
Change in accounting policy – removal of Government Grant reserve	1.2	900,344	257,217	(1,157,561)	-
Balance at 1 April 2010		1,679,529	289,582	-	1,969,111
Changes in taxpayers' equity for 2010/11					
Net unrealised gain on revaluation of property, plant and equipment	6	-	(1,628)	-	(1,628)
Release of reserves to the comprehensive expenditure account:					
- Revaluation loss of intangible assets (CHS)	7	-	(74,314)	-	(74,314)
Comprehensive expenditure for the year		(8,732,629)	-	-	(8,732,629)
Total recognised expenses for 2010/11		(8,732,629)	(75,942)	-	(8,808,571)
Grant-in-Aid to fund resource expenditure		8,271,000	-	-	8,271,000
Grant-in-Aid to fund capital expenditure		197,000	-	-	197,000
Total recognised funding for 2010/11		8,468,000	-	-	8,468,000
Balance at 31 March 2011		1,414,900	213,640	-	1,628,540
Changes in taxpayers' equity for 2011/12					
Revaluation gain on property, plant and equipment	6	-	1,848	-	1,848
Release of reserves to the comprehensive expenditure account:					
- Revaluation gain of intangible assets (CHS)	7	-	2,874	-	2,874
Comprehensive expenditure for the year		(8,634,893)	-	-	(8,634,893)
Total recognised expense for 2011/12		(8,634,893)	4,722	-	(8,630,171)
Grant-in-Aid to fund resource expenditure		7,936,990	-	-	7,886,990
Grant-in-Aid to fund capital expenditure		17,010	-	-	17,010
Total recognised funding for 2011/12		7,954,000	-	-	7,904,000
Balance at 31 March 2012		734,007	218,362	-	902,369

The notes on pages 60 to 77 form part of these accounts

The General Reserve serves as the chief operating fund and is used to account for all financial resources except those required to be accounted for in another fund.

The Revaluation Reserve accounts for the unrealised gain or loss on revaluation of assets.

Further to the interpretation of IAS 20 in line with IPSAS 23, DFP issued revised guidance on the accounting treatment of government grant reserves which now requires that all government grants should be recognised as income rather than held as a grant reserve to be released across the useful life of the asset purchased. The Government Grant Reserve as at 31 March 2010 has been restated and a prior year adjustment made in respect of release from that reserve in 2010-11. Further information in respect of these changes can be found in note 1.2 to the accounts.

Notes to the Accounts

1. Statement of accounting policies

These financial statements have been prepared in accordance with the Accounts Direction issued by the Department of Justice and in line with the 2011-12 Government Financial Reporting Manual (FReM) issued by HM Treasury. The accounting policies contained in the FReM apply International Financial Reporting Standards (IFRS) as adapted or interpreted for the public sector context. Where the FReM permits a choice of accounting policy, the accounting policy which is judged to be most appropriate to the particular circumstances of the Office of the Police Ombudsman for Northern Ireland for the purpose of giving a true and fair view has been selected. The particular policies adopted by the Office (for the reportable activity) are described below. They have been applied consistently in dealing with items that are considered material to the accounts.

1.1 Accounting convention

The financial statements have been prepared under the historical cost convention modified to take account of the revaluation of property, plant and equipment and intangible assets.

The financial statements are stated in sterling, which is the functional and presentational currency.

1.2 Grant-in-Aid and capital grants

The Office of the Police Ombudsman for Northern Ireland was funded during the year to 31 March 2012 by Grant-in-Aid from the Department of Justice, request for resources A. Grant-in-Aid received, which is used to finance activities and expenditure that support the statutory and other objectives of the Office, is treated as financing credited to the General Reserve, because it is regarded as contributions from a controlling party. Grant-in-Aid received towards the purchase of items of property, plant and equipment or intangible assets is also credited directly to the General Reserve.

Following the interpretation of IAS 20 in line with IPSAS 23, DFP issued revised guidance on the accounting treatment of government grant reserves which now requires that all government grants should be recognised as income rather than held as a grant reserve to be released across the useful life of the asset purchased. Prior to 2011/12, the accounting treatment for Capital Grants received and used to acquire specific capital items was to credit the Capital Grants received to a Government Grant Reserve and release it to the Statement of Comprehensive Net Expenditure over the useful life of the asset in amounts equal to the depreciation/amortisation charge of the asset and any impairment.

The Office has one specific intangible asset that was funded by Capital Grant, namely its Case Handling System (CHS). The effect of the prior period adjustment has been to re-allocate the Government Grant reserve and increase the Net Expenditure by the amount of the amortisation no longer released.

	General Reserve £	Revaluation Reserve £	Government Grant Reserve £	Total Reserves £
Balance at 1 April 2010	779,185	32,365	1,157,561	1,969,111
Effect of change in accounting policy	900,344	257,217	(1,157,561)	-
Restated balance at 1 April 2010	1,679,529	289,582	-	1,969,111
Balance at 31 March 2011	690,553	30,737	907,520	1,628,540
Effect of change in accounting policy	724,347	182,903	(907,250)	-
Restated balance at 1 April 2011	1,414,900	213,640	-	1,628,540

The effect on the statement of net expenditure was to increase net expenditure as follows:

	2011-12 £	2010-11 £
Other expenditure	190,439	175,997
Effect of net expenditure	190,439	175,997

The adoption of the change in accounting policy has no impact on the cash position of the Office. No reconciliation is therefore necessary in respect of the Statement of Cash Flow.

1.3 Value Added Tax

The Office of the Police Ombudsman for Northern Ireland is not registered for Value Added Tax, (VAT). All transactions are therefore stated inclusive of VAT.

1.4 Property, plant and equipment

Property, plant and equipment comprises leasehold improvements to New Cathedral Buildings, fixtures and fittings and information technology equipment.

Items of property, plant and equipment are capitalised if they are intended for use on a continuous basis and their individual original purchase cost is £1,000 or more. Items with an individual cost of less than £1,000 but, when taken together, represent a significant investment will be grouped. The materiality threshold for a group of items is £3,500. Items costing less than £1,000 that are not part of a group are written off in the year of purchase.

Leasehold improvement expenditure has been capitalised and is restated at current cost using professional valuations. Valuations are carried out each year by professional external valuers, employed by the Land and Property Services (Valuations), in accordance with the Appraisal and Valuation Manual prepared and published by the Royal Institution of Chartered Surveyors, as at 31 March. The unexpired term in respect of the lease for New Cathedral Buildings is three years, with an option to extend it for a further ten years.

The Office of the Police Ombudsman for Northern Ireland's property, plant and equipment is revalued annually using indices compiled by the Office for National Statistics. Any surplus/loss on revaluation is treated as follows:

- Unrealised surplus arising from revaluation of property, plant and equipment is credited to the Revaluation Reserve unless it reverses a revaluation decrease of the same asset previously recognised to the Statement of Comprehensive Net Expenditure, to that extent.
- Losses arising from the revaluation of property, plant and equipment are debited to the Revaluation Reserve to the extent that gains were recorded previously, and otherwise to the Statement of Comprehensive Net Expenditure.

Property, plant and equipment is reviewed annually for impairment.

1.5 Depreciation

Items of Property, plant and equipment are depreciated on a straight-line basis in order to write off the valuation, less any residual value, over their expected useful economic lives.

The estimated useful lives of property, plant and equipment, which are reviewed regularly are summarised under each category below:

Category:	Estimated useful lives:
Buildings – leasehold improvement expenditure	The remaining term of the lease
Furniture and fittings	3 - 10 years
Information Technology:	
- PCs, peripherals and other related equipment	4 – 7 years
- Servers	7 years

1.6 Intangible assets

Expenditure on intangible assets is recognised when the Office of the Police Ombudsman for Northern Ireland controls the asset, is probable that future economic benefits attributable to the asset will flow to the Office and the cost of the assets can be reliably measured.

The Office's intangible assets consist of a bespoke information technology system for recording complaints (Case Handling System – CHS), and purchased software licences where expenditure is £1,000 or more. Intangible assets are revalued annually using appropriate indices compiled by the Office for National Statistics. Any surplus/loss on revaluation is treated as follows:

- Unrealised surplus arising from assets funded by Grant-in-Aid is credited to the Revaluation Reserve unless it reverses a decrease of the same asset previously recognised in the Statement of Comprehensive Net Expenditure, to that extent.
- Unrealised surplus arising from assets funded by Capital Grant is credited to the Government Grant Reserve.
- Losses on revaluation arising from assets funded by Grant-in-Aid are debited to the Revaluation Reserve to the extent that gains were recorded previously, and otherwise to the Statement of Comprehensive Net Expenditure.
- Losses on revaluation arising from assets funded by Capital Grant are debited to the Statement of Comprehensive Net Expenditure and amounts equal to the amortisation/diminution in the asset are released from the Government Grant Reserve.

Amortisation is calculated on a straight line basis over the shorter of the term of the licence and the useful economic life (four to seven years). Intangible assets are reviewed annually for impairment.

1.7 Pension costs

Past and present employees are covered by the provisions of the Principal Civil Service Pension Scheme (Northern Ireland) [PCSPS(NI)] which are described in the Remuneration Report on pages 43 to 48 and in note 4.4. The defined benefit elements of the schemes are unfunded. The organisation recognises the expected cost of these elements on a systematic and rational basis over the period during which it benefits from employees' services by payment to the PCSPS (NI) of amounts calculated on an accruing basis. Liability for payment of future benefits is a charge on the PCSPS (NI). In respect of the defined contribution elements of the schemes, the organisation recognises the contributions payable for the year.

The former Police Ombudsman was a member of a pension scheme which was by-analogous to PCSPS (NI) Nuvos arrangements. The details of which are described in note 4.3

1.8 Leases

Leases are classified as operating leases where substantially all of the risks and rewards are held by the lessor. The total cost of operating leases is charged to other operating costs on a straight-line basis over the period of the lease.

1.9 Insurance

Insurance costs in respect of motor vehicles and buildings are charged to the Statement of Comprehensive Net Expenditure. No insurance is effected against the following: fire, explosion, common law, third party and similar risks.

1.10 Provisions

The Office of the Police Ombudsman for Northern Ireland provides for legal or constructive obligations which are of uncertain timing or amount at the reporting period date on the basis of the best estimate of the expenditure required to settle the obligation.

1.11 Financial instruments

Financial assets and liabilities are recognised when the Office of the Police Ombudsman for Northern Ireland becomes party to the contractual provisions of the instrument. Financial assets are derecognised when the Office no longer has rights to cash flows, the risks and rewards of ownership or control of the asset.

Financial liabilities are derecognised when the obligation under the liability is discharged, cancelled or expires. The Office of the Police Ombudsman for Northern Ireland does not hold any complex financial instruments.

1.11.1 Financial assets

Trade and other receivables

Financial assets within trade and other receivables are initially recognised at fair value, which is usually the original invoiced amount, less provision for impairment.

Cash and cash equivalents

Cash and cash equivalents comprise cash in hand and current balances with banks which are readily convertible to known amounts of cash and which are subject to insignificant risk of changes in value and have an original maturity of three months or less.

Impairment of financial assets

The Office assesses at each reporting period date whether a financial asset or group of financial assets are impaired. Where there is objective evidence that an impairment loss has arisen on assets carried at amortised cost, the carrying amount is reduced with the loss being recognised in the Statement of Comprehensive Net Expenditure.

1.11.2 Financial liabilities

Trade and other payables

Financial liabilities within trade and other payables are initially recognised at fair value, which is usually the original invoiced amount, less provision for impairment.

1.12 Employee benefits

Under IAS 19, an employing entity should recognise the undiscounted amount of short term employee benefits expected to be paid in exchange for service. The Office of the Police Ombudsman for Northern Ireland has therefore recognised both annual and flexi leave entitlements that have been earned by the reporting period end, but not yet taken. These costs are reflected in staff costs and current liabilities.

1.13 Critical accounting estimates and key judgements

The preparation of financial statements in conformity with IFRS requires the use of accounting estimates and assumptions. It also requires management to exercise its judgement in the process of applying the Office's accounting policies. The Office of the Police Ombudsman for Northern Ireland continually evaluates its estimates, assumptions and judgements based on available information and experience. As the use of estimates is inherent in financial reporting, actual results could differ from these estimates. The estimates and assumptions which have the most significant risk of causing material adjustment to the carrying amount of assets and liabilities are discussed below.

(1) Depreciation of plant, property and equipment

Depreciation is provided so as to write-down the respective assets to their residual values over their expected lives, and as such, the selection of the estimated useful lives and the expected residual values of the assets requires the use of estimates and judgements. Details of the estimated useful lives are in note 1.5

(2) Amortisation of Tangible assets

Amortisation is provided so as to write-down the respective assets to their residual value over their expected lives, and as such, the selection of the estimated useful lives and the expected residual values of the assets requires the use of estimates and judgements. Details of the estimated useful lives are in note 1.6

(3) Provisions

Provisions for legal claims are made on the basis of all known claims, estimated based on legal advice. The amount which is provided is based on an expected probability basis, where the total probable cost is provided in full if the expected risk of failure is likely to exceed 50% and on full anticipated costs of defending legal actions, where no recovery of such costs is likely. Details of the legal provisions are shown in note 11.

1.14 Accounting standards, interpretations and amendments to published standards adopted in the year ended 31 March 2012

Chapter in FReM 2011-12	Comments
IAS 24 Related Party Disclosures (amendment)	The amendments clarify the definition of a related party and simplify the disclosure requirements where an entity is controlled, jointly controlled or significantly influenced by a government. The FReM interpretation of IAS 24 (Chapter 5) covers the areas amended by IASB and applicable to the public sector from 1 January 2011.
IAS 20 Accounting for Government Grants and disclosure of Government Assistance	All government grants or donated assets should be recognised as income reflecting the conditions or restriction placed on their use by the providers. They should be recognised when receivable unless there are conditions on their use which, if not met, would mean the grant is repayable. In such cases the income should be deferred and released when the obligations are met. Where a grant only has restricted without conditions it should be recognised as income immediately.

The Office of the Police Ombudsman for Northern Ireland has reviewed the remaining standards, interpretations and amendments to published standards that became effective during 2011-12 and which are relevant to its operations. The adoption of these standards has not had a significant impact on the financial position or results of the Office.

1.15 Accounting standards, interpretations and amendments to published standards not yet effective

The Office of the Police Ombudsman for Northern Ireland has reviewed the additional or revised accounting standards and new (or amendments to) interpretations contained within the Government Financial Reporting Manual (FReM) 2012-13 and considers that these changes are not relevant to its operations.

In addition, certain new standards, interpretations and amendments to existing standards have been published that are mandatory for accounting periods beginning on or after 1 April 2012 or later periods, but which the Office of the Police Ombudsman for Northern Ireland has not adopted early. Other than as outlined in the table below, the Office of the Police for Northern Ireland considers that these standards are not relevant to its operations.

Standard	Description of revision	Application date	Comments
IFRS 13 – Fair Value Measurement	IFRS 13 has been prepared to provide consistent guidance on fair value measurement of all relevant balances and transactions covered by IFRS (except where IFRS 13 explicitly states otherwise). The standard defines fair value, provides guidance on fair value measurement techniques and sets out the disclosure requirements.	1 January 2013 (not yet EU adopted)	The application of IFRS 13 is subject to further review by HM Treasury and the other Relevant Authorities before due process consultation.

2 Financial Targets

The Office of the Police Ombudsman for Northern Ireland has no formally agreed financial targets.

3 Analysis of Net Expenditure by Segment

	Core Investigations £	Historical Investigations £	Total £
Comprehensive expenditure 2011-12	7,604,793	1,030,100	8,634,893
Comprehensive expenditure 2010-11(restated)	7,762,026	970,603	8,732,629

The segments identified by the Office correspond with the normal segmental provision of information to the Interim Chief Executive and is consistent with the separate funding provided by and reporting requirement to the sponsoring department

4 Staff numbers and related costs

4.1 Staff costs incurred during the period were as follows:

	2011-12 £	2010-11 £
Amounts payable in respect of directly employed staff		
Wages and salaries	4,136,742	4,192,649
Social security costs	343,722	314,010
Employer's pension contributions	831,066	791,105
Total direct employee staff costs	5,311,530	5,297,764
Amounts payable in respect of staff on secondment, agency/temporary staff, and contract staff	710,007	792,690
Total staff costs	6,021,537	6,090,454

The Office of the Police Ombudsman for Northern Ireland meets all of the staff costs for seconded staff as these are incurred. Although these costs are fully re-charged to the Office, the seconding organisation remains the permanent employer with responsibility for their pay, allowances and pension.

4.2 The average number of full time equivalent persons employed during the period were as follows:

	2011-12 No.	2010-11 No.
Directly employed Police Ombudsman staff		
Management and executive	7	8
Administrative and support staff	34	35
Complaints and investigation staff	88	90
Seconded, agency/temporary and contract staff		
Management and executive	1	1
Administrative and support staff	4	3
Complaints and investigation staff	5	7
Total average number of full time equivalent persons	139	144

4.3 Police Ombudsman's Remuneration

The Police Ombudsman, Mr Al Hutchinson, was employed within the Office of the Police Ombudsman for Northern Ireland until the end of February 2012. His total remuneration from 1 April 2011 to 29 February 2012, including benefits in kind, but excluding pension contributions, was £138,756. The full time equivalent amount would have been £150,447. The Police Ombudsman's total remuneration for the year ended 31 March 2011 was £160,840.

The monetary value of the Police Ombudsman's benefit in kind during the year was £10,151, which comprised £5,352 in relation to return flights to Canada for the Police Ombudsman and his spouse, and £4,799 for related tax and national insurance payments on this benefit which is paid by the Office on the Police Ombudsman's behalf. The Police Ombudsman and his spouse were entitled to up to three return flights per year under the terms and conditions of his appointment. The comparative total for the year ended 31 March 2011 was £20,544.

The Police Ombudsman was a member of a pension scheme which is by-analogous to the Principal Civil Service Pension Scheme (Northern Ireland) [PCSPS (NI)] Nuvo arrangements. For the year ended 31 March 2012, £29,401 was payable to the Department of Justice (£32,047 for the year ended 31 March 2011). The Department of Justice has responsibility for the Broadly by Analogy (BBA) pension schemes of public appointments within its Departmental boundary and also entities for which it retains lead policy responsibility. A BBA pension arrangement entitles the recipient to benefits similar to comparable schemes in PCSPS (NI). The Office and the Police Ombudsman are obliged to make contributions in line with this scheme. Further details on the PCSPS (NI) Nuvo scheme can be found in the remuneration report on page 43 to 48.

4.4 Pensions

The Principal Civil Service Pension Scheme (Northern Ireland) [PCSPS (NI)] is an unfunded multi-employer defined benefit scheme. The Office of the Police Ombudsman for Northern Ireland is unable to identify its share of the underlying assets and liabilities. A full actuarial calculation was carried out as at 31 March 2007. In accordance with FReM, full actuarial valuations should be carried out every four years. However, formal actuarial valuations for unfunded public service pension schemes have been suspended by HM Treasury on value for money grounds while consideration is given to recent changes to public service pensions and while future scheme terms are developed as part of the reforms to public sector pension provision. The primary purpose of the formal actuarial valuations is to set employer and employee contribution rates, and these are currently being determined under the new scheme design. Details can be found in the PCSPS (NI) resource accounts.

For the year ended 31 March 2012, employers' contributions of £801,665 were payable to the PCSPS (NI) (£759,058 for the year ended 31 March 2011) at one of four rates in the range 18% to 25% of pensionable pay (18% to 25% for the year ended 31 March 2011), based on salary bands. The scheme's Actuary reviews employer contributions following a full scheme valuation. From 2012/13 the rates will remain in the range 18% to 25%. The contribution rates reflect benefits as they are accrued, not when the costs are actually incurred and reflect past experience of the scheme.

Employees can opt to open a partnership pension account which is a stakeholder pension with an employer contribution. Employer contributions are age-related and range from 3% to 12.5% of pensionable pay. Employers also match employee contributions up to 3% of pensionable pay. Additionally 0.8% of pensionable pay is payable to PCSPS (NI) to cover the cost of the future provision of lump sum benefits of death in service and ill health retirements of these employees. There were no employer's contributions paid to the appointed stakeholder pension providers during the year (£nil for the year ended 31 March 2011).

The Remuneration Report on pages 43 to 48 contains detailed pension information.

5 Other Expenditure

	Note	2011-12		2010-11
		£	£	Restated £
Travel and subsistence		94,296	136,553	
Training, recruitment and other personnel costs		318,443	409,007	
Rates, maintenance, electricity and other accommodation costs		480,331	542,091	
Consultancy and legal costs		41,707	35,145	
Information and media		110,282	117,188	
Printing, stationery, postage and office equipment		92,148	93,431	
Direct case investigation costs		66,437	71,095	
Computer support including maintenance and telecommunications		346,671	338,318	
Other costs		77,822	98,624	
Operating leases - photocopying machines		11,172	11,509	
Operating leases - other (rent & car leases)		360,321	356,256	
External audit fee		12,000	12,000	
		<u>2,011,630</u>	<u>2,221,217</u>	
Non cash items:				
Provisions - provided in year	11	204,178	16,000	
Provisions - released in year not required	11	(7,566)	(65,000)	
Depreciation and amortisation of assets:				
Property, plant and equipment	6	273,525	255,781	
Intangible assets	7	209,551	201,605	
Revaluation of assets – (gains)/losses				
Property, plant and equipment	6	(77,287)	7,057	
Intangible assets	7	(675)	5,515	
		<u>601,726</u>	<u>420,958</u>	
Total expenditure		2,613,356	2,642,175	

6 Property, plant and equipment

2011-12	Buildings, leasehold improvements New Cathedral Buildings £	Furniture & fittings £	Information technology £	Total £
Cost or valuation				
At 1 April 2011	690,000	389,099	771,253	1,850,352
Additions	(42,791)	8,028	8,982	(25,781)
Revaluation	(97,209)	2,421	2,499	(92,289)
At 31 March 2012	550,000	399,548	782,734	1,732,282
Depreciation				
At 1 April 2011	-	278,943	549,777	828,720
Charged in year	172,500	29,995	71,030	273,525
Revaluations/Back log	(172,500)	573	503	(171,424)
At 31 March 2012	-	309,511	621,310	930,821
Net book value at 31 March 2012	550,000	90,037	161,424	801,461
Net book value at 31 March 2011	690,000	110,156	221,476	1,021,632

2010-11	Buildings, leasehold improvements New Cathedral Buildings £	Furniture & fittings £	Information technology £	Total £
Cost or valuation				
At 1 April 2010	700,000	388,122	835,511	1,923,633
Additions	115,031	10,016	7,227	132,274
Disposals	-	-	(14,071)	(14,071)
Revaluation	(125,031)	(9,039)	(57,414)	(191,484)
At 31 March 2011	690,000	389,099	771,253	1,850,352
Depreciation				
At 1 April 2010	-	245,430	524,379	769,809
Charged in year	140,000	40,924	74,857	255,781
Disposals	-	-	(14,071)	(14,071)
Revaluations/Back log	(140,000)	(7,411)	(35,388)	(182,799)
At 31 March 2011	-	278,943	549,777	828,720
Net book value at 31 March 2011	690,000	110,156	221,476	1,021,632
Net book value at 31 March 2010	700,000	142,692	311,132	1,153,824

The Office of the Police Ombudsman for Northern Ireland owns all its assets and has no finance leases.

IAS 16 requires measurement at fair value. Management considers open market value to be the best available estimate of fair value. Leasehold improvements have been valued by the Land and Property Services (Valuations) on the existing use basis at £550,000 as at 31 March 2012 (£690,000 as at 31 March 2011). The open market valuation at that date was £nil (£nil at 31 March 2011).

All other assets were re-valued on the basis of the latest available indices as at 31 March 2012. This has resulted in an increase in valuation of £3,844 as at 31 March 2012, which has been analysed below.

Analysis of property, plant and equipment revaluations	2011-12		2010-11	
	Revaluation Reserve	Comprehensive Expenditure Account	Revaluation Reserve	Comprehensive Expenditure Account
	£	£	£	£
Buildings - leasehold improvements	-	75,291	-	14,969
Fixtures & fittings	1,848	-	(1,628)	-
Information technology	-	1,996	-	(22,026)
	1,848	77,287	(1,628)	(7,057)

Analysis of property, plant and equipment payments	Note	2011-12	2010-11 £
Property, plant and equipment additions		(25,781)	132,274
Decrease / (Increase) in accruals related to property, plant & equipment	10	42,791	(22,098)
Total cash payments for property, plant and equipment		17,010	110,176

7 Intangibles assets

The Office of the Police Ombudsman for Northern Ireland intangible assets comprises purchased software licences and a bespoke information technology system (Case Handling System – CHS).

2011-12	Information technology, case handling system £	Software licences £	Total £
Cost or valuation			
At 1 April 2011	1,297,656	347,220	1,644,876
Additions	24,805	-	24,805
Revaluation	4,204	1,125	5,329
At 31 March 2012	1,326,665	348,345	1,675,010
Amortisation			
At 1 April 2011	410,660	275,386	686,046
Charged in year	190,439	19,112	209,551
Revaluation/Back log	1,330	450	1,780
At 31 March 2012	602,429	294,948	897,377
Net book value at 31 March 2012	724,236	53,397	777,633
Net book value at 31 March 2011	886,996	71,834	958,830

2010-11	Information technology, case handling system £	Software licences £	Total £
Cost or valuation			
At 1 April 2010	1,323,784	340,762	1,664,546
Additions	65,672	30,585	96,257
Revaluation	(91,800)	(24,127)	(115,927)
At 31 March 2011	1,297,656	347,220	1,644,876
Amortisation			
At 1 April 2010	252,149	268,390	520,539
Charged in year	175,997	25,608	201,605
Revaluation	(17,486)	(18,612)	(36,098)
At 31 March 2011	410,660	275,386	686,046
Net book value at 31 March 2011	886,996	71,834	958,830
Net book value at 31 March 2010	1,071,635	72,372	1,144,007

Intangible assets are adjusted to their current value each year by reference to appropriate indices compiled by the Office for National Statistics as at 31 March 2012. This has resulted in an increase in valuation of £3,549 as at 31 March 2012, all of which has been transferred to the Statement of Comprehensive Net Expenditure, as analysed below.

Analysis of intangible revaluations	2011-12		2010-11	
	Government Grant Reserve £	Comprehensive Expenditure Account £	Government Grant Reserve £	Comprehensive Expenditure Account £
Information technology (case handling system)	2,874	-	(74,314)	-
Software licences	-	675	-	(5,515)
	2,874	675	(74,314)	(5,515)

8 Trade receivables and other current assets

	2011-12 £	2010-11 £
Amounts falling due within one year:		
Deposits and advances	3,000	2,800
Prepayments and accrued income	210,268	191,050
	213,268	193,850
Amounts falling due after more than one year:		
Prepayments and accrued income	4,432	4,958
Total	217,700	198,808

9 Cash and cash equivalents

	2011-12 £	2010-11 £
Balance as at 1 April	175,187	156,748
Net changes in cash and cash equivalents	(268,302)	18,439
Balance at 31 March	(93,115)	175,187
The following balances were held at:		
Commercial banks and cash in hand	(93,115)	175,187
Balance at 31 March	(93,115)	175,187

10 Trade payables and other current liabilities

	2011-12 £	2010-11 £
Amounts falling due within one year:		
Trade payables	2,490	-
Other taxation and social security	21,743	24,805
Employee Benefit Accrual	194,145	207,223
Accruals and deferred income	349,932	441,639
Total	568,310	673,667

Included in Trade payables and other current liabilities is a debit balance of £20,693 for monies due to be refunded in respect of property plant and equipment which had been accrued as asset addition in 2010/11 but for which the final invoice was reduced. An amount of £22,098 was accrued within trade payables and other current liabilities in 2010/11 for property, plant and equipment which has been accrued for asset additions but against which payment and grant funding were expected to be made/received in the 2011/12 financial year.

Trade payables and other current liabilities include an Inter-Governmental balance of £11,077 (£12,750 in 2010-11) with Forensic Science Northern Ireland (FSNI), and £49,751 (£25,826 in 2010-11) with the Department of Finance & Personnel (DFP).

There are no trade payables falling due for payment after more than one year.

11 Provisions for liabilities and charges

	2011-12 £	2010-11 £
Balance at 1 April	52,250	105,249
Provided in the year	204,178	16,000
Provisions not required written back	(7,566)	(65,000)
Provisions utilised in the year	(65,862)	(3,999)
Balance at 31 March	183,000	52,250

Provisions for legal claims are made on the basis of all known claims, estimated based on legal advice. The amount which is provided is based on an expected probability basis, where the total probable cost is provided in full if the expected risk of failure is likely to exceed 50% and on full anticipated costs of defending legal actions, where no recovery of such costs is likely.

At 31 March 2012 the Office had ongoing seven cases with an overall provision of £183,000. The provision which has been calculated in respect of these matters is £60,000 for a Judicial Review, £73,500 for four civil actions and £49,500 for two employment matters. For four of these cases the provision relates to the legal costs to be incurred in defending these matters, as the expected risk of failure is estimated at 50% or less.

For two of the remaining cases the provision relates to an estimate of damages and related costs where it is considered that there is a risk that the Office may not successfully defend these matters and for the final matter the provision relates to legal fees associated with the Judicial Review. At 31 March 2011 the provision of £52,250 was in respect of one Judicial review matter and three civil actions.

Expenditure is likely to be incurred within one year and no re-imbursement is likely to occur.

12 Capital commitments

There were no contracted capital commitments as at 31 March 2012 not otherwise included in these financial statements. (£nil as at 31 March 2011.)

13 Commitments under leases

Total future minimum lease payments under operating leases are given in the table below for each of the following periods.

	2011-12 £	2010-11 £
Obligations under operating leases comprise:		
<i>Buildings</i>		
Not later than one year	334,080	334,080
Later than one year and not later than five years	564,000	867,700
Later than five years	-	-
<i>Photocopiers and vehicles:</i>		
Not later than one year	33,079	28,686
Later than one year and not later than five years	41,757	22,946
Later than five years	-	-
Total	972,916	1,253,412

14 Other financial commitments

The Office of the Police Ombudsman for Northern Ireland has not entered into any non-cancellable contracts.

15 Contingent liabilities disclosed under IAS 37

At 31 March 2012 the Office of the Police Ombudsman for Northern Ireland had four cases which are expected to be successfully defended. In the unlikely event that the Office should lose these cases, the estimate of maximum damages and further legal costs that could arise is £1,041,500 (31 March 2011: £82,000 estimate of maximum damages/legal fees in respect of 2 cases).

16 Related-party transactions

The Office of the Police Ombudsman for Northern Ireland is an executive Non-Departmental Public Body sponsored by the Department of Justice during the year end 31 March 2012.

The Department of Justice is regarded as a related party. During the year the Office of the Police Ombudsman for Northern Ireland has had various material transactions with the Department and with one other entity for which the Department of Justice is regarded as the parent Department, namely Forensic Science Northern Ireland.

In addition the Office of the Police Ombudsman for Northern Ireland has had various transactions with other Government Departments and some GB police forces.

During the year, none of the key management staff or other related parties has undertaken any material transaction with the Office.

17 Financial instruments

Due to the non-trading nature of the activities of the Office of the Police Ombudsman for Northern Ireland and the way in which it is funded as an executive Non-Departmental Public Body, financial instruments play a much more limited role in creating and managing risk than would apply to a non-public sector body. The Office has no powers to invest surplus funds, has limited end year flexibility and must obtain the approval of the Department of Justice prior to entering into borrowing arrangements. The Office has no current borrowing. Financial assets and liabilities are generated by day-to-day operational activities and are not held to change the risks facing the Office in undertaking its activities. The majority of financial instruments relate to contracts to buy non-financial items in line with expected purchase and usage requirements and the Office is therefore exposed to little credit, liquidity or market risk.

18 Events after the reporting period

Dr Michael Maguire has been appointed by the First and Deputy First Minister as the new Police Ombudsman for Northern Ireland. Dr Maguire is due to formally take up office on 16 July 2012.

The financial statements were authorised for issue by the Accounting Officer on 27 June 2012.

Annual Statistical Bulletin for the Office of the Police Ombudsman for Northern Ireland, 2011/12

Table 1: Complaints and allegations received, 2007/08 - 2011/12

The Office received 3,336 complaints and 5,896 allegations during 2011/12. This was approximately the same level of complaints and 7% less allegations than were received during 2010/11.

Year	Complaints	Allegations
2007/08	2997	5435
2008/09	3091	5415
2009/10	3542	6499
2010/11	3334	6326
2011/12	3336	5896

Table 2: Complaints and allegations received, by organisation, 2010/11 - 2011/12

Organisation	Complaints		Allegations	
	2010/11	2011/12	2010/11	2011/12
Police Service of Northern Ireland (PSNI)	3315	3291	6295	5842
Designated Civilian	10	22	13	30
Airport Police	0	2	0	2
Harbour Police	4	2	12	2
Serious and Organised Crime Agency	1	0	1	0
Other / Unknown	4	19	5	20
Total	3334	3336	6326	5896

Table 3: Source of complaints received, 2011/12

63% of complaints were made directly to the Office, and a further 17% were initially raised via the PSNI.

Sources of complaints received	Number
Direct to the Office	2098
Via Representative	665
Via PSNI	570
Other	3
Total	3336

Table 4: Complaints received, 1997/98 - 2011/12

The number of complaints received in 2011/12 is approximately at the same level as those received during 2010/11.

Year	RUC/PSNI	Office
1997/98	4037	
1998/99	3555	
1999/2000	3031	
2000/01	1905	1531
2001/02		3600
2002/03		3214
2003/04		2979
2004/05		2887
2005/06		3140
2006/07		3283
2007/08		2997
2008/09		3091
2009/10		3542
2010/11		3334
2011/12		3336

Table 5: Section 55 matters, 2011/12

By virtue of Section 55 of the Police (Northern Ireland) Act 1998 the Police Ombudsman can investigate matters about which no complaint has been made. During 2011/12, 49 Section 55 non complaint matters were recorded by the Office.

Section 55 matters	Number
Chief Constable Referral	30
Police Ombudsman Call-In	12
DPP Referral	4
HET Referral	3
Total	49

Table 6: Underlying factors in Section 55 non complaint matters, 2011/12

Underlying Factors in Section 55 Non Complaint Matters	Number
Section 55 (Chief Constable Referral)	
Discharge of Taser	9
Discharge of Attenuated Energy Projectiles	9
Failure in Duty	5
Use of excessive force	3
Discharge of firearm	2
Self-inflicted injury to detained person	1
Fatal road traffic accident	1
Sub-Total	30
Section 55 (Police Ombudsman Call In)	
Self-inflicted injury to detained person	2
Death following police contact	2
Failure in Duty	2
Discharge of AEPs (not reported via Chief Constable Referral procedure)	1
Discharge of firearm	1
Attempt to Pervert the Course of Justice	1
Police response to report of missing person	1
Threat to life	1
Use of excessive force	1
Sub-Total	12
Section 55 (HET Referral)	
Matters relating to the conduct of the RUC (1968 - 1998)	3
Sub-Total	3
Section 55 (DPP Referral)	
Attempt to Pervert the Course of Justice	4
Sub-Total	4
Total	49

Table 7: Section 55 Regulation 20 reports submitted to the Chief Constable, Department of Justice and Northern Ireland Policing Board, 2011/12

Section 55 (Regulation 20 Reports) submitted 2011/12	Number
Discharge of Taser	11
Discharge of AEP	6
Attempt to Pervert the Course of Justice	5
Failure in Duty	4
Assault	2
Discharge of CS Spray	1
Fatal Road Traffic Collision	1
Missing Person	1
Death following police contact	1
Traffic Offence	1
Oppressive Behaviour	1
Discharge of Firearm	1
Total	35

Table 8: Factors underlying complaints, 2011/12

Where known, the manner in which police conducted criminal investigations (24%) was the most significant factor underlying complaints during 2011/12, followed by Arrest (21%).

Factors underlying complaints	Number
Criminal investigation	763
Arrest	659
Search	338
Traffic incident	313
Police enquiries (No investigation)	237
Domestic incident	168
Other	700
Unknown	158
Total	3336

Table 9: Nature of allegations received, 2011/12

Thirty-five per cent of all allegations recorded during 2011/12 were of some form of Failure in Duty, and 33% were of Oppressive Behaviour.

Allegation Type	2010/11	2011/12
Failure in Duty	2510	2091
Oppressive Behaviour	1906	1944
Incivility	696	614
Others	1214	1247
Total	6326	5896

Table 10: Allegations by type and sub-type, 2011/12

Allegation Type	Allegation Subtype	Number	%
Failure in Duty	Conduct of police investigations	550	9%
	Failure to investigate	299	5%
	Failure to update	168	3%
	Failure to return phone calls and / or reply to correspondence	146	2%
	Detention, treatment and questioning	101	2%
	Improper disclosure of information	99	2%
	Failure / refusal to identify self	45	1%
	Failure to attend appointments / Undue delay in police response	42	1%
	Procedural irregularity	51	1%
	Denied access to medical attention	24	0%
	Failure to provide requested documentation e.g. police reports	19	0%
	Denied access to legal advice	5	0%
	Identification procedures	3	0%
	Other failure in duty	539	9%
Sub-Total		2091	35%
Oppressive Behaviour	Oppressive conduct (not involving assault)	746	13%
	Harassment (series of like incidents)	243	4%
	Sexual assault	36	1%
	Serious non-sexual assault	33	1%
	Other assault	886	15%
Sub-Total		1944	33%
Incivility	Incivility at domestic residence	135	2%
	Incivility by officer on the telephone	91	2%
	Incivility at police station	71	1%
	Incivility when stopped for a traffic offence	58	1%
	Incivility to person under 18 years	15	0%
	Other incivility	244	4%
Sub-Total		614	10%
Search	Irregularity re - search of premises	102	2%
	Irregularity re - stop/search of person	74	1%
	Damage to property	35	1%
	Irregularity re - stop/search of vehicle	30	1%
	Seizure of property	29	0%
Sub-Total		270	5%

Allegation Type	Allegation Subtype	Number	%
Unlawful/Unnecessary Arrest/Detention	Unlawful/unnecessary arrest/detention	224	4%
	Sub-Total	224	4%
Malpractice	Irregularity re evidence/perjury	91	2%
	Corrupt practice	27	0%
	Sub-Total	118	2%
Mishandling Of Property	Mishandling of property	107	2%
	Sub-Total	107	2%
Discriminatory Behaviour	Sectarian discriminatory behaviour	31	1%
	Racially discriminatory behaviour	31	1%
	Gender discriminatory behaviour (including sexist remarks)	8	0%
	Homophobic discriminatory behaviour	3	0%
	Disability discriminatory behaviour	3	0%
	Other discriminatory behaviour	3	0%
	Other religious discriminatory behaviour	1	0%
	Sub-Total	80	1%
Traffic	Driving of police vehicles	53	1%
	Other traffic irregularity	12	0%
	Sub-Total	65	1%
Section 55 Referral	Chief Constable referral	30	1%
	Police Ombudsman Call-In	12	0%
	DPP referral	4	0%
	Chief Constable HET referral	3	0%
	Sub-Total	49	1%
Other	Police Ombudsman call-in/out NFA	26	0%
	Other allegation	95	2%
	Other – insufficient detail	213	4%
	Sub-Total	334	6%
Total		5896	100%

Table 11: Location of allegations received, 2011/12

The largest proportion of incidents, where the location leading to complaints was known, took place within a police station (39%).

Allegation Location	Number
Police Station	2202
On Street	1572
Domestic Residence	1147
Police Vehicle	246
Other	464
Unknown	265
Total	5896

Table 12: Allegations received by DCU and ACU, 2011/12

During 2011/12, the largest number of allegations arose from incidents occurring in DCU E with 908 allegations followed by DCU A with 768 allegations. Furthermore within DCUs the largest number of allegations arose from incidents occurring in the South Belfast Area, with 459 allegations followed by the North Belfast Area with 424 allegations.

DCU and ACU		Number
A DCU	North Belfast	424
	West Belfast	344
	A DCU Sub-total	768
B DCU	East Belfast	227
	South Belfast	459
	B DCU Sub-total	686
C DCU	Ards	136
	Castlereagh	154
	Down	143
	North Down	204
	C DCU Sub-total	637

DCU and ACU		Number
D DCU	Antrim	192
	Carrickfergus	37
	Lisburn	331
	Newtownabbey	197
D DCU Sub-total		757
E DCU	Armagh	154
	Banbridge	166
	Craigavon	334
	Newry & Mourne	254
E DCU Sub-total		908
F DCU	Cookstown	88
	Dungannon & South Tyrone	152
	Fermanagh	166
	Omagh	146
F DCU Sub-total		552
G DCU	Foyle	345
	Limavady	123
	Magherafelt	70
	Strabane	55
G DCU Sub-total		593
H DCU	Ballymena	192
	Ballymoney	49
	Coleraine	328
	Larne	57
	Moyle	18
H DCU Sub-total		644
Designated Civilian		30
Harbour Police		2
Airport Police		2
Serious and Organised Crime Agency		0
Unknown PSNI DCU		297
Other / Unknown Organisations		20
Total		5896

Table 13: Rank of officers complained about, 2011/12

The majority of officers who attracted complaints were constables (84%).

Rank of officers complained about	%
Constable	84%
Sergeant	13%
Inspector and Above	2%
Total	100%

Table 14: Number of police officers attracting three or more complaints, 2009/10 - 2011/12*

The number of police officers attracting three or more complaints has decreased over the last three years.

Year	Number of police officers who attracted three or more complaints
2009/10	340
2010/11	277
2011/12	264

* for confidentiality purposes this does not include officers above the rank of Inspector

Table 15: Processing of new complaints, 2011/12

Of the 3,336 complaints received by the Office during 2011/12, 1,777 (53%) have been referred for investigation to date. The remaining 1,559 (47%) were dealt with within the Initial Complaints Office. It is expected that a further number will be referred for investigation as preliminary enquiries continue.

Processing of new complaints	Number
Referred for Investigation	1777
With the Initial Complaints Office	1559
Total	3336

Table 16: Complaints and Allegations closed, 2011/12

Complaints & Allegations	Total Number Closed
Complaints	3334
Allegations	6074

Table 17: Recommendations arising from allegations closed, 2011/12

Recommendations arising from allegations closed	Number	%
Not substantiated	3629	41%
Non co-operation by complainant	1936	22%
To PPS - no criminal charges recommended	899	10%
Recommended action	424	5%
Informally/Locally Resolved	404	5%
Substantiated - no action recommended	113	1%
Outside remit	581	7%
Withdrawn	415	5%
Ill-founded	282	3%
Other Recommendations	194	2%
Total	8877	100%

Table 18: Recommendations following investigation, 2011/12

Seventy two per cent of recommendations made following investigation were not substantiated due to lack of evidence, whilst 8% recommended specific action towards an individual officer.

Recommendations following investigation	Number	%
Not substantiated	3629	72%
To PPS - no criminal charges recommended	899	18%
Recommended action	424	8%
Substantiated - No action recommended	113	2%
Total	5065	100%

Table 19: Recommendations made to the Public Prosecution Service, 2011/12

During 2011/12, the Office made 6 recommendations for prosecution.

Recommendations made to the Public Prosecution Service	Number
Recommendations for no prosecution	902
Recommendations for prosecution	6
Number of charges recommended	9

Table 20: Nature of charges recommended to the Public Prosecution Service, 2011/12

The Office recommended that nine criminal charges be brought against six police officers.

Nature of charges	Number
Intent to pervert the course of Public Justice	3
Common Assault	2
Misconduct in a Public Office	2
Careless Driving	1
Fabrication of False Evidence	1
Total	9

Table 21: Recommendations made to the Chief Constable, 2011/12

During 2011/12, the Office made 308 recommendations to the Chief Constable suggesting that Advice and Guidance be given to individual officers.

Recommendations made to Chief Constable	Number	%
Advice and Guidance	308	62%
Management Discussion	51	10%
Superintendent's Written Warning	115	23%
Formal Disciplinary Proceedings	19	4%
Total	493	100%

Table 22: Consent level for complaints suitable for Informal Resolution (IR), 2011/12

Fifteen percent of complaints received during 2011/12 were deemed suitable for Informal Resolution. Of these, 59% of complaints had consent given to proceed with the IR process.

Complaints referred to PSNI for IR	Number
Number of complaints/referrals	3336
Complaints suitable for IR	501
Complaints with consent given	300
Successful	162
Failed	54
Ongoing	59
Withdrawn	7
Outside Remit	7
Unsuitable	11
Complaints with consent not given	201
Declined	79
No response	94
Withdrawn	7
Further Enquiries	21
Total	501

Table 23: Outcome of Informal Resolution, 2011/12

Seventy four percent of complaints dealt with through the informal resolution process during 2011/12 were successfully resolved, whilst 24% failed the process.

Outcome of complaints referred for IR	Number
Successful	200
Failed	64
Withdrawn	5
Total	269

Table 24: Outcomes of successful Informal Resolutions, 2011/12

Ninety-six (48%) complaints were successfully resolved when, either complainants stated that they would be satisfied if constructive advice was given to the officer complained about or the action proposed by the PSNI Appointed Member was accepted.

Outcomes of successful resolutions	Number	%
Action taken accepted	51	26%
Constructive advice	45	23%
Brought to attention of officer(s)	41	21%
Apology from officer	23	12%
Apology on behalf of PSNI	16	8%
Face to face meeting with officer	10	5%
Explanation accepted	8	4%
Expression of regret	3	2%
Accept nothing further could be done	2	1%
Brought to attention of senior officer(s)	1	1%
Total	200	100%

EQUALITY MONITORING

Table 25: Gender of complainants, 2011/12

During 2011/12, 69% of complainants were male.

Gender	%
Male	69%
Female	29%
Not Applicable	2%

Table 26: Age of complainants, 2011/12

The largest proportion of complaints received during 2011/12 were made by people in the 25-34 age band.

Age Group	%
16-24	21%
25-34	25%
35-44	22%
45-54	20%
55-64	9%
65+	4%

Table 27: Religious belief of complainants, 2011/12

Complainants to the Office during 2011/12 were predominantly of a Catholic religious belief.

Religious Belief	%
Catholic	43%
Presbyterian	19%
Church Of Ireland	16%
Methodist	3%
Other Christian	6%
Other Religion	1%
No Religion	12%

Table 28: Marital status of complainants, 2011/12

The largest proportion of complainants (41%) had a marital status of 'single' during 2011/12.

Marital Status	%
Single	41%
Married/Co-habiting/Civil Partnership	37%
Divorced/Separated	18%
Widowed	4%

Table 29: Employment status of complainants, 2011/12

During 2011/12, 31% of complainants were in full or part-time employment.

Employment Status	%
Working full-time/part-time	31%
Unemployed	21%
Not working as permanently sick	16%
Self-employed	11%
Retired	9%
Looking after family/home	7%
Student	4%
Other	2%

Table 30: Political opinion of complainants, 2011/12

In the majority of complaints received during the year, complainants supported 'no political party.'

Political Opinion	%
No political party	51%
Democratic Unionist Party	16%
Sinn Féin	11%
Ulster Unionist Party	7%
Social Democratic and Labour Party	6%
Others	6%
Alliance party	3%

PUBLIC ATTITUDES TO THE OFFICE OF THE POLICE OMBUDSMAN

Note: For tables 31 - 50 where the number of respondents is less than 100, the actual number is given rather than the percentage denoted by the column label.

Table 31: Awareness of the Police Ombudsman for Northern Ireland

Year	%
Feb-11	84%
Jan-12	85%

Asked to all persons surveyed aged 16 and over.

Table 32: Awareness of the Police Ombudsman for Northern Ireland by gender, 2012

Gender	%
Male	89%
Female	81%

Asked to all persons surveyed aged 16 and over.

Table 33: Awareness of the Police Ombudsman for Northern Ireland by age group, 2012

Age group	%
<25	(52/93)
25 - 44	83%
45 - 64	95%
65+	87%

Asked to all persons surveyed aged 16 and over.

Table 34: Awareness of the Police Ombudsman for Northern Ireland by religion, 2012

Religion	%
Catholic	84%
Protestant	88%

Asked to all persons surveyed aged 16 and over.

Table 35: Do you think the Police Ombudsman for Northern Ireland is part of the police or independent of the police?

	Jan-10	Feb-11	Jan-12
Independent of the police	80%	83%	85%
Part of the police	17%	15%	12%
Don't know/refusal	2%	2%	3%

Asked to all persons who were aware of the Police Ombudsman.

Table 36: How confident are you that the Police Ombudsman deals with complaints against the police in an impartial way?

	Jan-10	Feb-11	Jan-12
Very confident / Fairly confident	83%	80%	77%
Not very confident / Not at all confident	13%	17%	20%
Don't know/refusal	3%	3%	3%

Asked to all persons who were aware of the Police Ombudsman.

Table 37: % Respondents who think the Police Ombudsman for Northern Ireland will help ensure that the police do a good job

Year	%
Jan-10	87%
Feb-11	85%
Jan-12	85%

Asked to all persons who were aware of the Police Ombudsman.

Table 38: % Respondents aware of independence by gender, 2012

Gender	%
Male	85%
Female	86%

Asked to all persons who were aware of the Police Ombudsman.

Table 39: % Respondents aware of independence by age group, 2012

Age group	%
<25	(19/52)
25 - 44	85%
45 - 64	90%
65+	84%

Asked to all persons who were aware of the Police Ombudsman.

Table 40: % Respondents aware of independence by religion, 2012

Religion	%
Catholic	82%
Protestant	87%

Asked to all persons who were aware of the Police Ombudsman.

Table 41: % Respondents confident that the Police Ombudsman deals with complaints against the police in an impartial way by gender, 2012

Gender	%
Male	72%
Female	81%

Asked to all persons who were aware of the Police Ombudsman.

Table 42: % Respondents confident that the Police Ombudsman deals with complaints against the police in an impartial way by age group, 2012

Age group	%
<25	(35/52)
25 - 44	78%
45 - 64	77%
65+	78%

Asked to all persons who were aware of the Police Ombudsman.

Table 43: % Respondents confident that the Police Ombudsman deals with complaints against the police in an impartial way by religion, 2012

Religion	%
Catholic	70%
Protestant	81%

Asked to all persons who were aware of the Police Ombudsman.

Table 44: % Respondents who think the Police Ombudsman for Northern Ireland will help ensure that the police do a good job by gender, 2012

Gender	%
Male	83%
Female	88%

Asked to all persons who were aware of the Police Ombudsman.

Table 45: % Respondents who think the Police Ombudsman for Northern Ireland will help ensure that the police do a good job by age group, 2012

Age group	%
<25	(42/52)
25 - 44	86%
45 - 64	83%
65+	90%

Asked to all persons who were aware of the Police Ombudsman.

Table 46: % Respondents who think the Police Ombudsman for Northern Ireland will help ensure that the police do a good job by religion, 2012

Religion	%
Catholic	87%
Protestant	86%

Asked to all persons who were aware of the Police Ombudsman.

Table 47: If you were to make a complaint against a police officer, do you think you would be treated fairly?

	%
Fairly treated	83%
Not fairly treated	12%
Don't know/refusal	5%

Asked to all persons who were aware of the Police Ombudsman.

Table 48: % Respondents who feel they would be treated fairly by the Police Ombudsman by gender, 2012

Gender	%
Male	82%
Female	84%

Asked to all persons who were aware of the Police Ombudsman.

Table 49: % Respondents who feel they would be treated fairly by the Police Ombudsman by age group, 2012

Age group	%
<25	(33/52)
25 - 44	81%
45 - 64	84%
65+	88%

Asked to all persons who were aware of the Police Ombudsman.

Table 50: % Respondents who feel they would be treated fairly by the Police Ombudsman by religion, 2012

Religion	%
Catholic	78%
Protestant	87%

Asked to all persons who were aware of the Police Ombudsman.

COMPLAINANT SATISFACTION

Table 51: Overall complainant satisfaction with the service provided by the Office, 2011/12

Satisfaction level	%
Very satisfied	23%
Satisfied	29%
Neither satisfied nor dissatisfied	11%
Dissatisfied	14%
Very dissatisfied	23%

Table 52: Would you use the complaints system again?, 2011/12

	%
Yes	64%
No	36%

Table 53: Complainant perception of Ombudsman staff, 2011/12

Perception	%
Polite	95%
Friendly	93%
Easy to understand	90%
Professional	89%
Patient	89%
Knowledgeable	83%
Impartial	76%
Not interested	20%
In a hurry	18%
Rude	7%

Table 54: Complainant satisfaction with aspects of the complaints process, 2011/12

Aspect	%
How easy to understand correspondence	73%
Length of time to respond after incident reported	72%
Clarity of explanation of process	63%
Advice provided by staff	61%
Seriousness with which complaint was treated	55%
Frequency of progress updates	55%
Overall time to resolve complaint	52%
The outcome of the complaint	39%

Table 55: Overall, do you think you were treated fairly by the Office?, 2011/12

	%
Yes	67%
No	33%

POLICE OFFICER SATISFACTION WITH INVESTIGATIONS

Table 56: Overall police officer satisfaction with the service provided, 2011/12

	%
Very satisfied	32%
Satisfied	41%
Neither satisfied nor dissatisfied	10%
Dissatisfied	9%
Very dissatisfied	8%

Table 57: Police officer perception of Ombudsman Investigation staff, 2011/12

Staff characteristics	%
Polite	98%
Patient	97%
Professional	95%
Impartial	94%
Knowledgeable	93%
Not interested	4%
Rude	3%
In a hurry	3%

Table 58: Police officer satisfaction with investigation process, 2011/12

Aspect	%
Outcome of investigation	82%
Manner in which police officer was received	80%
Manner of staff during interview	78%
Explanation of the process	78%
Quality of documentation	72%
Time taken to investigate the complaint	58%
Frequency of updates	57%

STAFF PROFILE

Table 59: Police Ombudsman Staff Profile by Gender as at 1st January 2012

Gender	%
Female	56%
Male	44%

Table 60: Police Ombudsman Staff Profile by Community background as at 1 January 2012

Community background	%
Protestant	52%
Catholic	40%
Not determined	8%



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