

April 27th, 2022

**Notice Of Meeting**

You are requested to attend the Audit Committee Meeting to be held on **Thursday, 28th April 2022** at **2:00 pm** in **Mourne Room Downshire Civic Centre Downpatrick** and via **Microsoft Teams**.

**Committee Membership:**

Ms Brona Slevin Independent Chairperson

Councillor P Byrne

Councillor C Casey

Councillor C Enright

Councillor L Devlin

Councillor M Gibbons

Councillor O Hanlon

Councillor A Lewis

Councillor D Murphy

Councillor D McAteer

Councillor K Owen

# Agenda

## 1.0 Apologies and Chairperson's remarks.

Cllr L Devlin

M Lipsett Director AHC


## 2.0 Declarations of Interest.

## 3.0 Action Sheet: Audit Committee Meeting - Tuesday 11 January 2022. (Attached)

 3 - Action Sheet - Audit Cmte 11 Jan 2022.pdf

Page 1

## 4.0 Dates and start times - Audit Committee Meetings 2022-23. (Attached)

 4 - Dates and proposed start times for meetings in 2022-23.pdf

Page 6

## 5.0 Audit Committee Terms of Reference and Timetable. (Attached)

 5.0 - Audit Committee ToR and Timetable.pdf

Page 7

 5.0 - Appendix 1 - AC ToR.pdf

Page 9

 5.0 - Appendix 2 - Audit Committe Timetable - April 2022.pdf

Page 12

## 6.0 Audit Committee Self Assessment. (Attached)

 Rpt from B Slevin re Self Assessment.pdf

Page 14

 NAO Self\_Assessment\_Checklist 2021-22.pdf

Page 17

## 7.0 Annual Assessment of Audit Committee and Chairperson's Performance. (Attached)

 7.0 - Chairpersons Performance 2021-22.docx

Page 24

 7.0 - Apendix 1 - Role of the AC Chair Checklist.docx





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**Corporate Services - (OPEN SESSION)**

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## 8.0 Corporate Risk Register (including AHC Risk Register). (Attached)

 <b>8. Corporate Risk Register April 2022.pdf</b>	<b>Page 28</b>
 <b>8. Appendix 1 - CRR Overview - April 2022.xlsx</b>	<b>Page 31</b>
 <b>8 - Appendix 2 - Corporate Risk Register - April 2022.pdf</b>	<b>Page 34</b>
 <b>8 - Appendix 3 - AHC Risk Register 6 April 2022.pdf</b>	<b>Page 56</b>

## **9.0 Prompt Payments. (Attached)**

 <b>9. Prompt Payments Report Q3.pdf</b>	<b>Page 68</b>
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### **Corporate Services (CLOSED SESSION)**

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## **10.0 Update re Audit Recommendations. (Attached)**

This item is deemed to be restricted by virtue of Paragraph 3 of Part 1 of Schedule 6 of the Local Government Act (Northern Ireland) 2014 - Information relating to the financial or business affairs of any particular person (including the Council holding that information) and the public may, by resolution, be excluded during this item of business.

 <b>EXEMPT 10 - Update on Audit Recommendations Apr 2022.pdf</b>	<b>Not included</b>
 <b>EXEMPT 10 - Internal Audit Follow Up Tracker April 2022.xlsx</b>	<b>Not included</b>

## **11.0 Procurement Action Plans (Bi Annual). (Attached)**

This item is deemed to be restricted by virtue of Paragraph 3 of Part 1 of Schedule 6 of the Local Government Act (Northern Ireland) 2014 - Information relating to the financial or business affairs of any particular person (including the Council holding that information) and the public may, by resolution, be excluded during this item of business.

 <b>EXEMPT 11 - Procurement Action Plans - April 2022 new.pdf</b>	<b>Not included</b>
 <b>EXEMPT 11 - Appendix 1 - CE Office.xlsx</b>	<b>Not included</b>
 <b>EXEMPT 11 - Appendix 2 - CS.xlsx</b>	<b>Not included</b>
 <b>EXEMPT 11 - Appendix 3 - AHC.xlsx</b>	<b>Not included</b>
 <b>EXEMPT 11 - Appendix 4 - ERT.xlsx</b>	<b>Not included</b>
 <b>EXEMPT 11 - Appendix 5 - NS.xlsx</b>	<b>Not included</b>

## **12.0 Direct Awards Contracts. (Attached)**

This item is deemed to be restricted by virtue of Paragraph 3 of Part 1 of Schedule 6 of the Local Government Act (Northern Ireland) 2014 - Information relating to the financial or business affairs of any

particular person (including the Council holding that information) and the public may, by resolution, be excluded during this item of business.

 **EXEMPT 12 - STA Cover Report Q4 2021-22.pdf** **Not included**

 **EXEMPT 12 - Appendix 1 - Q4 STAs.xlsx** **Not included**

### **13.0 Update re: Fraud and Whistleblowing. (Attached)**

This item is deemed to be restricted by virtue of Paragraph 3 of Part 1 of Schedule 6 of the Local Government Act (Northern Ireland) 2014 - Information relating to the financial or business affairs of any particular person (including the Council holding that information) and the public may, by resolution, be excluded during this item of business.

 **EXEMPT 13 - Rpt re Fraud and Raising Concerns update.pdf** **Not included**

 **EXEMPT 13 - Appendix 1 - Fraud and Raising Concerns Register.pdf** **Not included**

 **EXEMPT 13 - Appendix 2 - NIAO Internal Fraud Risks Guide.pdf** **Not included**

### **14.0 Internal Audit Contract Extension. (Attached)**

This item is deemed to be restricted by virtue of Paragraph 3 of Part 1 of Schedule 6 of the Local Government Act (Northern Ireland) 2014 - Information relating to the financial or business affairs of any particular person (including the Council holding that information) and the public may, by resolution, be excluded during this item of business.

 **EXEMPT 14 - Extension of the Internal Audit Contract.pdf** **Not included**

 **EXEMPT 14 - Appendix 1 - Internal Audit Contract 2019-2023.pdf** **Not included**

### **15.0 Report re Museums. (Attached)**

This item is deemed to be restricted by virtue of Paragraph 3 of Part 1 of Schedule 6 of the Local Government Act (Northern Ireland) 2014 - Information relating to the financial or business affairs of any particular person (including the Council holding that information) and the public may, by resolution, be excluded during this item of business.

 **EXEMPT 15 - Councillor Request for investigation into Museums restructuring.pdf** **Not included**

 **EXEMPT 15 - Appendix 2.pdf** **Not included**

### **16.0 Newry City Centre Regeneration Programme (NCCR) - Governance Review update. (Attached)**

This item is deemed to be restricted by virtue of Paragraph 3 of Part 1 of Schedule 6 of the Local Government Act (Northern Ireland) 2014 - Information relating to the financial or business affairs of any particular person (including the Council holding that information) and the public may, by resolution, be excluded during this item of business.



## **17.0 Operators Licence Audit. (Attached)**

This item is deemed to be restricted by virtue of Paragraph 3 of Part 1 of Schedule 6 of the Local Government Act (Northern Ireland) 2014 - Information relating to the financial or business affairs of any particular person (including the Council holding that information) and the public may, by resolution, be excluded during this item of business.

📄 *EXEMPT 17 - Cover Report 28 04 22.pdf*

*Not included*

📄 *EXEMPT 17 - Confidential Report - App I - 28 04 22.pdf*

*Not included*

📄 *EXEMPT 17 - Confidential Report - App II - 28 04 22.pdf*

*Not included*

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### ***Internal Audit (CLOSED SESSION)***

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## **18.0 ASM Summary Report. (Attached)**

This item is deemed to be restricted by virtue of Paragraph 3 of Part 1 of Schedule 6 of the Local Government Act (Northern Ireland) 2014 - Information relating to the financial or business affairs of any particular person (including the Council holding that information) and the public may, by resolution, be excluded during this item of business.

📄 *EXEMPT 18 - NMDDC Summary report April 2022 Audit Committee.pdf*

*Not included*

## **19.0 ASM Annual Assurance Report 2021/22. (Attached)**

This item is deemed to be restricted by virtue of Paragraph 3 of Part 1 of Schedule 6 of the Local Government Act (Northern Ireland) 2014 - Information relating to the financial or business affairs of any particular person (including the Council holding that information) and the public may, by resolution, be excluded during this item of business.

📄 *EXEMPT 19 - 2021.22 NMDDC - AAR - Final.pdf*

*Not included*

## **20.0 ASM Internal Audit Report - Accounts Receivable - Satisfactory. (Attached)**

This item is deemed to be restricted by virtue of Paragraph 3 of Part 1 of Schedule 6 of the Local Government Act (Northern Ireland) 2014 - Information relating to the financial or business affairs of any particular person (including the Council holding that information) and the public may, by resolution, be excluded during this item of business.

📄 *EXEMPT 20 - 202122 - NMDDC Accounts Receivable and credit control - final.pdf*

*Not included*

## **21.0 ASM Internall Audit Report - Review of PY Recommendations. (Attached)**

This item is deemed to be restricted by virtue of Paragraph 3 of Part 1 of Schedule 6 of the Local Government Act (Northern Ireland) 2014 - Information relating to the financial or business affairs of any particular person (including the Council holding that information) and the public may, by resolution, be excluded during this item of business.

 **EXEMPT 21- 2021.22 NMDDC - Follow up - Final report.pdf**

**Not included**

## **22.0 ASM Internal Audit Report - follow up of Single Tender Actions Report. (Attached)**

This item is deemed to be restricted by virtue of Paragraph 3 of Part 1 of Schedule 6 of the Local Government Act (Northern Ireland) 2014 - Information relating to the financial or business affairs of any particular person (including the Council holding that information) and the public may, by resolution, be excluded during this item of business.

 **EXEMPT 22 - 2021.22 NMDDC Follow up of investigation into the Councils use of STA - final report.pdf**

**Not included**

## **23.0 Internal Audit Strategy and Annual Plan. (Attached)**

This item is deemed to be restricted by virtue of Paragraph 3 of Part 1 of Schedule 6 of the Local Government Act (Northern Ireland) 2014 - Information relating to the financial or business affairs of any particular person (including the Council holding that information) and the public may, by resolution, be excluded during this item of business.

 **EXEMPT 23 - 202223 NMDDC IA Plan - draft for AC approval.pdf**

**Not included**

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### **NIAO (CLOSED SESSION)**

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## **24.0 External Audit Strategy. (Attached)**

This item is deemed to be restricted by virtue of Paragraph 3 of Part 1 of Schedule 6 of the Local Government Act (Northern Ireland) 2014 - Information relating to the financial or business affairs of any particular person (including the Council holding that information) and the public may, by resolution, be excluded during this item of business.

 **EXEMPT 24 - Cover letter Audit Strategy 21-22.pdf**

**Not included**

 **EXEMPT 24 - Appendix 1 - NIAO Audit Strategy NMDDC 21-22.pdf**

**Not included**

## **25.0 NIAO Performance Audit and Assessment Report. (Attached)**

This item is deemed to be restricted by virtue of Paragraph 3 of Part 1 of Schedule 6 of the Local Government Act (Northern Ireland) 2014 - Information relating to the financial or business affairs of any particular person (including the Council holding that information) and the public may, by resolution, be excluded during this item of business.

 **EXEMPT 25 - AC Cover Report Improvement Audit and Assessment 2020-21.pdf**

**Not included**

 **EXEMPT 25 - Appendix 1 Correspondence Dorinnia Carville 250222.pdf**

**Not included**

 *EXEMPT 25 - Appendix 2 NMD PI Section 95 Report 21-22 - FINAL.pdf* *Not included*

 *EXEMPT 25 - Appendix 3 Audit Certificate.pdf* *Not included*

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### *Performance (OPEN SESSION)*

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#### **26.0 Performance Improvement Objectives 2022-23. (Attached)**

 *26 - AC Cover Report Performance Improvement Objectives 2022-23.pdf* *Page 71*

 *26 - App 1 Consultation Draft Performance Improvement Objectives 2022-23.pdf* *Page 75*

 *26 - App 2 Development of the Performance Improvement Plan 2022-23.pdf* *Page 96*

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### *Circulars*


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#### **27.0 Circular LG 02/2022 - Accounts Direction to NI District Councils 2021/22. (Attached)**

 *27 - lg-circular-02-2022-accounts-direction-to-district-councils-2021-22.pdf* *Page 99*

 *27 - Appendix 1 - accounts-direction-to-district-councils-2021-22.PDF* *Page 101*

#### **28.0 Circular LG 07/2022 - Revised Model Terms Conditions and Restrictions which may be specified in Entertainments Licences by Councils. (Attached)**

 *28 - dfc-lgc 7-22-revised-model-t&c-and-restrictions-which-may-be-specified-in-entertainments-licences-by-councils.pdf* *Page 105*

#### **29.0 Circular LG 09/2022 - Rates Statistics. (Attached)**

 *29 lg-9-2022-covering-letter - Rates Statistics.pdf* *Page 141*

 *29 - Appendix 1 - lg-9-2022-rates-stats.pdf* *Page 142*

#### **30.0 Circular LG 10/2022 - Consolidated Councillor Allowances. (Attached)**

 *30 -lg-10-2022-consolidated Councillor Allowances.pdf* *Page 147*

# Invitees

Cllr Terry Andrews

Mr Patrick Barr

Ms Karen Beattie

Ms Kate Bingham

Cllr Patrick Brown

Cllr Robert Burgess

Cllr Pete Byrne

Mr Gerard Byrne

Mrs Dorinnia Carville

Cllr Charlie Casey

Cllr William Clarke

Cllr Dermot Curran

Cllr Laura Devlin

Ms Louise Dillon

Cllr Cadogan Enright

Cllr Aoife Finnegan

Cllr Hugh Gallagher

Cllr Mark Gibbons

Christine Hagan

Cllr Oonagh Hanlon

Cllr Glyn Hanna

Cllr Valerie Harte

Cllr Roisin Howell

Mrs Sheila Kieran

Cllr Mickey Larkin

Cllr Alan Lewis

Mr Michael Lipsett

Cllr Oonagh Magennis

Mr Conor Mallon

Cllr Gavin Malone

Cllr Cathy Mason

Mr Johnny Mc Bride

Colette McAteer

Cllr Declan McAteer

Cllr Leeanne McEvoy

Cllr Harold McKee

Patricia McKeever

Cllr Karen McKeivitt

Cllr Andrew McMurray

Cllr Roisin Mulgrew

Cllr Declan Murphy

Cllr Barra Ó Muirí

Linda O'Hare  
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Cllr Gerry O'Hare  
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Cllr Kathryn Owen  
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Cllr Henry Reilly  
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Cllr Michael Rice  
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Cllr Michael Ruane  
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Cllr Michael Savage  
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Cllr Gareth Sharvin  
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Ms Brona Slevin  
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Donna Starkey  
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Cllr Gary Stokes  
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Sarah Taggart  
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Cllr David Taylor  
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Cllr Jarlath Tinnelly  
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Cllr John Trainor  
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Cllr William Walker  
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Mrs Marie Ward  
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**ACTION SHEET**  
**AUDIT COMMITTEE MEETING**  
**TUESDAY 11 JANUARY 22**

**(Action marked N to remain on: arising from Audit Committee Meeting – September 2020)**

Minute Ref	Subject	Decision	Lead Officer	Actions taken/ Progress to date	Remove from Action Sheet Y/N
AC/057/2020	(Action Sheet) Corporate Risk Register	To note that Minute No AC/030/2020 regarding Corporate Risk Register remain on the Action Sheet until such times as training is provided for Members regarding changes to The Orange Book Management of Risk – Principles and Concepts.	D Carville	Risk Policy / Strategy tabled at July Audit Committee and then at September SP&R for approval – Training for Members was completed prior to January 2022 AC meeting.	Y
		To note training would be provided in due course regarding changes to The Orange Book Management of Risk – Principles and Concepts.	D Carville	Noted. See above.	Y

**Actions: arising from Audit Committee Meeting – 11 January 2022)**

Minute Ref	Subject	Decision	Lead Officer	Actions taken/ Progress to date	Remove from Action Sheet Y/N
AC/005/2022	Corporate Risk Register	<p>(a) To approve the updates to the Corporate Risk Register highlighted within the summary at Appendix 1. (Full Corporate Risk Register can be evidenced at Appendix 2)</p> <p>(b) To note the revised ERT Directorate Risk Register at Appendix 3.</p> <p>(c) Officers to consider further the most appropriate manner to advise Councillors of risk considerations.</p>	<p>D Carville</p> <p>D Carville</p> <p>D Carville</p>	<p>Approved</p> <p>Noted</p> <p>Officers to provide more detail on AC cover sheet</p>	<p>Y</p> <p>Y</p> <p>Y</p>
AC/006/2022	Prompt Payment Statistics	To note the Quarter 2 2021-22 Prompt Payment statistics.	G Byrne	Noted	Y
AC/007/2022	Members' Register Of Interests	To note the 6 month review Report regarding Members' Register of Interests, and that going forward where there is no change in a Members circumstances, Officers to seek a nil return.	D Carville	Noted	Y

AC/008/2022	NIAO Local Government Auditors Report 2021	To note the Northern Ireland Audit Office (NIAO) Local Government Audit Report 2021.	K Beattie	Noted	Y
AC/009/2022	NIAO Annual Audit Letter	To note the Northern Ireland Audit Office (NIAO) Annual Audit Letter.	K Beattie	Noted	Y
AC/010/2022	(EXEMPT) NIAO (FINAL) Report to Those Charged with Governance	To note the Northern Ireland Audit Office (NIAO) Final Report to Those Charged with Governance.	K Beattie	Noted	Y
AC/011/2022	(EXEMPT) Update re: Audit Recommendations	To note the update in relation to previous audit recommendations.	G Byrne	Noted	Y
AC/012/2022	(EXEMPT) Update re: Fraud & Raising Concerns	To note the update in relation to Fraud and Raising Concerns cases.	G Byrne	Noted	Y



AC/013/2022	(EXEMPT) Quarterly Report Re: Single Tender Actions (STAs)	To note the 2021-22 Quarter 3 update in relation to Single Tender Actions.	G Byrne	Noted	Y
AC/014/2022	(EXEMPT) ASM Internal Audit Summary Report	To note the ASM Summary Audit report dated 11 January 2022.	C Hagan	Noted	Y
AC/015/2022	(EXEMPT) ASM Internal Audit Re: Information Systems & Security	To note the ASM Audit Fieldwork Report regarding Information Systems & Security.	C Hagan	Noted	Y
AC/016/2022	(EXEMPT) ASM Internal Audit Re: Programmes Unit -Financial Assistance Prog.	To note the Audit Fieldwork Report regarding Programmes Unit Financial Assistance Programme.	C Hagan	Noted	Y
AC/017/2022	(EXEMPT) ASM Internal Audit Re: Follow up – Implementation IT Strategy	To note the Audit Fieldwork Report regarding follow up of Implementation of IT Strategy.	C Hagan	Noted	Y
AC/018/2022	(EXEMPT) ASM Internal Audit Re: Asset Mgt	To note the Audit Fieldwork Report regarding Asset Management.	C Hagan	Noted	Y
AC/019/2022	(EXEMPT) ASM Internal Audit	To note the Audit Fieldwork Report regarding Estates	C Hagan	Noted	Y

	Re: Estates Mgt & Security	Management and Security.			
AC/020/2022	(EXEMPT) Performance Improvement Audit & Assessment 2020/21	To note the Performance Improvement Audit and Assessment 2020-21.	G Byrne	Noted	Y
AC/021/2022	Mid Year Assessment Performance Improvement Plan 2021	To note the Mid Year Assessment of the Performance Improvement Plan 2021-22.	G Byrne	Noted	Y
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## Dates and proposed start times for Audit Committee meetings in 2022-23

Date	Time	Location
Tuesday 19 July 2022	2pm	Downshire Civic Centre / MS Teams
Thursday 22 September 2022	2pm	Downshire Civic Centre / MS Teams
Wednesday 11 January 2023	2pm	Downshire Civic Centre / MS Teams
Tuesday 25 April 2023	2pm	Downshire Civic Centre / MS Teams

Proposed start times to be agreed by the Audit Committee.

<b>Report to:</b>	Audit Committee
<b>Date of Meeting:</b>	28 April 2022
<b>Subject:</b>	Audit Committee ToR and timetable for year ahead
<b>Reporting Officer (Including Job Title):</b>	Gerard Byrne: Assistant Director of Finance (acting)
<b>Contact Officer (Including Job Title):</b>	Dorinnia Carville: Director of Corporate Services / Interim Chief Executive

Confirm how this Report should be treated by placing an x in either:-

<b>For decision</b>	<input checked="" type="checkbox"/>	<b>For noting only</b>	<input type="checkbox"/>
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<b>1.0</b>	<b>Purpose and Background</b>
1.1	In line with good practice, the Terms of Reference for the Audit Committee should be reviewed annually to ensure they remain effective, reflect best practice and align with CIPFA guidance.
<b>2.0</b>	<b>Key issues</b>
2.1	The Audit Committee Terms of reference were reviewed and no amendments were required as they are compliant with CIPFA best practice – see Appendix 1.
2.2	The Audit Committee timetable for the 2021/22 year is laid out at Appendix 2. The timetable highlights the standing agenda reports which will be presented to the Members quarterly as well as supplementary reports which Members would expect to see each quarter. A key amendment to the timetable is the addition of scrutiny of the Directorate Procurement Action plans six monthly. Members interests are also going to be reviewed biannually.  The report also details who should be attending the pre-meeting of the Audit Committee each quarter.
<b>3.0</b>	<b>Recommendations</b>
3.1	Members to approve the Audit Committee Terms of Reference and to note the timetable for the year ahead.
<b>4.0</b>	<b>Resource implications</b>
4.1	Not applicable
<b>5.0</b>	<b>Due regard to equality of opportunity and regard to good relations (complete the relevant sections)</b>
5.1	<i>General proposal with no clearly defined impact upon, or connection to, specific equality and good relations outcomes</i>

	It is not anticipated the proposal will have an adverse impact upon equality of opportunity or good relations	<input checked="" type="checkbox"/>
5.2	<p><b><i>Proposal relates to the introduction of a strategy, policy initiative or practice and / or sensitive or contentious decision</i></b></p> <p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p> <p>If yes, please complete the following:</p> <p>The policy (strategy, policy initiative or practice and / or decision) has been equality screened <input type="checkbox"/></p> <p>The policy (strategy, policy initiative or practice and / or decision) will be subject to equality screening prior to implementation <input type="checkbox"/></p>	
5.3	<p><b><i>Proposal initiating consultation</i></b></p> <p>Consultation will seek the views of those directly affected by the proposal, address barriers for particular Section 75 equality categories to participate and allow adequate time for groups to consult amongst themselves <input type="checkbox"/></p> <p>Consultation period will be 12 weeks <input type="checkbox"/></p> <p>Consultation period will be less than 12 weeks (rationale to be provided) <input type="checkbox"/></p> <p><i>Rationale:</i></p> <p>Consultation not required.</p>	
<b>6.0</b>	<b>Due regard to Rural Needs (please tick all that apply)</b>	
6.1	<p>Proposal relates to developing, adopting, implementing or revising a policy / strategy / plan / designing and/or delivering a public service</p> <p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p> <p>If yes, please complete the following:</p> <p>Rural Needs Impact Assessment completed <input type="checkbox"/></p>	
<b>7.0</b>	<b>Appendices</b>	
	Appendix 1 – Audit Committee Terms of Reference Appendix 2 – Audit Committee timetable 2022-23	
<b>8.0</b>	<b>Background Documents</b>	
	None	

## AUDIT COMMITTEE

### -TERMS OF REFERENCE-

#### Scope

1. The Audit Committee (“the Committee”) is a key component of Newry, Mourne and Down District Council’s corporate governance arrangements. It provides an independent and high-level focus on the audit, assurance and reporting arrangements that underpin good governance and financial standards.
2. The purpose of the Committee is to provide independent assurance to those charged with governance on the adequacy of the risk management framework and the internal control environment. It provides independent review of the council’s governance, risk management and control frameworks and oversees the financial reporting and annual governance processes. It oversees internal audit and external audit, helping to ensure efficient and effective assurance arrangements are in place.

#### Responsibilities

##### *Governance, risk and control*

3. To review the council’s corporate governance arrangements against the good governance framework and consider annual governance reports and assurances.
4. To review the Annual Governance Statement prior to approval and consider whether it properly reflects the risk environment and supporting assurances, taking into account internal audit’s opinion on the overall adequacy and effectiveness of the council’s framework of governance, risk management and control.
5. To consider the council’s arrangements to secure value for money and review assurances and assessments on the effectiveness of these arrangements.
6. To consider the council’s framework of assurance and ensure that it adequately addresses the risks and priorities of the council.
7. To monitor the effective development and operation of risk management in the council.
8. To approve the council’s risk management strategy and monitor progress in addressing risk-related issues reported to the Committee, including the corporate risk register and assurance information on the management of key corporate risks.
9. To consider reports on the effectiveness of internal controls and monitor the implementation of agreed actions.
10. To monitor the council’s fraud and whistleblowing policies and monitor the implementation of these policies, including the counter-fraud strategy, actions and resources.
11. To be advised of the Council’s structures, processes, systems and related arrangements for performance management.

##### *Internal audit*

12. To review proposals made in relation to the appointment of external providers of internal audit services and to make recommendations.
13. To approve the risk-based internal audit plan, including internal audit’s resource requirements, the approach to using other sources of assurance and any work required to place reliance upon those other sources.
14. To approve significant interim changes to the risk-based internal audit plan and resource requirements.
15. To make appropriate enquiries of both management and the Internal Auditor to determine if there are any inappropriate scope or resource limitations.
16. To consider the Internal Audit annual report.

17. To consider summaries of all internal audit reports on the Internal Audit plan.

#### *External audit*

18. To consider the external auditor's annual letter, relevant reports, and the report to those charged with governance.
19. To consider specific reports as agreed with the external auditor.

#### *Financial reporting*

20. To review the annual statement of accounts. Specifically, to consider whether appropriate accounting policies have been followed and whether there are concerns arising from the financial statements or from the audit that need to be brought to the attention of the council.

### **Membership**

21. The Committee is comprised of ten (10) Elected Members appointed to the Committee at the Council's Annual Meeting, plus one independent suitably qualified person, who will be recruited for the 4 year term of Council.

### **Quorum**

22. No business shall be transacted unless at least four (4) Members are present.

### **Chairperson**

23. The Chairperson shall be the independent member of the Committee and they shall serve as Chairperson for the four year term of the Committee. The Head of Internal Audit and the representative from external audit will have free and confidential access to the Chair of the Committee.

### **Meetings**

24. The frequency of the meetings will be driven by the scale and nature of the business with the Committee meeting at least four times per year to enable it to discharge its duties adequately and effectively. The Chair of the Audit Committee may convene additional meetings, as they deem necessary.
25. All meetings of the Committee will be governed by the Councils Standing Orders and the Northern Ireland Code of Conduct for Councillors.
26. The Chief Executive, Director of Corporate Services and the Audit Services Manager will attend all meetings. Internal and External Audit will also be in attendance. The committee may also ask any other officials of the Council to attend to assist it with its discussion on any particular matter.

### **Communication and Reporting**

27. The Committee will provide the Council and the Chief Executive with an Annual Report, timed to support the finalisation of the Annual Statement of Accounts, summarising its conclusions from the work it has done during the year.

28. The Committee will report to those charged with governance on the committee's findings, conclusions and recommendations concerning the adequacy and effectiveness of their governance, risk management and internal control frameworks, financial reporting arrangements, and internal and external audit functions.
29. The minutes of the Committee will be reported at a meeting of Council by the Director of Corporate Services or, in their absence, by an alternative official (of Council).

#### **Declarations of Interest**

30. A Declaration of Interests Register will be kept for all Committee Members. Each member should take personal responsibility to declare proactively any potential conflict of interest arising out of business undertaken by the Council.



**AUDIT COMMITTEE TIMETABLE 2022/23**

**At each Audit Committee the following standing agenda reports will be presented to Members:**

- Corporate Risk Register
- Prompt Payment Statistics
- Direct Award Contracts
- Update on Audit Recommendations
- Fraud and Raising Concerns Update
- Internal Audit summary report detailing reviews completed in that quarter and progress against the plan
- Update on Performance Improvement Plan
- Review of Circulars/NIAO Publications

**The table below illustrates who should be attending pre-meeting of the Audit Committee and which reports we would typically expect to see at each Audit Committee meeting supplementing the standing agenda items listed above.**

MEETING DATE	AGENDA
<b>April</b>  <b>Pre-meeting:</b> -Chairperson -Members -Internal Audit -External Audit	<ul style="list-style-type: none"> <li>• Proposed dates and times of Meetings for upcoming year</li> <li>• Review of Audit Committee Terms of Reference and timetable for the year</li> <li>• Internal Audit Follow up of the Prior Year Recommendations</li> <li>• Internal Audit Strategy &amp; Annual plan</li> <li>• Internal Audit Annual assurance rating</li> <li>• Annual Review of Internal Audit and consideration of contract</li> <li>• External Audit Strategy (Financial)</li> <li>• Audit Committee self-assessment</li> <li>• Assessment of Audit Committee Chairperson's Performance</li> <li>• Draft Performance Improvement Objectives</li> <li>• Procurement Action Plan update</li> </ul>
<b>July</b>  <b>Pre-meeting:</b> -Chairman -Members	<ul style="list-style-type: none"> <li>• Audit Committee Annual Report</li> <li>• NMDDC Assurance Framework and Code of Governance</li> <li>• Unaudited Financial Statements (including Annual Governance Statement)</li> <li>• NIAO Performance Improvement Audit Strategy</li> <li>• Update of Members' interests</li> </ul>
<b>September</b>  <b>Pre-meeting:</b> - Chairperson - Members - Internal Audit - External Audit	<ul style="list-style-type: none"> <li>• Recommend Approval of Audited Financial Statements</li> <li>• Draft Report to those Charged with Governance (RTTCWG)</li> <li>• Annual Assessment of Performance</li> <li>• Procurement Action Plan update</li> </ul>

<p><b>January</b></p> <p><b>Pre-meeting:</b>  <b>-Chairperson</b>  <b>-Members</b></p>	<ul style="list-style-type: none"> <li>• Final Report to those Charged with Governance (RTTCWG) – Financial</li> <li>• Annual Audit Letter from NIAO</li> <li>• NIAO S95 Report on the annual Audit of Performance</li> <li>• Update of Members’ interests</li> </ul>
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<b>Report to:</b>	Audit Committee
<b>Date of Meeting:</b>	Thursday 28 April 2022
<b>Subject:</b>	Audit Committee Self Assessment 2021/2022
<b>Reporting Officer (Including Job Title):</b>	Ms Brona Slevin Independent Chair of Audit Committee
<b>Contact Officer (Including Job Title):</b>	Ms Brona Slevin Independent Chair of Audit Committee

<b>Decisions required:</b>	
<p>For decision.</p> <p>Members are asked to consider and approve the contents of this Report.</p>	
<b>1.0</b>	<b>Purpose and Background:</b>
	<p>Similar to previous years, the Chair has completed a self assessment exercise of the effectiveness of the Audit Committee on behalf of Elected Members, this year using the National Audit Office Self-Assessment Checklist (November 2017). The NAO checklist is the benchmark for best practice.</p> <p>The Chair circulated the draft questionnaire to Members for comment in April 2022.</p> <p>Attached for consideration and approval is a completed final self-assessment checklist.</p> <p>Members can take reassurance from the number of good practice questions that have been answered `yes` demonstrating that the Audit Committee is operating effectively.</p> <p>Due to ongoing Covid 19 this has been another difficult year, however, despite this, the work of the Audit Committee was minimally affected with ongoing audit work being completed. The Internal Audit Plan was revised to take account of restrictions and was delivered in the main. It is with great appreciation to both Internal and External Audit along with all of the officers and Elected Members involved that the Audit Committee has been able to continue to deliver in an effective manner.</p>
<b>2.0</b>	<b>Key issues:</b>

2.1	<p>Having completed the self-assessment checklist, the following recommendations to build effectiveness are tabled for consideration:</p> <p><b>Principle 2: Skills</b></p> <p>(a) Political parties to be asked to give consideration to appointing Elected Members for a term greater than one year where possible which will enable knowledge and skills to be built up in this area. Generally there is little change in the Audit Committee make up which shows the Council is committed to keeping the experience and knowledge of Members on the Audit Committee.</p> <p>(b) training for all members of the Audit Committee to be progressed</p> <p><b>Principle 3 and 4: The role and scope of the Committee</b></p> <p>(c) the Audit Committee's Terms of Reference is approved by the Audit Committee annually. This was completed in April 2021.</p> <p><b>Principle 5: Communication and Reporting</b></p> <p>(d) Officers to strive to ensure Internal Audit reports are completed and reported on a timely basis to the Audit Committee.</p> <p>(e) Officers to strive to ensure that all papers are provided on a timely basis to Democratic Services so that papers are issued in compliance with standing orders so that Members have sufficient time to review them.</p>
<b>3.0</b>	<b>Recommendations:</b>
3.1	Members are asked to approve the contents of this Report.
<b>4.0</b>	<b>Resource implications:</b>
4.1	None
<b>5.0</b>	<b>Equality and good relations implications:</b>
5.1	None
<b>6.0</b>	<b>Appendices</b>
	Completed Self-Assessment Checklist 2021/22



November 2017



National Audit Office

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# Audit and Risk Assurance Committee Effectiveness Checklist

## Introduction

1 Audit and Risk Assurance Committees play a crucial role in supporting the effective governance of central government departments, their agencies and their arm's-length bodies. The main source of guidance for public sector Audit and Risk Assurance Committees is HM Treasury's *Audit and Risk Assurance Committee Handbook. Corporate Governance in central government departments: Code of Practice 2011* specifies that Audit and Risk Assurance Committees should be established in all central government bodies and that they should function in accordance with HM Treasury's *Audit and Risk Assurance Committees Handbook*.

2 An effective Audit and Risk Assurance Committee is plays a pivotal role in ensuring that organisations function according to good governance, apply appropriate accounting and auditing standards, and adopt appropriate risk management arrangements. A well functioning Audit and Risk Assurance Committee has the ability to:

- understand the role and activities of the Board;
- discuss with the Board policies and attitudes towards risk and ensure that management act within these parameters;
- critically challenge and review risk registers to provide assurance that the arrangements in place are working within the organisation;
- understand the risk management framework and the respective assignment of responsibilities;
- assume good communications and relationships with both those it seeks briefings from and those it provides assurance to; and
- contribute to the delivery of results and add value to the organisation.

## Audit and Risk Assurance Committee Effectiveness

3 In line with good practice, Audit and Risk Assurance Committees should assess their effectiveness annually. A variety of assessment tools exist, from facilitated workshops to short questionnaires. Core principles from HM Treasury's *Audit and Risk Assurance Committee Handbook*, and common themes and good practice we have seen through our range of work with Audit and Risk Assurance Committees across central government, have been condensed to generate a series of prompts that Committees can use to help assess their effectiveness. This checklist can be used as a standalone exercise to consider effectiveness or in conjunction with other methods of assessment.

## How to use this effectiveness tool

4 This short checklist condenses the core good practice principles of HM Treasury's *Audit and Risk Assurance Committee Handbook*. Committee members and other regular attendees should consider whether the Committee meets the detailed good practice question – “yes” (or adequately for the entity), “no”, or “comment”. As well as providing an opportunity to comment on an issue, the last of these categories could indicate uncertainty, that there is room to enhance practice in this area, or that the practice is not relevant. As an aide memoire, there is also space to note issues and actions identified at the end of each section.

5 Audit and Risk Assurance Committee members and their committee secretaries will, of course, need to ensure that they are familiar with the full requirements of the Handbook, and that they operate in accordance with them.

**David Aldous**  
National Audit Office 2017



# Principle 1

## Membership, independence, objectivity and understanding

“The Audit and Risk Assurance Committee should be independent and objective; in addition each member should have a good understanding of the objectives and priorities of the organisation and of their role as an Audit and Risk Assurance Committee member.”

Question/Checklist	Y/N	Comments
1 Do we have a minimum of three members, all non-executive, at least two of whom, including the ARAC Chair, are non-executive board members?	<input type="radio"/> Yes <input type="radio"/> No	Not applicable to Local Authorities. The Chair is an Independent Member and the remaining membership consists of Elected Members.
2 Do the Accounting Officer, Director of Finance, the Head of Internal Audit and the External Auditor routinely attend ARAC meetings?	<input checked="" type="radio"/> Yes <input type="radio"/> No	The Chief Executive who is the Accounting Officer, the Director of Corporate Services, Internal Audit Contractor Manager and NIAO attend all meetings.
3 Are we satisfied with the range, frequency and numbers of executives and other participants attending the ARAC meeting? (Numbers of attendees should be sufficient to deal adequately with the agenda, but not so many as to blur the issues).	<input checked="" type="radio"/> Yes <input type="radio"/> No	Yes, in addition to 2 above, the Assistant Director of Finance and Audit Services Manager would attend all meetings and Heads of Service and Directors attend by request.
4 Is our relationship and communication with the Departmental ARAC effective (or, in the case of a Departmental ARAC, its relationship and communications with its group ARACs), particularly in support of the Departmental Governance Statement?	<input type="radio"/> Yes <input type="radio"/> No	Not applicable to Local Authorities.
5 Does a representative of our Sponsor Department (or, in the case of a Departmental ARAC, a representative of its ALBs) attend our ARAC, where appropriate?	<input type="radio"/> Yes <input type="radio"/> No	Not applicable to Local Authorities.
6 Are conflicts recorded and declared at the start of every meeting, and is appropriate action taken when relevant matters are discussed?	<input checked="" type="radio"/> Yes <input type="radio"/> No	Elected Members and the Independent Chair must complete a Register of Interests. Conflicts are recorded and declared at start of every meeting and appropriate action taken when relevant matters are discussed.
7 Do we have a clear understanding of our terms of appointment, including what is expected of us, how our individual performance will be appraised, the duration of our appointment, training required and how this will be provided?	<input type="radio"/> Yes <input type="radio"/> No	Not applicable to Local Authorities. The Independent Chair is externally recruited and is appointed for a term of four years. The Chair's performance is appraised on an annual basis by the Chief Executive and an Elected Member.

### Conclusion

Are we performing effectively in this area?	Yes
Are there any actions we want to take to build our effectiveness?	No

# Principle 2

“The Audit and Risk Assurance Committee should corporately own an appropriate skills mix to allow it to carry out its overall function.”

## Skills

Question/Checklist	Y/N	Comments
<p>8 Are we satisfied that, collectively, we have the range of skills we need to ensure that the Accounting Officer and the Board gain the assurance they need on governance, risk management, the control environment and on the integrity of all elements of the Annual Report and Accounts?</p>	<p><input checked="" type="radio"/> Yes <input type="radio"/> No</p>	<p>The Independent Chair has the range of skills required and is ably supported by the Elected Members on the Committee.</p>
<p>9 Do we possess the wider skills necessary to be fully effective (eg in relation to the core business of the organisation, change management, digital strategy, the wider political landscape and other strategically relevant issues)?</p>	<p><input checked="" type="radio"/> Yes <input type="radio"/> No</p>	<p>Yes</p>
<p>10 Does at least one member have recent and relevant financial experience sufficient to allow them to competently analyse the financial statements and understand good financial management discipline?</p>	<p><input checked="" type="radio"/> Yes <input type="radio"/> No</p>	<p>The Independent Chair is a qualified accountant with relevant financial experience at a senior level.</p>
<p>11 Where we need additional skills are we empowered to co-opt additional members or procure specialist advice?</p>	<p><input checked="" type="radio"/> Yes <input type="radio"/> No</p>	<p>Yes</p>
<p>12 Do we have effective induction and training arrangements for new members and does the ARAC Chair ensure that all members have an appropriate programme of engagement with the organisation to help build sufficient understanding?</p>	<p><input checked="" type="radio"/> Yes <input type="radio"/> No</p>	<p>The Chair ensures that effective training arrangements in place. New Members when appointed receive one to one induction training with the Director of Corporate Services and the Audit Services Manager. Normally, Audit Committee training is provided to Members.</p>

### Conclusion

<p>Are we performing effectively in this area?</p>	<p>Yes</p>
<p>Are there any actions we want to take to build our effectiveness?</p>	<ul style="list-style-type: none"> <li>- Political Parties to give consideration to appointing Elected Members for a term greater than one year where possible to build up knowledge.</li> <li>- Training for all Members of the Audit Committee is to be progressed.</li> </ul>



## Principle 3 and 4

### The role and scope of the Committee

“The Audit and Risk Assurance Committee should support the Board and the Accounting Officer by reviewing the comprehensiveness and reliability of assurances on governance, risk management, the control environment and the integrity of financial statements and the annual report.”

“The scope of the Audit and Risk Assurance Committee’s work should be defined in its terms of reference and should encompass all the assurance needs of the Board and Accounting Officer. Within this the Audit and Risk Assurance Committee should have particular engagement with the work of Internal Audit, risk management, the External Auditor and financial management and reporting issues.”

Question/Checklist	Y/N	Comments
13 Do we, have a clear understanding of the role and responsibilities of the ARAC?	<input checked="" type="radio"/> Yes <input type="radio"/> No	The Audit Committee has an agreed terms of reference which clearly defines its role and responsibilities.
14 Does our work programme cover the assurance needs of the Board and Accounting Officer through a balance of agenda items?	<input checked="" type="radio"/> Yes <input type="radio"/> No	The Audit Committee has developed a work programme which is reviewed annually to ensure it covers the assurance needs of Council.
15 Do we provide insight and strong, constructive challenge to the organisation (including within the Departmental family/group) where required?	<input checked="" type="radio"/> Yes <input type="radio"/> No	The Audit Committee is effective in providing insight and constructive challenge.
16 Do we have sufficient understanding of the organisation’s overall control environment, including its governance and any outsourcing arrangements, and review its effectiveness regularly to provide assurance that arrangements are responding to risks within the organisation?	<input checked="" type="radio"/> Yes <input type="radio"/> No	The Audit Committee has a good understanding of the Council’s overall control environment which is informed by the independent audit work carried out by internal audit and NIAO.
17 Do we use assurance mapping to target the areas of greatest risk in our organisation (including within the Departmental family/group)?	<input checked="" type="radio"/> Yes <input type="radio"/> No	Assurance Mapping has been completed and is used when developing the Audit Plan.
18 Do we critically review the comprehensiveness and reliability of assurances that we receive from across the organisation?	<input checked="" type="radio"/> Yes <input type="radio"/> No	The Audit Committee receives comprehensive risk based internal audit reports per approved Internal Audit Annual Plan. The Committee places strong emphasis on the independent work of internal audit and external audit and where necessary will invite Heads of Services and Directors to attend to update members on implementation of audit recommendations.
19 Are we proactive in commissioning additional assurance work where we have identified a risk or control issue which is not subject to sufficient review?	<input checked="" type="radio"/> Yes <input type="radio"/> No	Members consider the Corporate Risk Register at each meeting and reviews the adequacy and timeliness of mitigating controls and actions in place.

## Principle 3 and 4 *continued*

### The role and scope of the Committee

21

Question/Checklist	Y/N	Comments
20 Do we draw the Accounting Officer's and the Board's attention to the results of our work on risk?	<input checked="" type="radio"/> Yes <input type="radio"/> No	The Corporate Risk Register is a standing item on the Audit Committee's Agenda and the Accounting Officer attends all meetings. The Minutes of the Audit Committee are reported to Full Council.
21 Do we lead on the assessment of the annual Governance Statement for the Accounting Officer and Board, including the provision of advice on its preparation and scope?	<input checked="" type="radio"/> Yes <input type="radio"/> No	The Audit Committee leads on the assessment of the Annual Governance Statement.
22 Do we give sufficient and timely attention to financial management and reporting issues, including the consideration of key accounting policies, estimates and judgements and the quality of the year-end financial statements?	<input checked="" type="radio"/> Yes <input type="radio"/> No	Yes
23 Do we sufficiently consider and challenge the work of internal audit and external audit?	<input checked="" type="radio"/> Yes <input type="radio"/> No	Yes
24 Do we track all audit recommendations (internal and external, including any arising from the NAO's VFM work) and hold the organisation to account for their implementation?	<input checked="" type="radio"/> Yes <input type="radio"/> No	Standing agenda item Internal Audit do a year end follow up review of their recommendations. NIAO follow up on their Priority 1 recommendations annually.
25 Do we regularly review anti-fraud and corruption arrangements?	<input checked="" type="radio"/> Yes <input type="radio"/> No	Standing agenda item.

# Principle 3 and 4 *continued*

## The role and scope of the Committee

Question/Checklist	Y/N	Comments
<p>26 Do we regularly review the organisation's cyber risk management and consider the appropriateness of the organisation's risk mitigation strategies?</p>	<p><input checked="" type="radio"/> Yes <input type="radio"/> No</p>	<p>Cyber risk management is part of the developing ICT Strategy. A report on Cyber Security was presented to the Audit Committee in April 2021.</p>
<p>27 Do we regularly review the organisation's response to the <i>Cabinet Office's Counter-Fraud Standards</i> and consider the sufficiency of this response?</p>	<p><input type="radio"/> Yes <input type="radio"/> No</p>	<p>Not applicable. Local Authorities comply with the CIPFA Code of Practice on Managing the Risks of Fraud and Corruption.</p>
<p>28 Do we ensure that a senior board member has overall responsibility for whistleblowing arrangements within the organisation?</p>	<p><input checked="" type="radio"/> Yes <input type="radio"/> No</p>	<p>Director of Corporate Services has overall responsibility for whistleblowing arrangements within Council.</p>
<p>29 Do we regularly review our Terms of Reference to ensure they are consistent with the model Terms of Reference provided in HMT's ARAC Handbook?</p>	<p><input checked="" type="radio"/> Yes <input type="radio"/> No</p>	<p>The Audit Committee Terms of Reference are reviewed annually based on the CIPFA Audit Handbook and HM Treasury Handbook 2016. The Independent Chair provides assurance annually that the Committee's terms of reference covers the scope of the work of the Audit Committee and encompasses all the assurance needs required.</p>

### Conclusion

<p>Are we performing effectively in this area?</p>	<p>Yes</p>
<p>Are there any actions we want to take to build our effectiveness?</p>	<ul style="list-style-type: none"> <li>- Political Parties to give consideration to appointing Elected Members for a term greater than one year where possible to build up knowledge.</li> <li>- Training for all Members of the Audit Committee is to be progressed.</li> </ul>



# Principle 5

## Communication and reporting

“The Audit and Risk Assurance Committee should ensure it has effective communication with all key stakeholders, for example, the Board, the Group Chief Internal Auditor, Head of Internal Audit, the External Auditor, the Risk Manager and other relevant assurance providers.”

Question/Checklist	Y/N	Comments
30 Is our work effectively and promptly reported to the Board and Accounting Officer after each meeting and are these reports copied to the Head of Internal Audit and the External Auditor?	<input checked="" type="radio"/> Yes <input type="radio"/> No	Minutes are reported to Full Council. Internal Audit and External Audit have access to all minutes.
31 Are our relationships and communications sufficiently well developed with those we seek briefings from and those we provide assurance to, including where risks cross organisational boundaries?	<input checked="" type="radio"/> Yes <input type="radio"/> No	Not applicable to Local Authorities.
32 Do we provide an Annual Report to the Board, timed to support the Governance Statement; is our report open and honest in presenting our views and opinions from the work we have done during the year; and, is its content consistent with good practice?	<input checked="" type="radio"/> Yes <input type="radio"/> No	An Annual Report is prepared by the Independent Chair for Audit Committee approval and is timed to support the Governance Statement.
33 Does the ARAC Chair have regular bilaterals with the key attendees (eg the Accounting Officer, Director of Finance, the Head of Internal Audit and the External Auditor)?	<input checked="" type="radio"/> Yes <input type="radio"/> No	The Independent Chair meets regularly with all the key attendees and Committee members meet bilaterally with Internal Audit and NIAO without officers present.
34 Where appropriate, do we communicate our work across the departmental group?	<input type="radio"/> Yes <input type="radio"/> No	Not applicable to Local Authorities.

### Conclusion

Are we performing effectively in this area?	Yes
Are there any actions we want to take to build our effectiveness?	<ul style="list-style-type: none"> <li>- To ensure that Internal Audit reports are completed and timely reported to Audit Committee.</li> <li>- Officers to strive to ensure that all papers are provided on a timely basis to Democratic Services so that papers are issued in compliance with Standing Orders so that Members have sufficient time to review.</li> </ul>

<b>Report to:</b>	Audit Committee
<b>Date of Meeting:</b>	28 April 2022
<b>Subject:</b>	Assessment of Chairperson's Performance
<b>Reporting Officer (Including Job Title):</b>	Dorinnia Carville: Director of Corporate Services / Interim Chief Executive
<b>Contact Officer (Including Job Title):</b>	Dorinnia Carville: Director of Corporate Services / Interim Chief Executive

Confirm how this Report should be treated by placing an x in either:-

	For decision	For noting only	X
<b>1.0</b>	<b>Purpose and Background</b>		
1.1	<p>Councillor Byrne, the interim Chief Executive and the Assistant Director of Finance (acting) reviewed the performance of the Chairperson using the agreed National Audit Office best practice checklist on the 11 April 2022.</p> <p>On the 22 April 2022, the Assistant Director of Finance (acting) had a meeting with the Chairperson to provide her with feedback on her performance arising from the completed assessment and to thank Mrs Slevin her for her services to date.</p>		
<b>2.0</b>	<b>Key issues</b>		
2.1	<p>It was agreed that Mrs Slevin has demonstrated performance aligned to best practice in carrying out the role of independent Chair of the Newry, Mourne and Down District Council Audit Committee. It was also agreed that Mrs Slevin has carried out the role of Chairperson very effectively, encouraging full and open discussion at all Audit Committee meetings.</p>		
<b>3.0</b>	<b>Recommendations</b>		
3.1	<p>To note:</p> <ul style="list-style-type: none"> <li>The assessment of the Chairperson's performance</li> </ul>		
<b>4.0</b>	<b>Resource implications</b>		
4.1	<p>There are no resource implications.</p>		
<b>5.0</b>	<b>Due regard to equality of opportunity and regard to good relations (complete the relevant sections)</b>		
5.1	<p><b><i>General proposal with no clearly defined impact upon, or connection to, specific equality and good relations outcomes</i></b></p> <p>It is not anticipated the proposal will have an adverse impact upon equality of opportunity or good relations <input checked="" type="checkbox"/></p>		

5.2	<p><b>Proposal relates to the introduction of a strategy, policy initiative or practice and / or sensitive or contentious decision</b></p> <p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p> <p>If yes, please complete the following:</p> <p>The policy (strategy, policy initiative or practice and / or decision) has been equality screened <input type="checkbox"/></p> <p>The policy (strategy, policy initiative or practice and / or decision) will be subject to equality screening prior to implementation <input type="checkbox"/></p>
5.3	<p><b>Proposal initiating consultation</b></p> <p>Consultation will seek the views of those directly affected by the proposal, address barriers for particular Section 75 equality categories to participate and allow adequate time for groups to consult amongst themselves <input type="checkbox"/></p> <p>Consultation period will be 12 weeks <input type="checkbox"/></p> <p>Consultation period will be less than 12 weeks (rationale to be provided) <input type="checkbox"/></p> <p><i>Rationale:</i> Consultation not required.</p>
6.0	<p><b>Due regard to Rural Needs (please tick all that apply)</b></p>
6.1	<p>Proposal relates to developing, adopting, implementing or revising a policy / strategy / plan / designing and/or delivering a public service</p> <p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p> <p>If yes, please complete the following:</p> <p>Rural Needs Impact Assessment completed <input type="checkbox"/></p>
7.0	<p><b>Appendices</b></p>
	<p>Appendix 1: Completed Checklist (approved by Cllr Pete Byrne, Dorinnia Carville and Gerard Byrne)</p>
8.0	<p><b>Background Documents</b></p> <p>None</p>

# Section II

## The role of the Chair: good practice

The Chair of the Audit Committee has particular responsibility for ensuring that the work of the Audit Committee is effective, that the Committee is appropriately resourced, and that it is maintaining effective communication with stakeholders.

### Good Practice Questions

Agenda Setting	Yes	No	N/A
	<input type="checkbox"/>	<input type="checkbox"/>	
2. Does the Chair of the Audit Committee meet with the Committee Secretary before every meeting to discuss and agree the business for the meeting?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Are outline agendas planned one year ahead to cover core activities and specific issues on a cyclical basis?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Does the Chair encourage full and open discussion and invite questions at the Audit Committee meetings?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Communication</b>			
8. Does the Chair of the Audit Committee have open lines of communication with the Head of Internal Audit and the External Auditors?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Does the Chair encourage all Committee members to have regular interface with the organisation and its activities to help them understand the organisation, its objectives, and business needs and priorities?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
11. Does the Chair have Bilateral meetings at least annually with the AO, Head of Internal Audit, Risk Manager and External Audit.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Monitoring Actions</b>			
13. Does the Chair or the Secretariat ensure that all action points from Committee meetings are appropriately acted upon?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
15. Is a report on matters arising made and minuted at the Audit Committee's next meeting?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
16. Does the Chair ensure that after each meeting appropriate reports are prepared from the Committee to the Council and the AO.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17. Does the Chair present an Annual Report to the committee?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
18. Does the Chair hold managers within the organisation to account for the implementation of all Audit Recommendations?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Appraisal**

20. Does the Audit Committee Chair seek appraisal of their personal performance from the Accounting Officer?



<b>Report to:</b>	Audit Committee
<b>Date of Meeting:</b>	28 April 2022
<b>Subject:</b>	Corporate Risk Register
<b>Reporting Officer (Including Job Title):</b>	Dorinnia Carville – Director of Corporate Services / Interim Chief Executive
<b>Contact Officer (Including Job Title):</b>	Gerard Byrne – Assistant Director of Finance (Acting)

Confirm how this Report should be treated by placing an x in either:-

For decision	X	For noting only	
<b>1.0</b>			<b>Purpose and Background</b>
1.1			The Corporate Risk Register was reviewed and updated by SMT on 7 April 2022. Quarter 3 Assurance Statements for 2021-22 have been used to inform and update the content of the Corporate Risk Register. Where relevant, Officers have also provided updates in relation to specific controls and action plans.
<b>2.0</b>			<b>Key issues</b>
2.1			<p><b>Corporate Risk Register</b></p> <p>The Council has identified 10 corporate risks, 3 of which are red and 7 of which are Amber risks. Appendix 1 provides an overview of each risk, risk owner(s), gross and residual risk scores, as well as a summary of changes and updates which have been made to the Corporate Risk Register since January 2022.</p> <p>Several actions have been updated to ensure the Corporate Risk Register is a live document and can be used as a Management tool for decision making. The Residual score of 4 Corporate Risks have also increased since January 2022 – all of the detail can be found within Appendix 1.</p> <p>The updated Corporate Risk Register is attached at Appendix 2.</p>
2.2			<p><b>Other Risk factors which were considered</b></p> <ol style="list-style-type: none"> <li>1. Insurance premiums – Council were struggling to get a number of premiums covered for the 2022/23 year – however all premiums are now in place albeit at an increased cost (including Cyber and Official's indemnity) – remains on the Corporate Services Directorate Risk Register and paper to be brought to May SP&amp;R detailing cost increases.</li> <li>2. Recruiting staff in Senior positions and staff more generally – All Councils and sectors are currently finding it difficult to fill vacant posts – this risk factor has been included within CR05.</li> <li>3. Rising cost of utilities – Ten Councils are currently out of contract for Electric / Gas and have to pay the current suppliers monthly (in arrears). No agreed costs have been negotiated due to the volatile markets, previously there was a NI Council wide tender. No specific risk has been created yet as we are unsure of the effects presently.</li> </ol>

	<p>Based on current market trends and indicative pricing from the suppliers, bills for the month of April are likely to increase by 200% for Electricity and 400% for gas. However, these are only indicative, and the percentage increase could be higher or lower at the end of April. Diesel and Heating oil have also increased significantly. These large increases have not been factored into the 2022/23 budgets. Action included within CR09, this may need a risk of its own depending on the cost actuals going forward.</p>
2.2	<p><b>Directorate Risk Register – Active and Healthy Communities (AHC)</b></p> <p>The Risk Reporting section of the Risk Strategy states that Directorate Risk Registers will be presented to the Audit Committee on a rotational basis. The Risk Register for the AHC Directorate is attached at Appendix 3. The AHC Risk Register was reviewed and updated at a number of meetings over the past two months and approved at a Departmental Management Team meeting on 6 April 2022.</p>
2.3	<p>Through the AHC Risk Register, six risks have been identified, all of which are amber. These risks cover a range of service areas and functions, including safeguarding people and resources at Council facilities, income and external funding, participation in community engagement programmes and legislative compliance.</p> <p>A number of amendments have been made to the AHC Risk Register to ensure it is aligned to the revised Risk Strategy. The key revisions include:</p> <ol style="list-style-type: none"> <li>1. Risk categories have been updated to reflect best practice. However, this is not yet reflected on the template due to a formatting issue and the supplier is currently providing a solution.</li> <li>2. The risk appetite for each risk has been updated.</li> <li>3. Controls reflect the 'three lines of defence' model reflected within the strategy.</li> <li>4. Directorate objectives, as outlined in the AHC Business Plan 2021-22, have been included and each risk is aligned to at least one objective.</li> <li>5. All action plans have been updated.</li> </ol> <p>The AHC Risk Register will be updated on a regular basis and considered by the Audit Committee annually.</p>
<b>3.0</b>	<b>Recommendations</b>
3.1	<p>To approve the updates to the Corporate Risk Register highlighted within the summary at Appendix 1. Full Corporate Risk Register can be evidenced at Appendix 2.</p> <p>To note the revised AHC Directorate Risk Register at Appendix 3.</p>
<b>4.0</b>	<b>Resource implications</b>
4.1	There are no resource implications.
<b>5.0</b>	<b>Due regard to equality of opportunity and regard to good relations (complete the relevant sections)</b>
5.1	<i>General proposal with no clearly defined impact upon, or connection to, specific equality and good relations outcomes</i>

	It is not anticipated the proposal will have an adverse impact upon equality of opportunity or good relations	<input checked="" type="checkbox"/>
5.2	<p><b><i>Proposal relates to the introduction of a strategy, policy initiative or practice and / or sensitive or contentious decision</i></b></p> <p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p> <p>If yes, please complete the following:</p> <p>The policy (strategy, policy initiative or practice and / or decision) has been equality screened <input type="checkbox"/></p> <p>The policy (strategy, policy initiative or practice and / or decision) will be subject to equality screening prior to implementation <input type="checkbox"/></p>	
5.3	<p><b><i>Proposal initiating consultation</i></b></p> <p>Consultation will seek the views of those directly affected by the proposal, address barriers for particular Section 75 equality categories to participate and allow adequate time for groups to consult amongst themselves <input type="checkbox"/></p> <p>Consultation period will be 12 weeks <input type="checkbox"/></p> <p>Consultation period will be less than 12 weeks (rationale to be provided) <input type="checkbox"/></p> <p><i>Rationale:</i> Consultation not required.</p>	
<b>6.0</b>	<b>Due regard to Rural Needs (please tick all that apply)</b>	
6.1	<p>Proposal relates to developing, adopting, implementing or revising a policy / strategy / plan / designing and/or delivering a public service</p> <p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p> <p>If yes, please complete the following:</p> <p>Rural Needs Impact Assessment completed <input type="checkbox"/></p>	
<b>7.0</b>	<b>Appendices</b>	
	<p>Appendix 1: Summary Sheet – Corporate Risk Register</p> <p>Appendix 2: Corporate Risk Register – April 2022</p> <p>Appendix 3: AHC Directorate Risk Register – April 2022</p>	
<b>8.0</b>	<b>Background Documents</b>	
	None	

## NMDDC Corporate Risk Register Cover Sheet - April 2022

Risk	Description	Risk Owner(s)	Gross Risk Score	Jan-22	Apr-22	Comments
				Residual Risk Score	Revised Residual Risk Score	
CR01	Failure to develop and deliver the capital investment programme for the District	Dorinnia Carville Michael Lipsett Conor Mallon	25	12	16	Risk score raised - the market for contractor/suppliers is getting tougher, there is an over reliance on a small number of suppliers in NI. Two new actions, one in relation to C/Fs and the other in relation to utilising frameworks.
CR02	Non-compliance with legislative requirements, including procurement	Dorinnia Carville Michael Lipsett Johnny	25	20	20	Risk score remains unchanged. Actions updated, the new procurement to pay system and sourcing portal went live January 2022.
CR03	Failure to effectively manage waste	Johnny McBride	25	16	20	Residual risk score raised - an audit into Councils operators licence in January 2022 highlighted numerous issues. There is currently a high Covid absence rate within the NS Directorate. Planning permission for the ARC21 incinerator has also been refused, therefore there is a long term decision of what Council are going to do with our waste. All actions now updated.
CR04	Failure to provide timely planning decisions	Conor Mallon	25	16	16	Risk score remained the same, however risk description amended to detail 'robust' planning decisions. New action in relation to review of overturns - All actions and statistics now updated. New planning system to be operational in July 2022.
CR05	Failure to adequately plan for the future and deliver efficiencies and improvement	Marie Ward Dorinnia Carville	20	9	16	Residual risk score raised - Council is currently finding it difficult to recruit a number of key posts in Council - this is not limited to Senior positions either - all Directorates are finding it difficult to recruit for vacant positions.
CR06	Failure to adequately react to a major incident which would minimise any negative consequences/impact	Dorinnia Carville	25	12	12	Action now updated. COVID now replaced with the Emergency Planning Operation in relation to the Ukrainian Refugee operation - Welcome centre set up in NLC and EPIG is now meeting weekly.
CR07	Failure to implement an economic development programme to regenerate the district and attract inward investment due to financial uncertainties caused by the current economic and political climate, including the NI Protocol	Marie Ward Conor Mallon	20	16	16	All actions now updated - the signing of the City Deal in December 2021 being a key milestone.
CR08	Failure to adequately manage sickness absence resulting in delays and an inability to deliver Council services.	Senior Management Team	25	15	15	One action now completed in relation to mainstreaming the absence management policy. New control added - RTW interviews now being monitored through the CMT group due to the number outstanding. Covid absences are currently high.
CR09	Risk that Council does not assist the post COVID 19 recovery of the district, therefore failing in its objectives to regenerate and build a prosperous district due to the inability of Council to be financially sustainable in the long term	Senior Management Team	25	12	12	Actions now updated - NMDDC received an extra £929k RSG grant for the 2021/22 year - The Minister allocated an extra £10m from the January MR. 2022/23 RSG allocation yet to be confirmed. New action in relation to rising utility costs.
CR10	Failure to effectively plan for and manage a cyber security attack.	Dorinnia Carville	25	16	20	Residual risk score increased - due to the current cyber risk facing all sectors. Cyber Insurance secured for the 2022/23 year. BCP exercise underway and due to be completed by July 2022.



**Risk Matrix**

NMDDC operate a 5 x 5 risk matrix. The risk matrix will help with making decisions about the significance to the Council of each identified risk and whether each one should be accepted or treated.

<b>IMPACT</b>	<b>Catastrophic</b> Potential immediate or future harmful impact to the Council. SMT required to make major adjustments to plans and/or resource allocations.	5	10	15	20	25
	<b>Major</b> Substantial departure from best practices and standards. Consequences can be managed with moderate additional resources and/or managerial effort.	4	8	12	16	20
	<b>Moderate</b> Limited impact. Consequences can be managed with limited additional resources and/or managerial effort.	3	6	9	12	15
	<b>Minor</b> Very limited impact. Consequences can be managed under normal operating conditions.	2	4	6	8	10
	<b>Not Significant</b> No impact on normal operating procedures.	1	2	3	4	5
		<b>Rare</b>	<b>Unlikely</b>	<b>Possible</b>	<b>Likely</b>	<b>Very Likely</b>
		Has happened rarely or never before.	Has happened rarely or never before.	Likely to happen at some point within the next 2-3 years. Circumstances occasionally encountered (annual).	Likely to happen at some point within the next 1-2 years. Circumstances occasionally encountered (few times a year).	Regular occurrence. Circumstances frequently encountered - Daily / weekly / monthly.
		<b>LIKELIHOOD</b>				

Risks are assessed on a scale of 1-5 in terms of both likelihood and impact, which results on the following risk ratings outlined below;



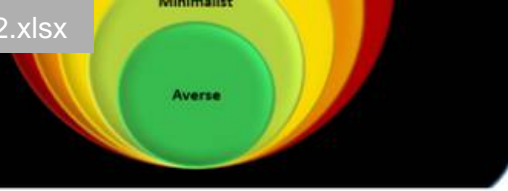
**NMDDC Risk Appetite Statement**

NMDDC aims to be risk aware, but not overly risk averse. This is to ensure that the Council takes a balanced approach to risk taking to delivers its corporate priorities and agreed outcomes for the District. The Risk Categories table on the page 7 defines each Risk Category with a risk appetite. This is a guide for management when considering risk actions plans. The Statement has been agreed by SMT, however there can be exceptions to risk appetite in certain circumstances.

- Averse:** Avoidance of risk and uncertainty is a key organization objective.
- Minimal:** Preference for ultra-safe options that are low risk and only have a potential for limited reward.
- Cautious:** Preference for safe options that have a low degree of risk and may only have limited potential for reward.
- Open:** Willing to consider all potential options and choose the one most likely to result in successful delivery, while also providing an acceptable level of reward and value for money.
- Hungry:** Eager to be innovative and to choose options offering potentially higher business rewards, despite greater inherent risk.



*Hungry:* and value for money.  
Eager to be innovative and to choose options offering potentially higher business rewards, despite greater inherent risk.



# 1. Corporate Risk Register NMDDC

## Risk CR. 01 - Failure to develop and deliver the capital investment programme for the District

Consequence	5					G
	4					R
	3			T		
	2					
	1					
		1	2	3	4	5
		Probability				

<b>Risk Categories</b>	Buildings / Engineering / Environment Business operational/reputational		
<b>Risk Description</b>	Failure to adequately resource the capital programme Failure to effectively manage capital contracts Capital programme does not sufficiently deliver on the Corporate Objectives		
<b>Potential Root Cause</b>	Lack of availability of construction materials and increases in the cost of materials due to - COVID19 / global demand / administration at UK ports and container shortages Contractors on key projects fail to deliver on time and on budget Consultant and/or contractor collusion Procurement delays, failures or legal challenges Governance Arrangements not being adhered to Projected timelines too optimistic Delays due to the statutory approvals process Lack of awareness in staff and managers Lack of resources - economic downturn/recession Funding reduced/withdrawn, timescales extended leading to increased costs		
<b>Consequence</b>	Impact on service delivery Financial impact - Loss of funding (i.e. DAERA projects) Legal challenge / Negative PR Impact on quality/cost of projects Future reduction on the capital budget Reputational damage		
<b>Risk Owners</b>	Dorinnia Carville; Michael Lipsett; Conor Mallon		
<b>Gross/Inherent Risk</b>	Red 25	<b>Last Review</b>	07/04/2022
<b>Residual Risk</b>	Amber 16	<b>Next Review</b>	30/06/2022
<b>Target Risk Level</b>	Yellow 9	<b>Risk Appetite</b>	Risk Open

### Objectives

1. Invest in and support new and growing businesses, job creation and employment skills
6. Promote the revitalisation of our city, towns, villages and rural communities.
7. Provide accessible, high-quality and integrated services through continuous improvement

**Key Controls Identified**

1. Asset Management Strategy in Place to identify surplus assets
1. Monthly review of spend against budget
1. Professionally qualified and experienced staff
- 2 Project risk register in place for major projects
2. Capital Plan annually approved at Council
2. Four year Capital Plan
2. Large projects are project managed by external consultants who report to the Estates Team.
2. Monthly site progress meetings which are minuted
2. Strategic Finance Working Group scrutinises each Capital Project
3. Internal Audit of Project Governance of Capital projects scheduled for 2022/23.

**Action Plans**

	<b>Action Plan Description</b>	<b>Action Plan Type</b>	<b>Action Plan Owner</b>	<b>Action Plan Action Date</b>	<b>Comments</b>
Capital Plan Cash Flow forecasting	Detailed cash flow of Council capital plan to be brought to SFWG in May to display to Members the scale of the capital programme and communicate when Council's big outlay will be required.	In Progress	Gerard Byrne	31/07/2022	AD of finance currently receiving information for each project via detailed project plans/business cases. AD of finance will also meet with Councils treasury advisor to discuss options for financing the capital programme over the next 8 years.
Construction Industry - Material Shortages and Price Increases - Potential Impact to our capital Plan	NI central government have informed me that the Dept of Finance is being lobbied by the construction industry to contribute to the unforeseen increase in material costs for those construction projects (large value) which were awarded in advance of the recent price spikes, as well as term service contracts with fixed rates for undertaking works.	In Progress	Dorinnia Carville	31/07/2022	Continue to keep Members updated of rising costs and supply chain difficulties leading to an impact on Councils Capital Plan.
Supplier/Contractor Options	AD of estates currently looking a number of option to counter act the over reliance on a small number of Contractors/Suppliers/PMs in NI	In Progress	Caolain Boyd	01/07/2022	Council has already availed of a number of construction frameworks and other options are being actively pursued.



**Risk CR. 02 - Non-compliance with legislative requirements, including procurement**

Consequence	5				R	G
	4		T			
	3					
	2					
	1					
		1	2	3	4	5

Probability

<b>Risk Categories</b>	Business operational/reputational Impact on individuals (staff or public) Statutory Duty (Legal/Regulatory)		
<b>Risk Description</b>	Failure to have the necessary policies and procedures in place with staff adequately trained to ensure legislative compliance. This includes complying with Procurement legislation, health and safety and fire risk assessments. best practice. Council not having adequate insurance cover.		
<b>Potential Root Cause</b>	Failure to understand and meet legal requirements in relation to Health and Safety, Information Management, Rural Needs, Disability, Section 75, Performance and Improvement and Safeguarding. Lack of resources and inadequate training provision. Staff not complying with Council's procurement policy. Property and vehicle schedules not being up to date. Absence of effective operational procedures and policies. Fire Risk Assessments at Council buildings not being undertaken and actions not being implemented and managed. Unforeseen events and public negligence/lack of responsibility. COVID19 - increased risks in relation to H&S at properties: statutory inspections required under legislation (i.e - vehicle and plant lifts, lifting equipment, pressurised water systems, local exhaust ventilation) are not taking place due to lack of access. FRA / Legionella / Asbestos etc (are not being reviewed due to front line services being provided). COVID19 - The Finance Act act as amended by the draft COVID regulations could be misinterrupted by staff.		
<b>Consequence</b>	Non-compliance leading to prosecution Personal liability / Corporate Manslaughter Risk of a fatality at a Council site Reputational damage Reduced trust and public confidence Increased number of complaints and queries Increased insurance premiums Loss of income		
<b>Risk Owners</b>	Dorinnia Carville; Michael Lipsett; Johnny McBride		
<b>Gross/Inherent Risk</b>	Red 25	<b>Last Review</b>	07/04/2022
<b>Residual Risk</b>	Red 20	<b>Next Review</b>	30/06/2022
<b>Target Risk Level</b>	Yellow 8	<b>Risk Appetite</b>	Risk Averse

**Objectives**

7. Provide accessible, high-quality and integrated services through continuous improvement

**Key Controls Identified**

- 1. Asbestos and Legionella Policies and Management Plans in place
- 1. COVID19 - New Governance Arrangements in place in Council. Delegated authority amended through SO.
- 1. COVID19 - New legislation introduced to allow virtual committee meetings
- 1. COVID19 Risk Assessments being completed and reviewed as required
- 1. Dedicated skilled teams in place for:
  - Health and Safety, HR, Legal and Procurement
  - 1. Health and Safety Committees in place and ongoing programme of training in place
- 1. Policies and procedures in place - i.e H&S Policy, Procurement Policy, Access to Information, Records Management
  - 1. Procurement training rolled out to all relevant staff
  - 2. Compliance Reporting to SMT and H&S Committees
  - 2. Procurement a standing agenda item at Councils Audit Committee
- 3. Internal Audit Completed
  - H&S Check - 2019/20
  - Contract Management - 2019/20
  - Emergency Planning 2020/21
- 3. Internal Audits Scheduled:
  - Contract Management - 2021/22
  - Information Governance - 2022/21

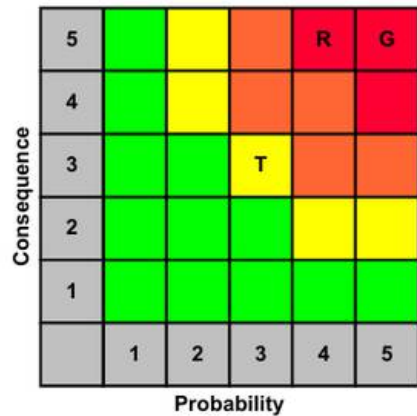
**Action Plans**

Action Plan Description	Action Plan Type	Action Plan Owner	Action Plan Action Date	Comments
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Actions from Fire Risk Assessment Audits	The actions from the Fire Risk Assessments which have been completed need to be actioned as soon as possible for all Council properties by the Facilities Management and Maintenance Department.	In Progress	Kevin Scullion	30/07/2022	<p>The current level of risk regarding fire risks in our buildings is considered Low.</p> <p>The Fire Risk Management Policy has been approved and effective since 12th March 2020, however the associated Fire Safety Management Plan has not progressed. The priority is to seek agreement on a Fire Safety Management Plan which will guide future control of this risk.</p> <p>The Council's Building Control Department conduct the Fire Risk Assessments and pass to Building Managers for review. Building Managers action any issues raised, passing building maintenance requirements to the Maintenance Supervisors</p> <p>The Council has appointed a Council wide Contractor/s to undertake annual inspections of fire alarms and firefighting equipment. In relation to fire alarms inspections are likely to highlight a programme of work to upgrade some systems. The Council's Building Maintenance team continue to address work as required. Facility Managers continue to extract relevant works for action by Building Maintenance from individual Fire Risk Assessments. Works are actioned and reported back to Facility Managers.</p>
Advisory Internal Audit Review - Health and Safety	Implement the 30 recommendations arising from the internal audit review of Health and Safety	In Progress	Caolain Boyd Kevin Scullion	30/06/2022	<p>In March 2021, ASM carried out of review of progress in implementing the recommendations. Follow up discussions to take place at Facilities Management Working Group which should reconvene as soon as possible.</p>
Asbestos Policy and Management Plans	Implementation of Asbestos Policies and Management Plans	In Progress	Kevin Scullion	31/07/2022	<p>The current level of risk for asbestos, is considered Low. All buildings have been surveyed and no significant risks have been identified which cannot be managed through good building practices.</p> <p>A Contractor was appointed in October 2020 for a three-year period to undertake inspections, air sampling, training and related asbestos consultancy work. There was a defined year 1, 2 and 3 work programmes. Year 1 programme would ensure any gaps in our data base concerning existence of asbestos in buildings was, so far as reasonably practicable, addressed.</p> <p>Steady progress has been made on this despite issues concerning Covid 19 (access to buildings and Covid related staff issues) and all but a small number of our buildings have now been inspected. Not all reports have been issued to Council at this time, but these are to follow. The inspections have not highlighted any significant issues of concern with the overall approach being recommended is that the asbestos we have in our buildings is not in a condition which requires action from Council other than to manage it in situ.</p>

Conflict of Interest Declarations	All high risk staff to have declaration completed by May 2021. Voluntary declarations to be rolled out to all staff by May 2021. All Elected Members have completed and submitted declarations, which will be reviewed every six months and reported to the Audit Committee.	In Progress	Alison Robb	30/06/2022	Since the inception of the Conflict of Interest policy and the start of this process, approximately 96% of mandatory returns have now been made, with just 11 returns outstanding from a total of 266 requests. The HoS (Legal) has made contact with individuals by phone and email however this small number remain outstanding. Line managers have now being asked to contact individuals to apply pressure to have the returns made and it is hoped that full compliance will be achieved in the coming weeks.
Insurance	CMT to ensure that Council Properties and Vehicles are adequately covered and schedules are up to date	In Progress	Caolain Boyd	30/06/2022	Work currently under to validate Councils Operators Licence against Councils fleet insurance schedule. CMT are also leading an exercise to ensure are Property/Contents schedules are up to date.
Legionella Policy and Management Plan	Implementation of Legionella Policies and Management Plans	In Progress	Kevin Scullion	31/07/2022	The current level of risk for legionella is considered Medium. A Contractor was appointed in August 2020 for three-year period to undertake legionella control measures on behalf of the Council. This comprises monthly, quarterly, six monthly and annual inspections and works. These works are progressing as normal except for risk reviews for each of our buildings which were to be completed in Year 1 of the contract. There were 127 inspections to be completed, however there has been a delay in completion of this work and the associated recommendations arising from the risk reviews. Officers are of the view that despite a lack of progress in completing the risk reviews in accordance with the programme, the current monthly regime of checks and inspections provides a satisfactory level of assurance that legionella risks are being minimised subject to remedial works being completed to address temperature or mechanical issues identified.
New Procurement to Pay System	Our current supplier is no longer supporting the current system, therefore Council had to tender for a new supplier	Completed	Gerard Byrne	30/04/2022	Both the Purchase to Pay system and Sourcing Portal went live on the 10th January - completed
Social Procurement Policy	Council to consider bringing in a social procurement policy following the guidance issued by the Minister of Finance in June 2021.	Proposed	Gerard Byrne	30/06/2022	Legislation to be reviewed to determine if this is possible while adhering to Public Contract Regulations. Procurement team are liaising with BCC and DSCC.

**Risk CR. 03 - Failure to effectively manage waste**



**Risk Categories** Buildings / Engineering / Environment  
Quality of Service  
Statutory Duty (Legal/Regulatory)

**Risk Description** Failure to effectively manage waste

**Potential Root Cause** Insufficient resources (availability of HGV drivers)  
Market forces enable commercial operators to increase prices  
Failure to plan effectively for the future (including financial planning)  
Historic contract arrangements which are not providing the Council with VFM  
Potential loss of operators licence  
Future changes to waste management arrangements  
COVID19 - Staff being unavailable or members of their household self isolating  
Risk of industrial action  
Unable to procure new contracts to process & dispose of our waste  
ARC21 incinerator proposal in Antrim and Newtownabbey Borough Council - Planning permission refused in January 2022.

**Consequence** Reputational Issues  
Lower levels of customer satisfaction  
impact on service delivery and lost productivity  
Failure to meet statutory standards around recycling and waste to landfill

**Risk Owners** Johnny McBride

**Gross/Inherent Risk** Red 25 **Last Review** 07/04/2022

**Residual Risk** Red 20 **Next Review** 30/06/2022

**Target Risk Level** Yellow 9 **Risk Appetite** Risk Cautious

**Objectives**

- 2. Continue to improve the health and wellbeing of everyone in the district and reduce health inequalities.
- 7. Provide accessible, high-quality and integrated services through continuous improvement

**Key Controls Identified**

- 1. Contingency Plans in place
- 1. COVID19 - New ways of working identified, i.e. staggered start times
- 1. COVID19 - Screen partitions in all vehicles where there is more than one passenger
- 1. Long term Waste Strategic Plan in place
- 1. Partnership working with key stakeholders
- 3. Internal Audits Completed;  
Fleet Management 2020/21  
Fuel Management procedures
- 3. Internal Audits Scheduled;  
Waste Management - 2021/22

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**Action Plans**

	<b>Action Plan Description</b>	<b>Action Plan Type</b>	<b>Action Plan Owner</b>	<b>Action Plan Action Date</b>	<b>Comments</b>
Operators Licence	Internal Audit carried out a review of the progress in implementing TRU and FTA recommendations in October 2018. A further review took place during November/December 2020 which has provisionally highlighted that limited progress has been made in implementing a number of recommendations from the 2018 audit.	In Progress	Johnny McBride	30/06/2022	An action plan in relation to compliance to the Council's Operators licence was presented to NS in October 2021. A further Audit was carried out by RTA in January 2022 - Findings to be presented to the Audit Committee in April 2022.
Waste Management Plan	The Waste Management Plan is organised by ARC 21. The Council is required to feed into and approve ARC 21s Waste Management Plan.	In Progress	Johnny McBride	30/06/2022	A review of the arc21 Waste Management Plan (including NMDDC) has been completed by WRAP, however Chapter 6 of the Plan remains outstanding as this requires data to be provided by DAERA. Councils are now collaborating on the procurement of technical expertise to produce an Addendum for the Plan (in the absence of a Department-led Waste Management Strategy for NI) and are also clarifying the status of the outstanding Chapter with the Department.

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**Risk CR. 04 - Failure to provide robust and timely planning decisions**

Consequence	5					G
	4				R	
	3			T		
	2					
	1					
		1	2	3	4	5
		Probability				

**Risk Categories** Business operational/reputational  
Financial  
Quality of Service

**Risk Description** Failure to provide robust and timely planning decisions

**Potential Root Cause** Ineffective and/or inadequate resources  
Planning Legislation not being followed  
Ineffective technology - EPIC system changes

**Consequence** Litigation and financial costs  
Reputational issues  
Lower levels of customer satisfaction  
Impact on service delivery and lost productivity  
Financial implications resulting in budget constraints  
Failure to achieve the statutory standards around local / major planning applications and enforcement cases

**Risk Owners** Conor Mallon

**Gross/Inherent Risk** Red 25

**Residual Risk** Amber 16

**Target Risk Level** Yellow 9

**Last Review** 07/04/2022

**Next Review** 30/06/2022

**Risk Appetite** Risk Open

**Objectives**

- 3. Enhance, protect and promote our environment
- 6. Promote the revitalisation of our city, towns, villages and rural communities.

**Key Controls Identified**

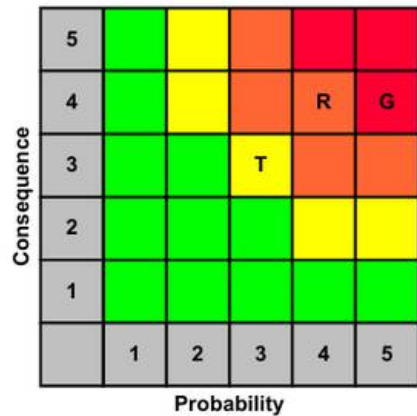
- 1. Action plan in place to reduce backlog
  - 1. Increase in employee numbers
  - 1. Ongoing training for officers and members
  - 2. Dedicated Planning Committee in operation
  - 2. Local Development Plan developed and timetable agreed
  - 2. Planning Consultant in place since January 2020 to bring about performance improvements
  - 2. Scheme of Delegation in place to facilitate timely planning decisions

## Action Plans

	Action Plan Description	Action Plan Type	Action Plan Owner	Action Plan Action Date	Comments
Backlog cases	Implement action plan to reduce backlog in line with timeframe set	In Progress	Anthony Mckay	31/07/2022	Live applications at 25/05/2022 are at 1,111, up from 1,106 on 20/12/21. Numbers of live applications across Northern Ireland continue to rise. They are at their highest level since 2012. NMD receives the highest number of planning applications of any Council. NMD issues the largest number of planning decisions of any Council. Average processing times for planning applications across all Councils is 16.0 weeks. Average processing time for NMD is 17.4 weeks. The filling of new and vacant posts is ongoing. NMD continues to experience turnover of staff through resignations / maternity leave etc.
Complaints	Respond to complaints in relation to the Planning service within the corporate reporting timeframe and implement the relevant recommendations arising from the internal audit of complaints handling and management.	In Progress	Conor Mallon Anthony Mckay	30/06/2022	An internal audit of complaints handling and management was carried out during Q2 2020-21. The audit focused on complaints across a range of departments, including Planning. Performance levels have fluctuated, driven by increasing volumes of work / competing priorities on senior officer time. Process improvements have been identified and rolled out. The Corporate Complaints procedures are now implemented and embedded within the planning department. Complaints continue to be monitored.
Internal Review of overturn decisions	Council will undertake a review/audit of overturn decisions - this is based on the NIAO Public Accounts Committee report on Planning decisions across Councils in NI	In Progress	Gerard Byrne	30/06/2022	Audit Services Section to undertake the review in May 2022
IT infrastructure	Upgrade of technical IT infrastructure (EPIC Replacement)	In Progress	Anthony Mckay	31/07/2022	Council has agreed to the procurement of a replacement planning computer system, in a joint arrangement with the other 10 Councils and DfI. The contract has been awarded and is to be operational by July 2022.
Specialist Planning Consultant	Business case to appoint a specialist planning consultant was approved at the December 2019 SP&R Committee.	In Progress	Conor Mallon	31/05/2022	The specialist planning consultant commenced January 2020 and has been reviewing processes and procedures to help improve the performance of the planning service and facilitate transformational change. The Consultant provides progress updates to the Planning Committee and is due to give a final update in May 2022.



**Risk CR. 05 - Failure to adequately plan for the future and deliver efficiencies and improvement**



**Risk Categories**  
 Business operational/reputational  
 Financial  
 Impact on individuals (staff or public)  
 Quality of Service

**Risk Description**  
 Failure to adequately plan for the future and deliver efficiencies and improvement  
 Differences in respect of terms and conditions of employment arising from, or as a consequence of, the formation of the new Newry Mourne and Down District Council on 1 April 2015 and as a result of the re-organisation of public administration.

**Potential Root Cause**  
 Difficulty recruiting key positions in Councils Management Team  
 The requirement to transform the Council is a direct consequence of the merger of the two predecessor Councils arising from LGR and will support the realisation of organisational improvement and efficiencies.  
 The Council has not defined the business changes it wants from transformation to support investment in new IT and the resolution of fundamental business differences arising from legacy arrangements (i.e. T&Cs)  
 Corporate efficiency projects and other improvement activities are not currently joined-up with wider transformational activity  
 The Council is currently unable to track the realisation of benefits (financial or non-financial) arising from investment in new IT systems (i.e. Legend)  
 A lack of corporate capacity currently exists to support transformational activity  
 The impact of COVID19 on the overall affordability of the Councils long term plans

**Consequence**  
 We are not fundamentally addressing the merger (aka LGR) leading to reputational damage  
 The budget situation will continue to get worse (salaries and wages) therefore not providing VFM  
 Our ability to provide citizens / customers with the services they require will be significantly constrained  
 We will potentially lag behind other Councils & other public sector organisations

**Risk Owners**  
 Dorinnia Carville; Marie Ward

**Gross/Inherent Risk** Red 20      **Last Review** 07/04/2022  
**Residual Risk** Amber 16      **Next Review** 30/06/2022  
**Target Risk Level** Yellow 9      **Risk Appetite** Risk Hungry

**Objectives**

7. Provide accessible, high-quality and integrated services through continuous improvement

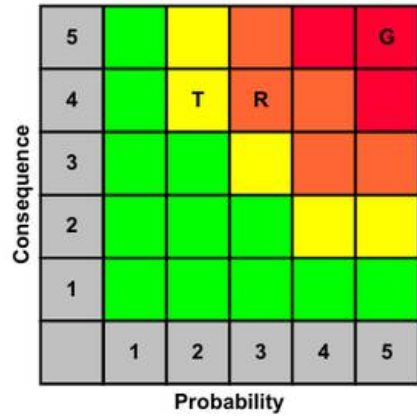
**Key Controls Identified**

1. Severance Rate agreed by Unions and Members
2. IT Project Group in place and meets monthly
2. Specialist independent IT consultants have been tasked with implementing the IT strategy

**Action Plans**

	<b>Action Plan Description</b>	<b>Action Plan Type</b>	<b>Action Plan Owner</b>	<b>Action Plan Action Date</b>	<b>Comments</b>
Alternative methods of recruitment	HR to look at alternative method of recruitment due to the difficulties in recruiting into key positions across Council. The difficulties are not limited to senior positions, all Directorate are struggling to fill vacant posts currently.	In Progress	Catrina Miskelly	30/06/2022	In progress
CMT Working Groups	Three CMT Working Groups have been established to progress key transformational projects around 'Ways of Working', 'Customer Engagement', 'Information Strategy' and 'Overtime'	In Progress	Eoin Devlin Colum Jackson Andy Patterson Kevin Scullion	30/06/2022	Work is ongoing across the four Working Groups: a detailed update was provided to SMT in January 2022 from each Working group lead.
Service Reviews	Service Reviews are currently being completed across Directorate in line with paper which was approved at SP&R	In Progress	Senior Management Team	30/06/2022	Service reviews are progressing and discussion is ongoing with Trade Unions.
Terms and Conditions	A work plan is now in place between management side and trade unions - timetable has been agreed	In Progress	Senior Management Team	31/03/2023	A paper on T&C's was brought to SP&R in Q3 2021/22. To be completed by March 2023.
Voluntary Severance Call	Roll out of a voluntary severance call to communicated to staff	In Progress	Senior Management Team	30/06/2022	Communications in relation to severance issued to Tier 3 and Administrative grades in December 2021. Paper brought for approval to SP&R in April detailing the costs/savings of the Ves programme.

**Risk CR. 06 - Failure to adequately react to a major incident which would minimise any negative consequences/impact**



**Risk Categories** Buildings / Engineering / Environment  
Business operational/reputational  
Impact on individuals (staff or public)  
Statutory Duty (Legal/Regulatory)

**Risk Description** In the event of a disaster or an emergency, the Council may not respond in a way which minimises any negative consequences/impact

**Potential Root Cause** Natural disasters, localised flooding, Harbour disasters, Fire  
Pandemics - COVID 19  
Significant IT failure  
Inadequate preparedness to be able to respond in the event of an emergency

**Consequence** Reputational damage through inadequate civic leadership to provide adequate community emergency support  
Loss of income  
Litigation - civil/criminal  
increased insurance premiums

**Risk Owners** Dorinnia Carville; Marie Ward

**Gross/Inherent Risk** Red 25

**Residual Risk** Amber 12

**Target Risk Level** Yellow 8

**Last Review** 07/04/2022

**Next Review** 30/06/2022

**Risk Appetite** Risk Averse

**Objectives**

7. Provide accessible, high-quality and integrated services through continuous improvement

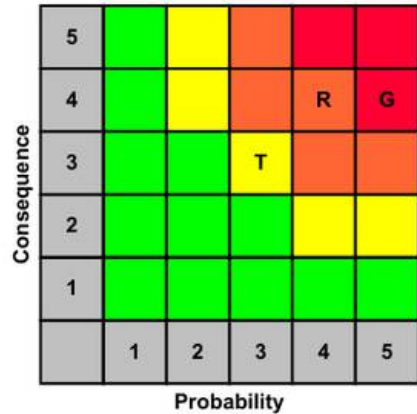
**Key Controls Identified**

- 1. Emergency planning measures in place, including:
  - Flood risk plan
  - Inter-agency group
- 1. Annual Winter Resilience Plan in place
- 1. Business Continuity scenario plans in place
- 1. Dedicated Emergency Planning team and professionally trained and experienced staff
- 1. Emergency Plan Activated in March 2020 due to COVID19
- 1. Ferryman test exercise completed (May 2019) -Security alert in February 2021 - Lessons learned
- 2. Member of Southern Region Emergency Planning Group
- 2. New regional local government regional model
- 3. Internal Audits Completed;
  - Health and Safety Checks 2019/20
  - Emergency Planning 2020/21

**Action Plans**

	<b>Action Plan Description</b>	<b>Action Plan Type</b>	<b>Action Plan Owner</b>	<b>Action Plan Action Date</b>	<b>Comments</b>
Documenting Business Continuity Plans	BCPs to be documented for each Service Area	In Progress	Dorinnia Carville	30/06/2022	Work is underway - being led by the SHEP unit - BCPs are going to be focused on Critical Services / Systems and then focusing on the key scenarios each area will have to overcome.
Northern Ireland Emergency Planning Structures	Officers will continue to attend and contribute to the NI Emergency Planning Structures.	In Progress	Senior Management Team	30/06/2022	EPIG meeting (SMT/CMT) every Thursday morning focusing on the Ukrainian Refugee operation - currently a welcome centre set up within NLC.

**Risk CR. 07 - Failure to implement an economic development programme to regenerate the district and attract inward investment due to financial uncertainties caused by the current economic and political climate, including the NI Protocol**



**Risk Categories** Impact on individuals (staff or public)  
Quality of Service

**Risk Description** Failure to implement an economic development programme to regenerate the district and attract inward investment due to financial uncertainties caused by the current economic and political climate, including the NI Protocol.

**Potential Root Cause** Failure to engage stakeholders (public and private sector)  
FFNI - NMDDC is lead Council with operations team - increased risk  
Impact of the City Deal  
The weakness in sterling driving inflation expectations higher  
Issues around the NI Protocol including:  
-Loss of EU funding  
-Disruption of food and medical supplies  
-Community tension and public disorder  
-Changes in regulations, border controls, cross border trade and movement of goods and people  
-Uncertainty amongst the business community in relation to food standards, trading standards and exports  
-Lack of employees with the required expertise and experience, eg Environmental Health Officers

**Consequence** Lack of investment in the District and lower levels of economic activity  
Lack of confidence from the private sector  
Some services, which were funded externally, not being delivered  
Lack of leadership and direction from the NI Executive and UK Government  
Inadequate levels of service provision  
COVID19 - Increase in the District rate

**Risk Owners** Conor Mallon; Marie Ward

**Gross/Inherent Risk** Red 20 **Last Review** 07/04/2022

**Residual Risk** Amber 16 **Next Review** 30/06/2022

**Target Risk Level** Yellow 9 **Risk Appetite** Risk Hungry

**Objectives**

1. Invest in and support new and growing businesses, job creation and employment skills
4. Support sustainable forms of tourism which value our environment and cultural heritage.
6. Promote the revitalisation of our city, towns, villages and rural communities.
7. Provide accessible, high-quality and integrated services through continuous improvement

### Key Controls Identified

1. FFNI Operations team in place. Operations group established with other Councils. Project Risk Register established
1. Regeneration and Economic Development Strategy 2020-25 in place
1. Rural Development Programme in place
2. Brexit Forum and Brexit Task and Finish Working Group operational
2. Engagement with other Councils, other Departments, NILGA and the Private Sector through the Chamber of Commerce
2. Establishment of Economic Forum including public and private sector stakeholders
2. Internal Brexit Working Group established and meeting regularly to plan for an respond to organisational impacts
2. Participation in Cross Council Brexit Working group, Liaising with the NI Executive Office.
3. Internal Audits Completed;  
FFNI - 2019/20

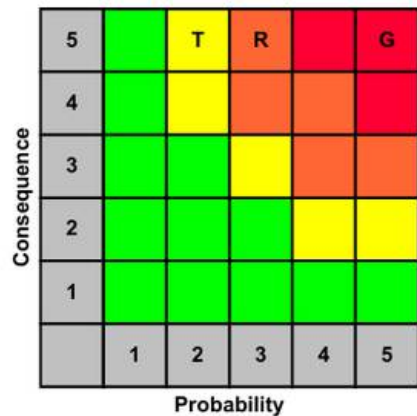


## Action Plans

	Action Plan Description	Action Plan Type	Action Plan Owner	Action Plan Action Date	Comments
City Deals	Actively engage in Belfast Region City Deal	In Progress	Marie Ward	30/06/2022	The Head of Terms have been signed (March 2019). OBCs for NMD projects have been approved by BRCD Board and relevant Government Departments On the 15 December 2021, The Belfast Region City Deal was signed and unlocks £1 billion of transformative co-investment which will deliver more than 20 highly ambitious projects and programmes, create up to 20,000 new and better jobs and help make the region a global investment destination over the next decade. Council is now in delivery mode for key projects.
Full Fibre Network NI (FFNI)	Local Full Fibre Network to improve connectivity across all of Northern Ireland.	In Progress	Conor Mallon	30/06/2022	As lead partner, the Council continues to deliver the FFNI project which completed on 31 March 2022. Final claims and project evaluations are underway to be completed by July 2022. Partnership are currently reviewing options for next steps.
Support local businesses in operating under the new NI protocol	The Council continues to closely monitor the impact of Brexit on funding streams and service provision at a local level. The Council is also providing support, advice and guidance to local businesses as they anticipate and manage the changes associated with Brexit.	In Progress	Conor Mallon	30/06/2022	The Council is engaging stakeholders through the Brexit Forum and internal Brexit Working Group, which meet regularly and continue to provide support, advice, guidance and signposting to Government agencies through the website, social media channels and ezines. The Council is also holding Brexit preparation workshops through existing mentoring programmes and will seek to develop additional support and interventions, as identified through ongoing engagement with the business sector. The Council is also working with key stakeholders in relation to future EU funded programmes carrying out evaluations and developing potential new programme proposals for submission to a range of emerging funding opportunities such as Peace plus, Shared prosperity fund, Levelling up fund, Shared Island fund etc.
Warrenpoint Port	To ensure efficient delivery of statutorily required of food import checks on relevant Agri-Food goods entering Northern Ireland at Warrenpoint port	In Progress	Michael Lipsett	30/06/2022	Required checks are being completed at Warrenpoint Port on an on-going basis by trained and authorised staff, working flexible shifts aligned with changeable sailing arrival times. Regular meetings with relevant partners, DAERA, FSA, Border force, Seatruck, Warrenpoint Port, to continue to share learning and work through operational issues as they arise. Officers continue to contribute to the Project Steering group, led by DAERA. Negotiations to commence in January 2022 around the FSA providing certainty of funding for a longer period. MoU signed with BCC in relation to offering staff assistance if required.



**Risk CR. 08 - Failure to adequately manage sickness absence resulting in delays and an inability to deliver Council services.**



**Risk Categories** Business operational/reputational  
Financial  
Impact on individuals (staff or public)  
Quality of Service

**Risk Description** Failure to adequately manage sickness absence resulting in delays and an inability to deliver Council services.

**Potential Root Cause** Increased levels of sickness absence  
Failure to adequately manage sickness absence  
Failure to complete Return to Work interviews following instances of absenteeism  
Period of change, uncertainty and increased stress  
COVID absences are currently high - April 2022

**Consequence** Increase in sickness absence  
Critical services failing to be delivered  
Reputation damage  
Increased cost to Council due to the use of agency staff/overtime

**Risk Owners** Senior Management Team

**Gross/Inherent Risk** Red 25 **Last Review** 07/04/2022

**Residual Risk** Amber 15 **Next Review** 30/06/2022

**Target Risk Level** Yellow 10 **Risk Appetite** Risk Minimal

**Objectives**

- 2. Continue to improve the health and wellbeing of everyone in the district and reduce health inequalities.
- 8. Advocate with others for the benefit of all people of the district.

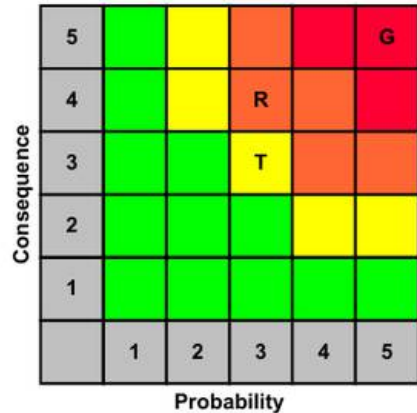
**Key Controls Identified**

- 1. Employee Health Cash Plan
- 1. Human Resources Team
- 1. Managing Attendance Policy
- 2. Health and Wellbeing Working Group/Team
- 2. Occupational Health Service
- 2. RTW absence interviews are now being monitored through the CMT group
- 3. Internal Audits completed;  
HR Policy Review 2020/21  
Leisure Services - review of Flexi/Toil -2019/20

**Action Plans**

	Action Plan Description	Action Plan Type	Action Plan Owner	Action Plan Action Date	Comments
Training	All Managers must complete Managing Attendance training on the Councils e-learning platform	In Progress	Catrina Miskelly	30/06/2022	In progress and regular reminders sent to staff to ensure their training records are up to date.

**Risk CR. 09 - Risk that Council does not assist the post COVID 19 recovery of the district, therefore failing in its objectives to regenerate and build a prosperous district due to the inability of Council to be financially sustainable in the long term**



**Risk Categories** Business operational/reputational  
Financial  
Quality of Service  
Statutory Duty (Legal/Regulatory)

**Risk Description** Risk that Council does not assist the post COVID 19 recovery of the district, therefore failing in its objectives to regenerate and build a prosperous district due to the inability of Council to be financially sustainable in the long term

**Potential Root Cause** Environmental Services - Loss of income (SEUPB/PHA)  
Leisure - significant loss of Leisure centre income and members going forward  
Community - Loss of income at community centres / difficulty in progressing financial assistance claims / uncertainty over PEACE funding  
Impact on Capital Projects - funding reduced/withdrawn, timescales extended / increased costs - capital budget may be reduced going forward  
Loss of Ratepayers income  
Lack of planning for the medium to long term  
Inflation and rising utility costs

**Consequence** Council income reducing  
Going concern issues  
Large increase in District Rate going forward - negative publicity  
Council Reserves reducing inadequate levels

**Risk Owners** Senior Management Team

**Gross/Inherent Risk** Red 25      **Last Review** 07/04/2022

**Residual Risk** Amber 12      **Next Review** 30/06/2022

**Target Risk Level** Yellow 9      **Risk Appetite** Risk Open

**Objectives**

1. Invest in and support new and growing businesses, job creation and employment skills
2. Continue to improve the health and wellbeing of everyone in the district and reduce health inequalities.
6. Promote the revitalisation of our city, towns, villages and rural communities.
7. Provide accessible, high-quality and integrated services through continuous improvement
8. Advocate with others for the benefit of all people of the district.

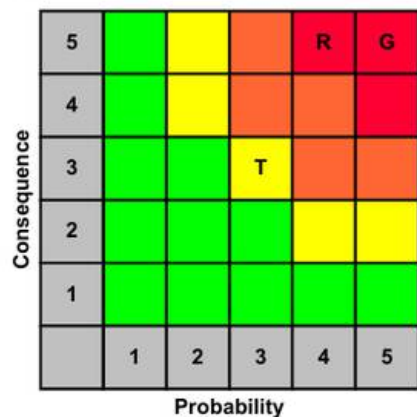
**Key Controls Identified**

1. Monthly Management Accounts completed by Finance
1. Public Health guidance being followed in relation to the closure of facilities and buildings
2. Multi agency Community Hub
2. NMDDC COVID-19 Recovery Group
2. Service and Business plans now in place
2. Working with ALFCO around a Council wide position to DfC and DoF
3. Internal Audits Completed;  
Emergency Planning with a focus on COVID19 - 2020/21

## Action Plans

	Action Plan Description	Action Plan Type	Action Plan Owner	Action Plan Action Date	Comments
COVID-19 small settlement revitalisation scheme	The COVID Recovery Small Settlements Regeneration Programme is a collaboration between the Department for Communities, Department of Agriculture, Environment and Rural Affairs, and the Department for Infrastructure, to work closely with local government to identify priority projects for delivery on the ground.	In Progress	Conor Mallon	30/06/2022	Economic development team are currently administering the scheme
Rates Support Grant	Director of Corporate Services to write to the Minister of Finance and Communities about the reduction of the Rates Support Grant and to ascertain the grant will not be reduced going forward	In Progress	Dorinnia Carville	30/06/2022	Director sent letter to Minister in August 2021. Minister has now agreed to meet with a delegation of CEO/Finance Directors of affected Councils on the 19 January 2022. Minister Hargey wrote to the Chief Executives of the seven councils qualifying for Rates Support Grant, on 21 January 2022, advising that this year as part of the January Monitoring Round allocation an additional £10m funding for Rates Support Grant for 2021/22 had been secured. As a result the total Rates Support Grant allocated to councils for 2021/22 is now £21.9m. Due to the extra funding, NMDDC received an extra £929k. RSG allocations for 2022/23 has yet to be confirmed.
Rising utility costs	All Councils are currently out of contract for Electric / Gas suppliers and have to pay monthly in arrears, no agreed costs due to the volatile markets, previously there was a Council wide tender. No specific risk has been created yet as we are unsure of the effects presently. Based on current market trends and indicative pricing from the suppliers, bills for the month of April are likely to increase by 200% for Electricity and 400% for gas. However, these are only indicative, and the percentage increase could be higher or lower at the end of April. Diesel and Heating oil have also increased significantly. These large increases have not been factored into the 2022/23 budgets	In Progress	Gerard Byrne Eoin Devlin	30/07/2022	Submission made by NMDDC with all other Council to DfC - continue discussion with DfC to lobby for additional financial support.

**Risk CR.10 - Failure to effectively plan for and manage a Cyber Security Attack**



**Risk Categories** Business operational/reputational  
Impact on individuals (staff or public)  
Quality of Service

**Risk Description** Risk of a cyber security event causing significant operational, financial and reputational damage to the Council

**Potential Root Cause** Cyber attack  
Accidental breach of security  
Breach of people, process, physical or technical controls  
Failure to respond to and recover from a cyber incident within, or impacting upon, Council  
Lack of skills and competencies  
System vulnerabilities

**Consequence** Threat to availability, integrity and confidentiality of Council information and systems  
Failure to deliver Council services (including statutory and regulatory services)  
Financial loss  
Reputational damage  
Extended period to recover services to Business as Usual (BaU)  
Destruction of systems and data  
Theft of data for criminal use  
Political impact  
Environmental impact

**Risk Owners** Dorinnia Carville

**Gross/Inherent Risk** Red 25

**Residual Risk** Red 20

**Target Risk Level** Yellow 9

**Last Review** 07/04/2022

**Next Review** 30/06/2022

**Risk Appetite** Risk Averse

**Objectives**

7. Provide accessible, high-quality and integrated services through continuous improvement

**Key Controls Identified**

- 1. Back up arrangements
- 1. Business Continuity Scenario Planning
- 1. Participation in threat intelligence networks
- 1. Penetration testing and vulnerability scanning
- 1. Phishing simulation and learning exercises
- 1. Technical security controls and arrangements
- 2. Engagement with Cyber bodies
- 3. Internal Audits Scheduled;  
IT Systems and Security - 2021/22  
IT Strategy 2021/22

**Action Plans**

	<b>Action Plan Description</b>	<b>Action Plan Type</b>	<b>Action Plan Owner</b>	<b>Action Plan Action Date</b>	<b>Comments</b>
Business Continuity Plans	BCP plans to be updated to reflect the cyber risk	In Progress	Caolain Boyd Gavin Ringland	31/07/2022	Critical and Priority Services currently being prioritised via scenario planning - being managed by the SHEP Department.
Cyber Incident Response/Disaster Recovery	Establish and test cyber incident response and disaster recovery capabilities	In Progress	Gavin Ringland	30/09/2022	Event Scenarios and PlayBooks are being continually tested and refined where confidence of no-impact is high. Independent Cyber Maturity Assessment will be undertaken against CAF (Cyber Assessment Framework) by end of Q2. Cyber Insurance for the 2022/23 year has been secured.
Cyber insurance	Cyber Insurance cover for 2022/23	Completed	Caolain Boyd	31/05/2022	
IT Strategy	Implement additional security tools including multifactor authentication, conditional access and modern authentication where possible and appropriate	In Progress	Gavin Ringland	31/07/2022	Remote access to LAN completely MFA. Continuing to implement MFA and conditional access to Office 365. Privileged access accounts and high risk services already MFA enforced.
Training/Development Plans	Increase User resilience Continue to engage with and follow guidance from the National Cyber Security Centre (NCSC) Continue to use Active Cyber Defence tools from NCSC and supplement with vulnerability scans, actioning recommendations resulting therefrom where possible and appropriate	In Progress	Gavin Ringland	31/07/2022	Council is now subscribed to the NSCS Early Warning Network and vulnerability scanning solution currently being deployed. User Resilience remains poor despite increased warnings and additional training. Additional focus on training enforcement and consequences of non-compliance.



# Active and Healthy Communities Directorate

06/04/2022 15:20:28

## Risk 01. Member of staff / public seriously injured or death on site / Council property

Consequence	5			R		G
	4		T			
	3					
	2					
	1					
		1	2	3	4	5

Probability

<b>Risk Categories</b>	Business operational/reputational Impact on individuals (staff or public) Statutory Duty (Legal/Regulatory)	
<b>Risk Description</b>	This can include community centres / outstations / leisure centres (including swimming pools) / pitch facilities / Council vehicle accident	
<b>Potential Root Cause</b>	Inadequate safety arrangements and non compliance with statutory requirements - eg fire, legionella and asbestos Lone working Lack of training / failure to follow operating procedures Confrontation with public / threat of violence / aggression Lack of supervision Lack of awareness of policy and procedures Lack of awareness/knowledge of the environment Vehicle accident Unforeseen event, eg. drowning	
<b>Consequence</b>	Impact of death/injury on those involved and employees Reputational damage for the Council Negative PR Services not being delivered if Council facilities are closed for a period of time Non compliance with statutory requirements / legislation and potential financial penalty Potential litigation	
<b>Risk Owners</b>	Eoin Devlin; Janine Hillen; Michael Lipsett; Paul Tamati	
<b>Gross/Inherent Risk</b>	Red 25	<b>Last Review</b> 23/03/2022
<b>Residual Risk</b>	Amber 15	<b>Next Review</b> 30/06/2022
<b>Target Risk Level</b>	Yellow 8	<b>Risk Appetite</b> Risk Averse

### Objectives

1. Promote increased levels of activity and develop targeted programmes to support improved health and wellbeing outcome
2. Effectively manage and sustain leisure facilities in line with COVID-19 restrictions and public health guidelines
3. Create a strong base to engage, empower and build the capacity of local communities, ensuring their views inform the
4. Promote sustainability both within the organization and externally, support improved Health and Wellbeing outcomes

**Key Controls Identified**

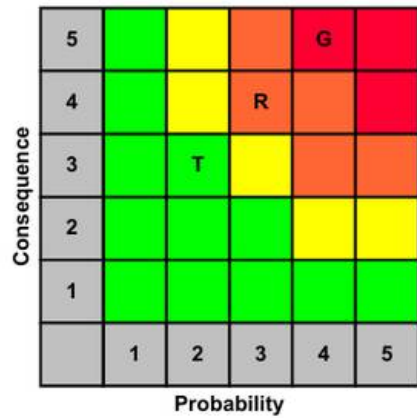
Accident Reporting Procedures now in place  
 Appropriate clothing for certain sites  
 Compliance Scorecards in place for all leisure facilities  
 Corporate Health and Safety Policy and dedicated unit within the Council  
 Departmental Health and Safety Working Groups  
 Incident book maintained  
 Licence and insurance details kept for casual and essential vehicle users  
 Lone working arrangements / Remote Working Policy  
 Risk assessments of Council facilities  
 Training for all employees

**Action Plans**

	<b>Action Plan Description</b>	<b>Action Plan Type</b>	<b>Action Plan Owner</b>	<b>Action Plan Action Date</b>	<b>Comments</b>
Health and safety training	Continued delivery of the 3 year rolling programme for employees and volunteers at local community centres.	Proposed	Janine Hillen	30/06/2022	The programme continues to be delivered, offering a range of courses including self defence and defibrillator training. During 2021-22, xx attendees took part in xx programmes.
Internal Audit	An internal audit of Health & Safety took place in 2019-20 and includes a number of recommendations to improve health and safety processes and procedures across the organisation.	In Progress	Paul Tamati	30/06/2022	The implementation of recommendations is underway, is led and co-ordinated through the Facilities Management Working Group and updates against the recommendations is reported to the Audit Committee on a quarterly basis. This action will therefore be removed from the AHC Risk Register.
Lone working arrangements	Review and update lone working arrangements in the Environmental Health Department.	Proposed	Eoin Devlin	30/06/2022	Put in place arrangements to monitor remote working activity to ensure employees check in after appointments and at the end of the working day.
Roll out Leisure Safe accreditation across all leisure centres	Leisure Safe accreditation is in place at Newry Leisure Centre.	In Progress	Paul Tamati	30/09/2022	Three year cycle for Leisure Safe accreditation which is scheduled to complete at Down, Newcastle, Killeel and Ballymote during 2022-23. At present, there are issues with the maintenance of leisure facilities which will be reviewed by September 2022.



**Risk 02. Fraud, theft and mismanagement of money, property and assets**



**Risk Categories**  
Business operational/reputational  
Financial  
Impact on individuals (staff or public)

**Risk Description**  
Fraud, theft and mismanagement of money, property and assets

**Potential Root Cause**  
Poor governance  
Poor security/IT systems  
Failure to effectively implement internal audit recommendations  
Insufficient monitoring and spot checks  
Lack of training and understanding of Fraud and Whistleblowing Policies  
Corporate culture  
Non reconciliation of assets and inventory  
Major changes in organisational development increasing fraud risk  
No inventory of assets in leisure and community centres

**Consequence**  
Financial impact  
Reputational risk  
Low staff morale during fraud investigations

**Risk Owners**  
Janine Hillen; Paul Tamati

**Gross/Inherent Risk**  
Red 20

**Residual Risk**  
Amber 12

**Target Risk Level**  
Green 6

**Last Review**  
23/03/2022

**Next Review**  
30/06/2022

**Risk Appetite**  
Risk Averse

**Objectives**

1. Promote increased levels of activity and develop targeted programmes to support improved health and wellbeing outcome
2. Effectively manage and sustain leisure facilities in line with COVID-19 restrictions and public health guidelines
3. Create a strong base to engage, empower and build the capacity of local communities, ensuring their views inform the
4. Promote sustainability both within the organization and externally, support improved Health and Wellbeing outcomes

**Key Controls Identified**

- Corporate Procurement Policy in place
- Expansion of online payment methods to limit the amount of cash handling at Council facilities
- Fraud and Whistleblowing Policy in place
- Governance arrangements in place including the Audit Committee and independent internal audit function
- Internal Audit of Leisure Services Cash Handling and Booking Management

## Action Plans

	<b>Action Plan Description</b>	<b>Action Plan Type</b>	<b>Action Plan Owner</b>	<b>Action Plan Action Date</b>	<b>Comments</b>
Develop a centre based asset register for community facilities	Asset Register will include an inventory of all assets within community facilities	Proposed	Janine Hillen	30/06/2022	Develop a forward plan to create an the asset register for community facilities, identify and agreeing 3 community facilities per annum.
Develop centre/service based asset register for sport and leisure	Asset Register will include an inventory of all assets within each leisure facility.	In Progress	Paul Tamati	30/06/2022	The development of an Asset Register by Area Managers, using a consistent approach, is underway.
Introduce management checks and controls on financial governance	System of spot checks to ensure appropriate controls are in place and adhered to in relation to financial management and governance.	Completed	Paul Tamati	29/04/2022	Financial controls are in place across all leisure centres.

**Risk 03. Failure to enforce and comply with legislative requirements and statutory functions**

Consequence	5					G
	4				R	
	3		T			
	2					
	1					
		1	2	3	4	5
		Probability				

**Risk Categories** Business operational/reputational  
Quality of Service  
Statutory Duty (Legal/Regulatory)

**Risk Description** Failure to enforce and comply with legislative requirements and statutory functions

**Potential Root Cause** Lack of training  
Inadequate Enforcement Policy and poor implementation of Enforcement Policy  
Inadequate funding and resources to provide the required level of service  
Non-compliance with legislation leading to prosecution  
Impact of BREXIT on the local area and economy

**Consequence** Financial penalty  
Reputational damage  
Poor service being provided  
Exit from the European Union has an impact on the District, economy and organisation

**Risk Owners** Eoin Devlin; Janine Hillen; Michael Lipsett; Paul Tamati

**Gross/Inherent Risk** Red 25      **Last Review** 18/11/2020

**Residual Risk** Amber 16      **Next Review** 31/03/2021

**Target Risk Level** Green 6      **Risk Appetite** Risk Averse

**Objectives**

1. Promote increased levels of activity and develop targeted programmes to support improved health and wellbeing outcome
2. Effectively manage and sustain leisure facilities in line with COVID-19 restrictions and public health guidelines
3. Create a strong base to engage, empower and build the capacity of local communities, ensuring their views inform the
4. Promote sustainability both within the organization and externally, support improved Health and Wellbeing outcomes

**Key Controls Identified**

- Continuous review of policies and procedures.
- Council oversight and independent audits
- Ongoing submission of quarterly returns to external organisations
- Performance management arrangements in place
- Provision of advice on COVID-19 restrictions and BREXIT
- Relevant Enforcement Policies and procedures in place
- Response to service requests within the Environmental Health department

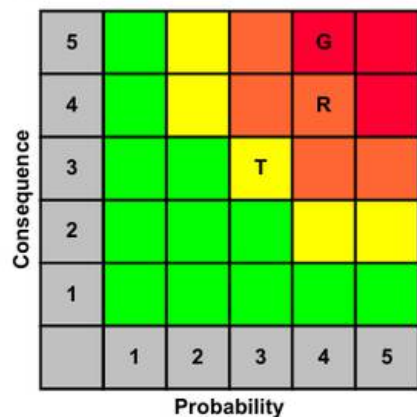
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**Action Plans**

	<b>Action Plan Description</b>	<b>Action Plan Type</b>	<b>Action Plan Owner</b>	<b>Action Plan Action Date</b>	<b>Comments</b>
Delivery of statutory functions	Continue to effectively deliver the statutory functions in relation to Food Safety, Health Safety at Work, Public Health and Housing, Environmental Protection and Consumer Protection.	Proposed	Eoin Devlin	30/06/2022	Ongoing provision of statutory Environmental Health Service to maintain public safety.
Review and implement new policies and operating procedures across the Sport and Leisure Department.	Review and implement new policies and operating procedures across the Sport and Leisure Department.	Proposed	Paul Tamati	30/06/2022	The review of the Sport and Leisure Department is underway.

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**Risk 04. Reduction in funding and/or income has an impact on service delivery**



**Risk Categories** Financial  
Impact on individuals (staff or public)  
Quality of Service  
Statutory Duty (Legal/Regulatory)

**Risk Description** Loss or reduction in funding or income has an impact on service delivery within Environmental Health, Community Engagement and Leisure Services.

**Potential Root Cause** Financial cutbacks from outside organisations  
Market forces/Government policy (BREXIT / COVID-19)  
Lack of compliance with third party requirements (PEACE IV / CANN) and failure to achieve targets within Letters of Offer  
Financial Assistance Scheme and ongoing compliance with Financial Assistance Policy  
Stakeholders do not participate in the range of programmes being delivered  
Future funding not in place for the Affordable Warmth Scheme  
Reduced funding for the PCSP in 2022-23  
Inadequate approach to develop income generation opportunities

**Consequence** Financial impact on the Council  
Reduced funding for specific positions and services may result in key programmes not being delivered  
Potential negative impact on the health and wellbeing of citizens and stakeholders  
Impact on staff morale  
Participants will not have opportunity to engage in physical activity and community based programmes

**Risk Owners** Eoin Devlin; Janine Hillen; Paul Tamati

**Gross/Inherent Risk** Red 20      **Last Review** 23/03/2022

**Residual Risk** Amber 16      **Next Review** 30/06/2022

**Target Risk Level** Yellow 9      **Risk Appetite** Risk Cautious

**Objectives**

- 2. Effectively manage and sustain leisure facilities in line with COVID-19 restrictions and public health guidelines
- 3. Create a strong base to engage, empower and build the capacity of local communities, ensuring their views inform the
- 4. Promote sustainability both within the organization and externally, support improved Health and Wellbeing outcomes

**Key Controls Identified**

- Annual targets agreed with funders and quarterly monitoring arrangements in place
- Fixed term and temporary contacts
- Funding in place for key projects and programmes, including Age Friendly, Warrenpoint Port and PCSP
- Income opportunities maximised
- Key plans and policies in place, eg Financial Assistance Policy, Good Relations Action Plan, DEA Action Plans
- Ongoing liaison and partnership working with funders
- Ongoing promotion of sport and community facilities and programmes
- Project Risk Registers for key projects in place

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**Action Plans**

	<b>Action Plan Description</b>	<b>Action Plan Type</b>	<b>Action Plan Owner</b>	<b>Action Plan Action Date</b>	<b>Comments</b>
Identify alternative future funding arrangements and ways of working	Identify alternative and additional future funding arrangements and ways of working	In Progress	Eoin Devlin Janine Hillen Paul Tamati	30/06/2022	The Council continues to work with partners to identify and consider a range of funding streams. Work is underway to identify potential funding streams to sustain the Affordable Warmth Scheme and the Council is considering options to make certain positions permanent, as opposed to externally funded, to ensure service continuity.
Review customer pricing arrangements at leisure facilities	Review customer pricing arrangements at leisure facilities to sustain customer loyalty and attract new customers.	Completed	Paul Tamati	29/04/2022	The pricing structures have been reviewed and a pay freeze for customers has been introduced. Discounts have been applied for memberships aligned with leisure facility closures.

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**Risk 05. Children or vulnerable adults abused at Council Premises / Services / Facilities**

Consequence	5	T	R	G		
	4					
	3					
	2					
	1					
		1	2	3	4	5

Probability

**Risk Categories** Business operational/reputational  
Impact on individuals (staff or public)  
Statutory Duty (Legal/Regulatory)

**Risk Description** Children or vulnerable adults abused at Council Premises / Services / Facilities

**Potential Root Cause** Council services / facilitates create opportunities for abusers  
Poor staff awareness of safeguarding  
Current CCTV throughout the Council does not meet appropriate standards

**Consequence** Leads to negative PR  
Potential litigation and disciplinary cases  
Possible loss of income

**Risk Owners** Janine Hillen; Michael Lipsett; Paul Tamati

**Gross/Inherent Risk** Red 20 **Last Review** 23/03/2022

**Residual Risk** Amber 15 **Next Review** 30/06/2022

**Target Risk Level** Yellow 10 **Risk Appetite** Risk Averse

**Objectives**

1. Promote increased levels of activity and develop targeted programmes to support improved health and wellbeing outcome
2. Effectively manage and sustain leisure facilities in line with COVID-19 restrictions and public health guidelines
3. Create a strong base to engage, empower and build the capacity of local communities, ensuring their views inform the

**Key Controls Identified**

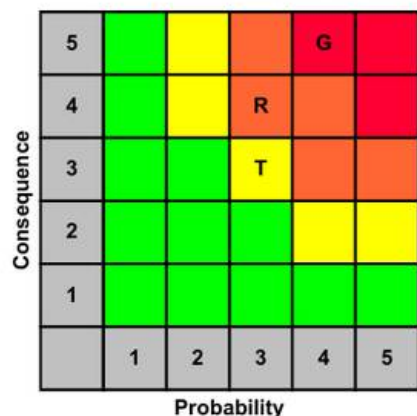
- AssessNI checks for staff
- CCTV in operation
- Child Protection Policy / Safeguarding Policy / Safeguarding training for staff
- Contact with PSNI and social services regarding information sharing
- Customer Exclusion Policy
- Leisure watch accreditation across all facilities
- Partnership working with community representatives and partners
- Signage regarding photography



**Action Plans**

	<b>Action Plan Description</b>	<b>Action Plan Type</b>	<b>Action Plan Owner</b>	<b>Action Plan Action Date</b>	<b>Comments</b>
Leisure Watch to be rolled out across all leisure facilities	Leisure Watch to be rolled out across all leisure facilities	In Progress	Paul Tamati	30/12/2022	Over the past two years, the Council has focused on undertaking risk assessments across all leisure facilities, which includes mitigating against the risk of COVID-19 through social distancing restrictions. Leisure Watch training has been rolled out to staff and will be delivered again in December 2022.
Safeguarding	Continued compliance with the Council's safeguarding responsibilities	In Progress	Janine Hillen Paul Tamati	30/06/2022	The Council continues to comply with safeguarding responsibilities. The implementation of the Volunteering Policy is underway, providing safeguarding guidance for both employees and volunteers.

**Risk 07. Reduced participation in Community Engagement Programmes may have a negative impact on community cohesion across the District.**



<b>Risk Categories</b>	Financial Impact on individuals (staff or public) Quality of Service Statutory Duty (Legal/Regulatory)	
<b>Risk Description</b>	Reduced participation in Community Engagement Programmes may have a negative impact on community cohesion across the District.	
<b>Potential Root Cause</b>	Stakeholders do not participate effectively in community planning structures Partners across the community, voluntary, statutory and business sectors have limited opportunities to influence key decisions and programmes of work at a local level Lack of awareness and understanding of programmes Concerns around COVID-19 will have a negative impact on community engagement in Council initiatives	
<b>Consequence</b>	Reduced funding in future years for key programmes of work that build capacity at a local level Reduced income across community facilities Failure to provide efficient and effective public services to meet the needs and aspirations of local communities Lack of social inclusion and community cohesion at a local level Hard to reach and vulnerable groups become increasingly marginalised and isolated within society Potential social unrest	
<b>Risk Owners</b>	Eoin Devlin; Janine Hillen; Michael Lipsett	
<b>Gross/Inherent Risk</b>	Red 20	<b>Last Review</b> 23/03/2022
<b>Residual Risk</b>	Amber 12	<b>Next Review</b> 30/06/2022
<b>Target Risk Level</b>	Yellow 9	<b>Risk Appetite</b> Risk Open

**Objectives**

3. Create a strong base to engage, empower and build the capacity of local communities, ensuring their views inform the

**Key Controls Identified**

- Age Friendly Alliance and Older Persons Forums
- Community Planning Partnership and Community Plan in place
- Key programmes of work in place around PEACE IV, Neighbourhood Renewal, PCSP Action Plan and Financial Assistance.
- Ongoing promotion of programmes through the Council's website and social media platforms
- Seven DEA Forums operational and DEA Action Plans being delivered

## Action Plans

	Action Plan Description	Action Plan Type	Action Plan Owner	Action Plan Action Date	Comments
Continue to engage BME communities through the Ethnic Minority Support Centre	The EMSC provides ongoing support, in multiple languages, on issues such as EU Registration, housing and education. The centre is based in Newry and Downpatrick.	In Progress	Janine Hillen	30/06/2022	Support through the EMSC is available by appointment and virtually. The centre records approximately 2,500 visits per annum and in 2020-21, 507 individuals directly benefited from the advice and support provided. An outreach clinic has also been opened in Dpwnpatrick and support is currently being offered to help the Ukraine.
Deliver DEA Action Plans, PEACE IV Plan, Neighbourhood Renewal Plans and PCSP and Good Relations Action Plans.	Engage stakeholders through established Forums and Partnerships to facilitate the delivery of key plans and strategies at a local level.	In Progress	Janine Hillen	30/06/2022	The implementation of key plans and strategies is ongoing. The Council is currently putting in place transition arrangements, to complete and finalise PEACE IV and commence PEACE PLUS in 2023. The Council is also working with the Department for Communities to review the Neighbourhood Renewal Programme which will be replaced by a new programme entitled 'People and Place'.
Facilitate the Community Co-ordination Hub	Continue to facilitate the Community Co-ordination Hub, which is aligned to existing community planning structures and meets on a monthly basis.	Proposed	Janine Hillen	30/06/2022	Continue to draw down post COVID-19 funding from the Department for Communities to deliver programmes which seek to promote usage of community facilities and strengthen community engagement.
Review the existing community planning structures.	Review the existing community planning structures.	Proposed	Janine Hillen	30/06/2022	Appoint consultants to carry out a review of the existing community planning structures. Explore opportunities to broaden the scope and remit of the Community Planning Partnership, to potentially incorporate the PEACE Plus and Neighbourhood Renewal programmes.

<b>Report to:</b>	Audit Committee
<b>Date of Meeting:</b>	28 April 2022
<b>Subject:</b>	Prompt Payment Statistics – Quarter 3
<b>Reporting Officer (Including Job Title):</b>	Gerard Byrne: Assistant Director of Finance (Acting)
<b>Contact Officer (Including Job Title):</b>	Gerard Byrne: Assistant Director of Finance (Acting)

Confirm how this Report should be treated by placing an x in either:-

<b>For decision</b>	<input type="checkbox"/>	<b>For noting only</b>	<input checked="" type="checkbox"/>
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<b>1.0</b>	<b>Purpose and Background</b>
1.1	<p>'Prompt payment' is the payment of valid supplier invoices by public bodies, as set in government targets.</p> <p>This dataset contains the:</p> <ul style="list-style-type: none"> <li>• Total amount paid by each Northern Ireland council to suppliers</li> <li>• Total number of invoices</li> <li>• Number of invoices paid within 10 working days</li> <li>• Number of invoices paid within 30 calendar days</li> <li>• Number of invoices paid outside 30 calendar days</li> </ul> <p>Adherence to the policy is not mandatory for councils, but in a letter issued to council Chief Executives in October 2013, the Department of Environment's Local Government Policy Division said that: 'District councils are encouraged to pay suppliers as promptly as possible and to endeavour to meet the 10 day prompt payment commitment made by Northern Ireland Executive in response to the current economic position'.</p>
<b>2.0</b>	<b>Key issues</b>
2.1	<p>The COVID-19 pandemic has had a clear impact on the payment of invoices at Newry, Mourne and Down District Council. In 2019/20 the Council paid 90% of invoices within the payment period of 30 calendar days, compared to 86% for 2020/21.</p> <p><b>Q1 2021-22:</b> The Council paid 5,085 invoices in total, 92% were paid within the 30-day period, with 8% of which were paid outside the payment period of 30 calendar days. The average number of days to pay suppliers decreased to 20 days.</p> <p><b>Q2 2021-22:</b> The Council paid 4,050 invoices in total, 88% were paid within the 30-day period, with 12% of which were paid outside the payment period of 30 calendar days. The average number of days to pay suppliers decreased to 23 days.</p>
2.2	<b>Quarter 3 - 1 October 2021 to 31 December 2021</b>

	<b>Paid within 10 days</b>	<b>Paid within 30 days</b>	<b>Paid outside payment period</b>	<b>Total invoices</b>
Number of Invoices	674	3,906	263	4,169
<b>Percentage</b>	<b>16%</b>	<b>94%</b>	<b>6%</b>	<b>100%</b>
Value	£10,500,834.62	£21,357,338.52	£1,619,407,19	£22,976,745.71
<b>Average number of days to pay suppliers: 19</b>			<b>Performance trend: ↑</b>	

**2.3 Quarter 4 statistics**

Quarter 4 statistics are to be forwarded to the Department by the 28<sup>th</sup> of April. Accounts payable are currently working with our new supplier to develop a report to provide the figures in the format the Department requires.

94% of invoices paid within 30 days in quarter 3 is Accounts Payable most successful quarter to date. However, we are expecting this figure to regress to some extent over the next two quarters until the new system becomes embedded within Council practices.

We are currently running two payment systems side by side. However, from 1 May, all invoices will be processed via the new Purchase to Pay system (except for stock orders).

**3.0 Recommendations**

31 To note:

- The Q3 2021-22 Prompt Payment statistics.

**4.0 Resource implications**

4.1 The Accounts Payable Team provide statistics to the Department for Communities on a quarterly basis.

**5.0 Due regard to equality of opportunity and regard to good relations (complete the relevant sections)**

5.1 ***General proposal with no clearly defined impact upon, or connection to, specific equality and good relations outcomes***

It is not anticipated the proposal will have an adverse impact upon equality of opportunity or good relations

5.2 ***Proposal relates to the introduction of a strategy, policy initiative or practice and / or sensitive or contentious decision***

Yes  No

If yes, please complete the following:

	<p>The policy (strategy, policy initiative or practice and / or decision) has been equality screened <input type="checkbox"/></p> <p>The policy (strategy, policy initiative or practice and / or decision) will be subject to equality screening prior to implementation <input type="checkbox"/></p>
5.3	<p><b><i>Proposal initiating consultation</i></b></p> <p>Consultation will seek the views of those directly affected by the proposal, address barriers for particular Section 75 equality categories to participate and allow adequate time for groups to consult amongst themselves <input type="checkbox"/></p> <p>Consultation period will be 12 weeks <input type="checkbox"/></p> <p>Consultation period will be less than 12 weeks (rationale to be provided) <input type="checkbox"/></p> <p><i>Rationale:</i></p> <p>Consultation not required.</p>
6.0	<p><b>Due regard to Rural Needs (please tick all that apply)</b></p>
6.1	<p>Proposal relates to developing, adopting, implementing or revising a policy / strategy / plan / designing and/or delivering a public service</p> <p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p> <p>If yes, please complete the following:</p> <p>Rural Needs Impact Assessment completed <input type="checkbox"/></p>
7.0	<p><b>Appendices</b></p> <p>None</p>
8.0	<p><b>Background Documents</b></p> <p>None</p>



<b>Report to:</b>	Audit Committee
<b>Date of Meeting:</b>	28 April 2022
<b>Subject:</b>	Draft Performance Improvement Objectives 2022-23
<b>Reporting Officer (Including Job Title):</b>	Dorinnia Carville – Director of Corporate Services
<b>Contact Officer (Including Job Title):</b>	Kate Bingham – Head of Performance and Improvement

Confirm how this Report should be treated by placing an x in either:-

	For decision	For noting only	X
<b>1.0</b>	<b>Purpose and Background</b>		
1.1	Part 12 of the Local Government (NI) Act 2014 sets out a General Duty of Improvement for local government, whereby all District Councils are required to put in place arrangements to secure continuous improvement in the exercise of their functions. Each financial year, Councils are required to set performance improvement objectives for the services they provide. These objectives can span more than one year, with intermediary milestones, which must be reviewed annually. The performance improvement objectives form part of the annual Performance Audit and Assessment which is carried out by the Northern Ireland Audit Office.		
<b>2.0</b>	<b>Key issues</b>		
	<b>Draft performance improvement objectives 2022-23</b>		
2.1	<p>It is proposed that the Council carries forward the five performance improvement objectives 2021-22, which were developed within the context of the Corporate Plan 2021-23 and in response to the impact of the COVID-19 pandemic. These objectives are outlined in <b>Appendix 1</b>, and the 'supporting actions', 'measures of success' and targets have been updated where appropriate and relevant.</p> <ol style="list-style-type: none"> <li>1. We will encourage local people to lead healthy and active lives by improving the quality of our parks and open spaces</li> <li>2. We will grow the economy by supporting local businesses and creating new jobs</li> <li>3. We will improve the cleanliness of our District by addressing littering, fly tipping and dog fouling incidents</li> <li>4. We will build the capacity of local communities through the Financial Assistance Scheme</li> <li>5. We will improve the processing times of planning applications and enforcement cases by implementing the Planning Service Improvement Programme</li> </ol> <p>As part of the Performance Improvement Audit and Assessment 2021-22, the Northern Ireland Audit Office confirmed that the 'Council has demonstrated that the 2021-22 improvement objectives are legitimate, clear, robust, measurable and demonstrable. The improvement objectives cover a wide range of Council services and they relate to both improving Council functions and improving services for communities and citizens'.</p>		

	<p>On 16 March 2022, the Strategy, Policy and Resources Committee approved the draft performance improvement objectives 2022-23 which are currently out to an eight week consultation and engagement process.</p>
	<p><b>Legislative context</b></p>
2.2	<p>The guidance issued by the Department for Communities states that performance improvement is more than just quantifiable gains in service output or efficiency, or in the internal effectiveness of an organisation. Improvement should focus on activity that enhances the sustainable quality of life and environment for communities.</p> <p>Councils should therefore frame improvement objectives so as to bring about improvement in at least one of the following specified aspects of improvement:</p> <ul style="list-style-type: none"> <li>• Strategic effectiveness</li> <li>• Service quality</li> <li>• Service availability</li> <li>• Fairness</li> <li>• Sustainability</li> <li>• Efficiency</li> <li>• Innovation</li> </ul>
2.3	<p>Councils should also determine their objectives for improvement based on critical self analysis, taking account of a wide range of evidence. All improvement objectives should relate to improving the functions and services to citizens, and be:</p> <ul style="list-style-type: none"> <li>• Legitimate</li> <li>• Clear</li> <li>• Robust</li> <li>• Deliverable</li> <li>• Demonstrable</li> </ul>
2.4	<p>Councils are required to consult and engage a range of stakeholders, including citizens, businesses and partner organisations on the performance improvement objectives. The proposed eight week consultation programme will run from 21 March-16 May 2022 and will consist of the following elements:</p> <ul style="list-style-type: none"> <li>• Speak NMD - This dedicated online space is facilitated through the Newry, Mourne and Down Community Planning Partnership and enables residents to participate in local consultation and engagement activities. To date, approximately 1,500 residents have registered to use this engagement platform and have their say on the issues and decisions which have an impact on their local area. Through Speak NMD, an electronic survey and idea's board in relation to the draft performance improvement objectives 2022-23 will be published electronically. The overall consultation and engagement process will be promoted further through the Council's website and social media channels, and circulated to key internal and external stakeholders.</li> <li>• Public advertisements in local newspapers</li> <li>• Engagement with DEA Forums and Section 75 groups, through Youth Councils and Older People's Forums</li> </ul> <p>Consultation feedback will inform the final objectives which will form part of the Performance Improvement Plan 2022-23. An overview of the overall approach to develop</p>

	and publish the Performance Improvement Plan by 30 June 2022, in line with statutory requirements, is outlined in <b>Appendix 2</b> .
<b>3.0</b>	<b>Recommendations</b>
3.1	<p>To note:</p> <ul style="list-style-type: none"> <li>The five draft performance improvement objectives 2022-23, as outlined in Appendix 1</li> <li>The proposed approach and timetable for publishing the Performance Improvement Plan 2022-23, as outlined in Appendix 2, including approval to commence the consultation and engagement process on 21 March 2022</li> </ul>
<b>4.0</b>	<b>Resource implications</b>
4.1	There are no financial resource implications within this report.
<b>5.0</b>	<b>Due regard to equality of opportunity and regard to good relations (complete the relevant sections)</b>
5.1	<p><b><i>General proposal with no clearly defined impact upon, or connection to, specific equality and good relations outcomes</i></b></p> <p>It is not anticipated the proposal will have an adverse impact upon equality of opportunity or good relations <input checked="" type="checkbox"/></p>
5.2	<p><b><i>Proposal relates to the introduction of a strategy, policy initiative or practice and / or sensitive or contentious decision</i></b></p> <p>Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, please complete the following:</p> <p>The policy (strategy, policy initiative or practice and / or decision) has been equality screened <input checked="" type="checkbox"/></p> <p>The policy (strategy, policy initiative or practice and / or decision) will be subject to equality screening prior to implementation <input type="checkbox"/></p>
5.3	<p><b><i>Proposal initiating consultation</i></b></p> <p>Consultation will seek the views of those directly affected by the proposal, address barriers for particular Section 75 equality categories to participate and allow adequate time for groups to consult amongst themselves <input type="checkbox"/></p> <p>Consultation period will be 12 weeks <input type="checkbox"/></p> <p>Consultation period will be less than 12 weeks (rationale to be provided) <input checked="" type="checkbox"/></p> <p><i>Rationale:</i></p>

	<p>The draft performance improvement objectives 2022-23 have been equality screened and it is recommended that they are not subject to an equality impact assessment (with no mitigating measures required). In relation to the proposed eight-week consultation process, whilst the Council's Equality Scheme commits to holding consultation exercises relevant to the statutory duties for a minimum of twelve weeks, it also sets out exceptional circumstances where the twelve weeks may not apply. In this instance, it is proposed that the Council implements an eight-week consultation process in order to ensure the deadline for publishing the Performance Improvement Plan 2022-23 by 30 June 2022 is met.</p> <p>It should also be noted that the performance improvement objectives 2022-23 have been developed based on a robust and reliable quantitative and qualitative evidence base, including the COVID-19 consultation in 2020. They are directly aligned to the strategic objectives within the Corporate Plan 2021-23 and outcomes within the Community Plan.</p>
<b>6.0</b>	<b>Due regard to Rural Needs (please tick all that apply)</b>
6.1	<p>Proposal relates to developing, adopting, implementing or revising a policy / strategy / plan / designing and/or delivering a public service</p> <p>Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p> <p>If yes, please complete the following:</p> <p>Rural Needs Impact Assessment completed <input checked="" type="checkbox"/></p>
<b>7.0</b>	<b>Appendices</b>
	<ul style="list-style-type: none"> <li>• <b>Appendix 1</b> – Draft Performance Improvement Objectives 2022-23</li> <li>• <b>Appendix 2</b> – Approach and timetable for publishing the Performance Improvement Plan 2022-23</li> </ul>
<b>8.0</b>	<b>Background Documents</b>
	Performance Improvement Plan 2021-22

# Newry, Mourne and Down District Council

Consultation on the  
draft Performance Improvement  
Objectives 2022-23





## Our Duty of Improvement

Part 12 of The Local Government Act (NI) 2014 sets out a General Duty of Improvement for local government, whereby all District Councils are required to put in place arrangements to secure continuous improvement in the exercise of their functions.

The Council is required to set performance improvement objectives for the services it provides on an annual basis, and to have in place arrangements to achieve these objectives. Each performance improvement objective must bring about improvement in at least one of the following aspects of improvement:

- Strategic effectiveness
- Service quality
- Service availability
- Fairness
- Sustainability
- Efficiency
- Innovation

Improvement for Councils should focus on enhancing the sustainable quality of life for ratepayers and local communities, and each objective should be clearly linked to the community planning outcomes for the District.

The draft performance improvement objectives 2022-23 for Newry, Mourne and Down District Council have been carried forward from 2021-22. They have been developed based on extensive consultation and engagement with key stakeholders and are aligned to the following regional and local plans which influence the overall direction of travel of the organisation.

- Draft Programme for Government
- Newry, Mourne and Down Community Plan
- Newry, Mourne and Down District Council Corporate Plan 2021-23
- Thematic Plans and Strategies, including the Regeneration and Economic Development Strategy and Play Strategy

Once agreed, the performance improvement objectives 2022-23 will be published in the annual Performance Improvement Plan. This plan will provide more detail about what we want to improve, how we will deliver improvements, how our performance will be measured and what outcomes stakeholders will experience as a result of our improvement activity.









## Our draft Performance Improvement Objectives 2022-23

1. **We will encourage local people to lead healthy and active lives by improving the quality of our parks and open spaces**
2. **We will grow the economy by supporting local businesses and creating new jobs**
3. **We will improve the cleanliness of our District by addressing littering, fly tipping and dog fouling incidents**
4. **We will build the capacity of local communities through the Financial Assistance Scheme**
5. **We will improve the processing times of planning applications and enforcement cases by implementing the Planning Service Improvement Programme**

These objectives have been selected based on the following criteria:

- Does the objective support the delivery of the Programme for Government, Community Plan and Corporate Plan 2021-23?
- Do the objectives demonstrate improvement in at least one of the seven aspects of improvement? (strategic effectiveness, service delivery, service availability, fairness, sustainability, efficiency, innovation)
- Are the objectives SMART? (specific, measurable, achievable, realistic, timebound)
- Are the resources in place to deliver the objective? (financial, human, leadership, skills, knowledge, governance, risk)
- Are the objectives based on robust and reliable evidence and will they make a visible difference in the local area?
- How well are we performing?

### Legend:

Status		Trend	
	Target or objective achieved / on track to be achieved		Performance has improved
	Target or objective partially achieved / likely to be achieved / subject to delay		Performance is similar to the previous year
	Target or objective not achieved / unlikely to be achieved		Performance has declined

\*It should be noted that the performance information contained in the 'Looking Back' section of this report may be subject to change when the results are verified and reported through the Assessment of Performance 2021-22 in September 2022.

## Community Plan for Newry, Mourne and Down

The Community Plan has been developed and agreed by the Community Planning Partnership Board. Entitled 'Living Well Together', the Community Plan provides a framework for collaborative working to deliver positive change for our communities, and sets out the following long term overarching vision for the District:

**'Newry, Mourne and Down is a place with strong, safe and vibrant communities where everyone has a good quality of life and access to opportunities, choices and high quality services which are sustainable, accessible and meet people's needs'.**

Through the Community Plan, the following five positive outcomes have been identified:

### Our Outcomes

These are the positive outcomes we all wish to see in our community.











## Newry, Mourne and Down District Council Corporate Plan 2021-23

The Corporate Plan 2021-23 sets out the strategic direction of the organisation and ties together a number of plans and strategies that will enable the Council to achieve the following mission and eight strategic objectives. The Corporate Plan will also contribute the achievement of the overarching vision and outcomes within the Community Plan.

### Council Mission Statement

**'To support and advocate for a welcoming District which is progressive, healthy and sustainable, providing better economic, environmental and social outcomes for all'.**

### Council Strategic Objectives

 <p><b>Invest in and support new and growing businesses, job creation and employment skills</b></p> <p>We will facilitate investment by new and growing businesses while contributing to the further development of workforce skills to retain existing and attract new industries.</p>	 <p><b>Continue to improve the health and wellbeing of everyone in the district and reduce health inequalities</b></p> <p>We will help to reduce health inequalities and improve the quality of life for all by contributing fully to programmes, services, facilities and amenities.</p>
 <p><b>Enhance, protect and promote our environment</b></p> <p>We will contribute to tackling climate breakdown and reducing harmful impacts on the environment while enabling residents and visitors to enjoy our rich natural and built heritage.</p>	 <p><b>Support sustainable forms of tourism which value our environment and cultural heritage</b></p> <p>We will support and advocate for increased investment and development in tourism which promotes our unique assets and increases visitor satisfaction and spend.</p>
 <p><b>Enable and support people to engage in inclusive and diverse activities in their communities</b></p>	 <p><b>Promote the revitalisation of our city, towns, villages and rural communities</b></p>

<p>We will encourage people to play an active part in civic life in all its forms and develop the capacity of communities, particularly those in greatest need, to attract the right support to address needs and sustain valued projects and facilities</p>	<p>We will work with residents, businesses and our partners in regeneration to further develop desirable places to live, work, invest in and visit across the District.</p>
<p style="text-align: center;"></p> <p style="text-align: center;"><b>Provide accessible, high-quality and integrated services through continuous improvement</b></p> <p>We will build a high performing Council, fit for the future, that delivers efficient and effective services for the benefit of all</p>	<p style="text-align: center;"></p> <p style="text-align: center;"><b>Advocate with others for the benefit of all people of the District</b></p> <p>We will lobby and campaign with government and others to attract investment, develop modern infrastructure across the District, address needs and improve the quality of life for all.</p>

## Your voice, your choice!

Newry, Mourne and Down District Council is inviting you to put forward your views on the draft performance improvement objectives 2022-23. We are keen to ensure that our performance improvement objectives have a positive impact on the quality of life of all stakeholders across the District, including citizens, local businesses, partner organisations in the statutory, voluntary and community sectors, employees and Elected Members.

A questionnaire has been included on page 19 of this document for all stakeholders to complete and return to:

Email: [performance@nmandd.org](mailto:performance@nmandd.org)  
 Address: Performance and Improvement  
 Newry, Mourne and Down District Council  
 O'Hagan House, Monaghan Row  
 Newry, Co Down  
 N. Ireland, BT35 8DJ

The questionnaire is also available on the Council's website and social media channels, as well as the Speak NMD website, through the following links:













[www.newrymouredown.org/performance](http://www.newrymouredown.org/performance)  
[www.livingwelltogethernmd.org](http://www.livingwelltogethernmd.org)

Alternatively, if you prefer to provide comments in person, please contact us on:  
 Tel: 0330 137 4000  
 Email: [performance@nmandd.org](mailto:performance@nmandd.org)

**The closing date for responses is: 16 May 2022.**



## Performance Improvement Objective 1













We will encourage local people to lead healthy and active lives by improving the quality of our parks and open spaces									
<b>Why this matters</b>	<p>You told us that:</p> <ul style="list-style-type: none"> <li>• The impact of COVID-19 on mental health and well-being is one of your top concerns and the Council should provide well maintained parks and green spaces</li> <li>• ‘Improving people’s health and wellbeing (and reducing health inequalities)’ is your second highest priority for improvement</li> <li>• Over the past two years, investment in local community projects, such as parks, has become more important to you</li> <li>• 100% of respondents to our 2021-22 survey agreed with this objective</li> </ul> <p>The COVID-19 pandemic has reinforced the strong correlation between healthy lifestyles and outdoor recreation. The Council’s greenways and blueways have become increasingly popular, providing opportunities for people of all ages and abilities to lead healthy and active lives whilst enjoying the natural beauty of our District. During 2021-22, the Council carried out Visitor Satisfaction Surveys for Forest Parks and Beaches and the preliminary findings suggest good levels of satisfaction with Kilbroney Park, Slieve Gullion Forest Park and Delamont Country Park.</p> <p>However, high visitor numbers can put pressure on parks and open spaces, particularly in relation to car park congestion, littering, irresponsible behaviour and general wear and tear on the environment. Promoting good visitor management will enhance the quality of the Council’s parks and open spaces, ensuring they are welcoming, safe and well maintained places to encourage local people to be active and healthy.</p>								
<b>Looking Back:</b> What we did between April-September 2021	<table border="1"> <tr> <td style="text-align: center;"></td> <td>1.6m visits recorded at Kilbroney Park, Slieve Gullion Forest Park and Warrenpoint Municipal Park</td> </tr> <tr> <td style="text-align: center;"></td> <td>3 ‘blue flag’ beaches and 5 ‘green flag’ parks</td> </tr> <tr> <td style="text-align: center;"></td> <td>102,177 visits recorded at 8 community trails</td> </tr> <tr> <td style="text-align: center;"></td> <td>The Forest Parks team won the 2020-21 Green Flag ‘Team of the Year’ award</td> </tr> </table>		1.6m visits recorded at Kilbroney Park, Slieve Gullion Forest Park and Warrenpoint Municipal Park		3 ‘blue flag’ beaches and 5 ‘green flag’ parks		102,177 visits recorded at 8 community trails		The Forest Parks team won the 2020-21 Green Flag ‘Team of the Year’ award
	1.6m visits recorded at Kilbroney Park, Slieve Gullion Forest Park and Warrenpoint Municipal Park								
	3 ‘blue flag’ beaches and 5 ‘green flag’ parks								
	102,177 visits recorded at 8 community trails								
	The Forest Parks team won the 2020-21 Green Flag ‘Team of the Year’ award								
<b>Looking Forward:</b> What we will do in 2022-23	<ul style="list-style-type: none"> <li>• Continue to develop the district’s bid to achieve UNESCO Global Geopark designation</li> <li>• Invest in new facilities at Kilbroney Park and Rostrevor Forest, Tyrella beach and Delamont Country Park</li> <li>• Explore options to install visitor counters at Delamont Country Park</li> <li>• Retain five green flag and three green flag heritage accreditations for the Council’s parks</li> <li>• Retain blue flag accreditation for Cranfield, Murlough and Tyrella beaches</li> </ul>								

	<ul style="list-style-type: none"> <li>• Build four new play parks and upgrade two existing play parks</li> <li>• Identify new community trails to develop in future years</li> <li>• Promote good visitor management across all Council parks and open spaces</li> </ul>					
How we will measure success	2018-19 Actual	2019-20 Actual	2020-21 Actual	Status Trend	Q1/Q2 2021-22 Actual	2022-23 Target
Number of recorded visits at:						
Kilbroney Park	453,704	454,848	584,148	▲	982,812	No targets
Slieve Gullion Forest Park	253,376	366,444	183,712	▼	469,940	
Carlingford Lough Greenway	40,219	73,138	47,005	▼	-	
Delamont Country Park	New performance measure					
Warrenpoint Municipal Park	-	205,126	119,600	▼	139,845	
Community trails (existing)	46,044	56,348	97,281	▲	102,177	110,000
Number of parks with green flag accreditation	3	3	4	▲	5	5
Number of parks with green flag heritage accreditation	-	-	1	▲	3	3
Number of beaches with blue flag accreditation	3	3	2	▶	3	3
Number of new/upgraded play parks	17	9	0	▼	2	6
<b>What you will see by March 2023</b>	<ul style="list-style-type: none"> <li>• Improvements to the Council’s parks, beaches and open spaces including effective visitor management arrangements</li> <li>• UNESCO Global Geopark status achieved for Mourne Gullion Strangford</li> <li>• Five green flag awards and three green flag heritage awards for the Council’s parks</li> <li>• Three blue flag awards for the Council’s beaches</li> <li>• Four new play parks and two upgraded play parks</li> </ul>					
<b>Alignment</b>						
Corporate Plan 2021-23	<ul style="list-style-type: none"> <li>• Continue to improve the health and wellbeing of everyone in the District and reduce health inequalities</li> <li>• Support sustainable forms of tourism which value our environment and cultural heritage</li> </ul>					
Community Plan	<ul style="list-style-type: none"> <li>• All people in Newry, Mourne and Down enjoy good health and wellbeing</li> <li>• All people in Newry, Mourne and Down benefit from prosperous communities</li> </ul>					
Programme for Government	<ul style="list-style-type: none"> <li>• We all enjoy long, healthy, active lives</li> <li>• People want to live, work and visit here</li> </ul>					
7 aspects of improvement	Strategic effectiveness	Service quality	Fairness	Innovation		
<b>Responsible Officer</b>	<b>Director: Enterprise, Regeneration and Tourism</b>					

\*Whilst blue flag accreditation was awarded for the Council’s three beaches in 2020-21, lifeguard services are not being offered at Murlough beach due to COVID-19 restrictions.



## Performance Improvement Objective 2

<b>We will grow the economy by supporting local businesses and creating new jobs</b>									
<b>Why this matters</b>	<p>You told us that:</p> <ul style="list-style-type: none"> <li>• The impact of COVID-19 on businesses and employment is your top concern, and the Council should support local businesses, especially those which have been impacted most by restrictions</li> <li>• 'Supporting local businesses, attracting investment and jobs' is your top priority for improvement</li> <li>• Investment to grow the economy, create jobs and attract tourists is the most important form of investment</li> <li>• 93% of respondents to our 2021-22 survey agreed with this objective</li> </ul> <p>Whilst the global economic impact of COVID-19 is unparalleled, early indications suggest that the local economy is recovering. Over the past year, Newry, Mourne and Down has recorded increases in the number of VAT/PAYE registered businesses, employee jobs and the birth rate of new businesses. When compared to 2020, the claimant count for unemployment benefit has also reduced but remains above pre-pandemic levels.</p> <p>Continuing to support the economic recovery of Newry, Mourne and Down remains a key priority for the Council. During 2021-22, the Council awarded approximately £1m to assist local businesses in navigating the impact of pandemic. The Council also continued to deliver a range of economic development programmes to help new and established businesses to innovate, grow and expand. However, whilst much has been achieved, there is still more to do to rebuild and revitalise the local economy.</p>								
<b>Looking Back:</b> What we did between April-September 2021	<table border="1"> <tr> <td style="text-align: center;"></td> <td>114 new business starts created and 114 new jobs promoted through business start activity</td> </tr> <tr> <td style="text-align: center;"></td> <td>6 new social enterprise start-ups supported and 8 new social enterprise jobs created</td> </tr> <tr> <td style="text-align: center;"></td> <td>213 businesses supported and 1,718 mentoring hours delivered through 'NMD Growth', 'Digital Growth', 'Tender for Growth' and 'Sales and Trade'</td> </tr> <tr> <td style="text-align: center;"></td> <td>'Make it Local' campaign delivered to stimulate footfall and the re-opening of businesses across the District</td> </tr> </table>		114 new business starts created and 114 new jobs promoted through business start activity		6 new social enterprise start-ups supported and 8 new social enterprise jobs created		213 businesses supported and 1,718 mentoring hours delivered through 'NMD Growth', 'Digital Growth', 'Tender for Growth' and 'Sales and Trade'		'Make it Local' campaign delivered to stimulate footfall and the re-opening of businesses across the District
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	213 businesses supported and 1,718 mentoring hours delivered through 'NMD Growth', 'Digital Growth', 'Tender for Growth' and 'Sales and Trade'								
	'Make it Local' campaign delivered to stimulate footfall and the re-opening of businesses across the District								
<b>Looking Forward:</b> What we will do in 2022-23	<ul style="list-style-type: none"> <li>• Roll-out the NMD 'Make it Local' and 'A Place to Work' campaigns to safely stimulate footfall and revitalise our local economy</li> <li>• Support the creation of new business starts and promote new jobs through the NI 'Go for It' programme</li> <li>• Invest in the social economy through the Social Enterprise programme</li> <li>• Support local businesses and create new jobs through 'NMD Growth', 'Digital Growth', 'Tender for Growth', 'Sales and Trade' and 'Digital Transformation'</li> </ul>								






	<ul style="list-style-type: none"> <li>Support the creation of new jobs and businesses in coastal areas through SEAFLAG 2</li> </ul>					
How we will measure success	2018-19 Actual	2019-20 Actual	2020-21 Actual	Status Trend	Q1/Q2 2021-22 Actual	2022-23 Target
Number of business plans approved through NI 'Go For It'*	300	298	266	▶	190	312
Number of new business starts created through NI 'Go For It'	204	203	181	▶	114	187
Number of new jobs promoted through NI 'Go For It'	184	183	164	😊 ▶	114	>155
Number of social enterprise start-ups supported	9	10	12	▶	6	12
Number of social enterprise jobs created	15	12	14	▶	8	12
Number of businesses supported through 'NMD Growth'	New programme	198	198	▶	102	120
Number of jobs created through 'NMD Growth'		11	24	▶	-	20
Number of businesses supported through 'Digital Growth'	New programmes		90	-	39	70
Number of jobs created through 'Digital Growth'			5.5	-	-	10
Number of businesses supported through 'Tender for Growth'			39	-	35	60
Number of jobs created through 'Tender for Growth'			6	-	-	10
Number of businesses supported through 'Sales and Trade'			-	-	37	45
Number of jobs created through 'Sales and Trade'			-	-	-	5
Number of businesses supported through 'Digital Transformation'	New performance measure					10
Number of new jobs created in coastal areas (SEAFLAG 2)*	New programme	7	▶	9	Mar 2023: 5.5	
Number of new businesses created in coastal areas (SEAFLAG 2)		1	▶	2	Mar 2023: 2	
<b>What you will see by March 2023</b>	<ul style="list-style-type: none"> <li>312 entrepreneurs supported with an approved Business Plan and &gt;155 new jobs promoted through the NI 'Go For It' programme</li> <li>12 social enterprise start-ups supported and 12 social enterprise jobs created</li> <li>305 businesses supported and 45 jobs created through the economic development programmes</li> <li>510 mentoring days delivered through 'NMD Growth', 'Digital Growth' and 'Tender for Growth'</li> <li>The social economy and fishing dependent communities benefit from inward investment and growth</li> <li>More support for new and established local businesses and more employment opportunities across the District</li> <li>The economic recovery of Newry, Mourne and Down is underway, as the District becomes more economically active and prosperous</li> </ul>					
<b>Alignment</b>						



Corporate Plan 2021-23	<ul style="list-style-type: none"> <li>Invest in and support new and growing businesses, job creation and employment skills</li> </ul>			
Community Plan	<ul style="list-style-type: none"> <li>All people from Newry, Mourne and Down benefit from prosperous communities</li> </ul>			
Programme for Government	<ul style="list-style-type: none"> <li>Everyone can reach their potential</li> <li>Our economy is globally competitive, regionally balanced and carbon neutral</li> <li>People want to live, work and visit here</li> </ul>			
7 aspects of improvement	Strategic effectiveness	Service quality	Service availability	Innovation
<b>Responsible Officer</b>	<b>Director: Enterprise, Regeneration and Tourism</b>			

\*SEAFLAG 2 includes year on year cumulative results for both performance indicators.

### Performance Improvement Objective 3

<b>We will improve the cleanliness of our District by addressing littering, fly tipping and dog fouling incidents</b>	
<b>Why this matters</b>	<p>You told us that:</p> <ul style="list-style-type: none"> <li>• Dog mess and dog fouling is your top perceived problem</li> <li>• Rubbish or litter lying around is a problem for many of you, particularly those living in urban areas</li> <li>• The Council should continue to keep the local environment clean, ensure dog fouling is kept to a minimum and reduce the perceived increase in littering</li> <li>• 98% of respondents to our 2021-22 survey agreed with this objective</li> </ul> <p>Between 2019-20 and 2020-21, the LEAMS* score for the District remained at 64, which falls just below the current regional average of 65. Issues around street cleanliness continue to escalate largely as a result of the increased number of illicit dumping, littering and dog fouling incidents reported to the Council and the prioritisation of the refuse collection service throughout the COVID-19 pandemic.</p> <p>In order to improve the overall cleanliness of the District, the Council is currently reviewing cleansing operations to design a more effective model of service provision. The Council also remains committed to collaborating with partner organisations and local communities to promote responsible dog ownership, address issues around littering and illicit dumping and generate local pride in having a cleaner, greener District for everyone to enjoy.</p>
<b>Looking Back:</b> What we did between April-September 2021	 Issued 74 fixed penalty notices, 56 of which were paid
	 Supported 66 community clean-ups
	 17 environmental projects funded through the NI 'Live Here Love Here' Scheme
	 Anti-littering and responsible dog ownership campaigns rolled out
	 Increase in the rate of recycling, to 51.7%
<b>Looking Forward:</b> What we will do in 2021-22	<p>Address issues around littering, illicit dumping and dog fouling by:</p> <ul style="list-style-type: none"> <li>• Implementing the Enforcement Improvement Plan</li> <li>• Promoting responsible dog ownership through publicity and social media campaigns</li> <li>• Working with Louth County Council to raise awareness of the impact of littering and illicit dumping along the border area</li> <li>• Encouraging residents to bring properly sorted surplus recyclable waste to our Household Recycling Centres</li> <li>• Supporting local community clean ups</li> <li>• Launching the mobile 'apps' to enable Officers and residents to record and report incidents of environmental crime</li> </ul> <p>Work in partnership with Keep Northern Ireland Beautiful to:</p>

	<ul style="list-style-type: none"> <li>• Commission surveys to monitor street cleanliness and identify emerging issues and hotspots</li> <li>• Promote the 'Live Here Love Here' campaigns</li> <li>• Encourage community groups to 'Adopt a Spot'</li> <li>• Highlight the impact of littering on the marine environment</li> </ul>					
How we will measure success	2018-19 Actual	2019-20 Actual	2020-21 Actual	Status Trend	2021-22 Q1/Q2 Actual	2022-23 Target
LEAMS score (Keep NI Beautiful Cleanliness Index)	72	64	64		-	65
Number of fixed penalty notices issued	54	83	52		74	120
Number of fixed penalty notices paid	50	72	24		56	96
Number of community clean ups supported	100	94	33		66	100
Number of 'Live Here Love Here' environmental projects	27	34	24		17	No target
The percentage of household waste collected by District Councils that is sent for recycling	51.4%	53.7%	52.6%	 	51.1%	50% by 2020
The amount of biodegradable Local Authority Collected Municipal Waste that is landfilled	1,846t	2,131t	2,494t	 	1,275t	<20,954 tonnes (2019-20)
The amount of Local Authority Collected Municipal Waste arisings	82,136t	84,610t	86,980t		46,909t	No target
<b>What you will see by March 2023</b>	<ul style="list-style-type: none"> <li>• Increase in the number of fixed penalty notices issued and paid</li> <li>• Responsible dog ownership and reduced levels of dog fouling, littering and illicit dumping</li> <li>• Improved opportunities to report littering, dog fouling and illicit dumping</li> <li>• Opportunities to engage in community clean ups and participate in the 'Live Here Love Here' campaign and 'Adopt a Spot' scheme</li> <li>• Landfill and recycling targets are achieved</li> <li>• A cleaner, greener District, with improved civic and community pride</li> </ul>					
<b>Alignment</b>						
Corporate Plan 2021-23	<ul style="list-style-type: none"> <li>• Enhance, protect and promote our environment</li> </ul>					
Community Plan	<ul style="list-style-type: none"> <li>• All people from Newry, Mourne and Down benefit from a clean, quality and sustainable environment</li> </ul>					
Programme for Government	<ul style="list-style-type: none"> <li>• We live and work sustainably - protecting the environment</li> </ul>					
7 aspects of improvement	Strategic effectiveness	Service availability	Innovation	Sustainability		
<b>Responsible Officer</b>	<b>Director: Neighbourhood Services</b>					













\*Local Environmental Auditing Management System is carried out by Keep Northern Ireland Beautiful.

\*\*The Q1/Q2 2021-22 data for the statutory waste management performance indicators remains provisional and will be finalised when the year-end data is validated and published by DAERA.

\*\*\*The 2019-20 NI Landfill Allowance Scheme (NILAS) target has been included as the Council awaits more up to date targets from DAERA.



## Performance Improvement Objective 4

<b>We will build the capacity of local communities through the Financial Assistance Scheme</b>									
<b>Why this matters</b>	<p>You told us that:</p> <ul style="list-style-type: none"> <li>• The impact of COVID-19 on 'mental health and well-being' and 'vulnerable, isolated and lonely' residents are amongst your top concerns, and the Council should support community groups and charities</li> <li>• 'Improving community relations and safety, reducing crime and anti-social behaviour' is the third highest priority for improvement for residents</li> <li>• 95% of respondents to our 2021-22 survey agreed with this objective</li> </ul> <p>The Council remains committed to building the capacity of local communities, enabling them to have a voice in shaping the future of their District. Through the Financial Assistance Scheme, local communities are empowered to address local issues using public funds. Since 2015-16, the Council has awarded almost £8m to 2,606 applications across a range of thematic areas including community engagement, summer schemes and festivals.</p> <p>However, the overall success rate of applications to the Financial Assistance Scheme reduced from 72% in 2020-21 to 69% in 2021-22. This can largely be attributed to specific themes recording lower success rates, including 'Events and Festivals', 'Summer Schemes', 'Service Level Agreements', 'Let's Grow' and 'Major/Minor Capital Projects'. These themes will benefit from targeted intervention and additional support through the Council's training and capacity building sessions.</p> <p>In addition, the number of projects funded during 2022-23 may reduce as applications are now scored and ranked, in line with the new Financial Assistance Policy, and demand for funding can exceed the level of funding available for some themes.</p>								
<b>Looking Back:</b> What we did in 2021-22	<table border="1"> <tr> <td style="text-align: center;"></td> <td>£1.4k awarded to 364 projects across 18 thematic areas</td> </tr> <tr> <td style="text-align: center;"></td> <td>£936k awarded towards major and minor capital projects</td> </tr> <tr> <td style="text-align: center;"></td> <td>£472k awarded towards four service level agreements with local voluntary organisations</td> </tr> <tr> <td style="text-align: center;"></td> <td>69% of applications to the financial assistance schemes were successful</td> </tr> </table>		£1.4k awarded to 364 projects across 18 thematic areas		£936k awarded towards major and minor capital projects		£472k awarded towards four service level agreements with local voluntary organisations		69% of applications to the financial assistance schemes were successful
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	£936k awarded towards major and minor capital projects								
	£472k awarded towards four service level agreements with local voluntary organisations								
	69% of applications to the financial assistance schemes were successful								
<b>Looking Forward:</b> What we will do in 2022-23	<ul style="list-style-type: none"> <li>• Launch 3 financial assistance calls across a minimum of 18 thematic areas to support the delivery of community led projects</li> <li>• Continue to promote and roll out the Electronic Grant Management System</li> <li>• Deliver training and capacity building to support local voluntary and community groups in applying for financial assistance, with an emphasis themes with lower success rates</li> </ul>								













	<ul style="list-style-type: none"> <li>Promote the online training module to potential applicants, including those who were unsuccessful in 2021-22</li> </ul>					
<b>How we will measure success</b>	2018-19 Actual	2019-20 Actual	2020-21 Actual	Trend	2021-22 Actual	2022-23 Target
% of successful financial assistance applications*	71%	71%	72%		68.8%	72%
% of financial assistance applications funded*	71%	71%	64%		68.8%	No target
Number of capacity building sessions delivered	New performance measure				6	5
Number of participants at training sessions	New performance measure				140	300
Number of participants / beneficiaries of the Financial Assistance Scheme	New performance measure				Q1/Q2 2021-22 2,604	10,000
<b>What you will see by March 2023</b>	<ul style="list-style-type: none"> <li>Circa £1m awarded to local voluntary and community groups through the Financial Assistance Scheme (including FMA's and SLA's)</li> <li>Improved and accessible training and support when applying for financial assistance</li> <li>Voluntary and community groups are supported in meeting their objectives and delivering projects across a range of themes</li> <li>Representatives from the community and voluntary sector are empowered to have a voice and shape the future of their area</li> <li>Improved community capacity and cohesion across Newry, Mourne and Down</li> </ul>					
<b>Alignment</b>						
Corporate Plan 2021-23	<ul style="list-style-type: none"> <li>Enable and support people to engage in inclusive and diverse activities in their communities</li> </ul>					
Community Plan	<ul style="list-style-type: none"> <li>All people in Newry, Mourne and Down live in respectful, safe and vibrant communities</li> </ul>					
Programme for Government	<ul style="list-style-type: none"> <li>We have an equal and inclusive society where everyone is valued and treated with respect</li> <li>We have a caring society that supports people throughout their lives</li> </ul>					
7 aspects of improvement	Strategic effectiveness	Service availability	Fairness	Innovation		
<b>Responsible Officer</b>	<b>Director: Active and Healthy Communities</b>					

\*The methodology for scoring specific themes within the Financial Assistance Scheme was reviewed in 2020-21 and the success rate of the applications funded reduced as some themes were scored and ranked, based on the funding available.

\*\*Score and rank was not fully implemented in 2021-22 due to additional COVID-19 Recovery funding being made available.

## Performance Improvement Objective 5

<b>We will improve the processing times of planning applications and enforcement cases by implementing the Planning Service Improvement Programme</b>						
<b>Why this matters</b>	<p>Delivering a more efficient and effective Planning Service for customers is a key priority for improvement for the Council. Planning plays a significant role in promoting sustainable development, regeneration, economic prosperity, investment and job creation for present and future generations of our District. 98% of respondents to our 2021-22 survey also agreed with this objective.</p> <p>The implementation of the Planning Service Improvement Programme is well underway. Despite the challenges presented by the COVID-19 pandemic, progress is being made in establishing and embedding modern, agile and responsive ways of working. However, whilst the 2021-22 processing times for planning applications have reduced when compared to previous years, the Council has not yet achieved the statutory standards and we remain committed to delivering further improvements and providing a high quality service to all customers.</p> <p>In January 2022, the Council carried out a Customer Satisfaction survey with key stakeholders to understand current perceptions of the service, in relation to the time taken to process applications, reception service and expertise of officers. Feedback from the survey is currently being analysed and will be used to identify further improvements to the Planning Service.</p>					
<b>Looking Back:</b> What we did between April-September 2021		Processed 51.1% of planning enforcement cases within 39 weeks, which is below the regional average of 72.3%				
		Average processing time of 17.4 weeks for local planning applications, which is above the regional average of 16 weeks				
		Average processing time of 42.6 weeks for major planning applications, which is below the regional average of 56.4 weeks				
		Received 921 local planning applications, which is the highest across Northern Ireland				
<b>Looking Forward:</b> What we will do in 2022-23	<ul style="list-style-type: none"> <li>Reduce the number of live planning applications and enforcement cases which have been in the system for over 12 months</li> <li>Work with agents and architects to improve the standard of planning applications submitted</li> <li>Support employees to deliver service improvements through ongoing training, capacity building and 'planning surgeries'</li> </ul>					
<b>How we will measure success</b>	2018-19 Actual	2019-20 Actual	2020-21 Actual	Status Trend	Q1/Q2 2021-22 Actual	2022-23 Target
Average processing time for local planning applications (weeks)	18	20.6	19	 	17.4	<15 weeks
Average processing time of major planning applications (weeks)	76.6	94	64.6	 	42.6	<30 weeks
Percentage of planning enforcement cases progressed within 39 weeks	52.9%	36.2%	40.9%	 	51.1%	70%



Number of planning applications in the system for 12 months or more**	224	183	187		186	150
Number of planning applications in the system for 12 months or less**	800	685	788		889	700
Number of enforcement cases in the system 12 months or more**	734	620	551		531	450
<b>What you will see by March 2023</b>	<ul style="list-style-type: none"> <li>• A more efficient and effective planning service</li> <li>• Improved processing times for local and major planning applications</li> <li>• Improved processing times for planning enforcement cases</li> <li>• Reduction in the number of live planning applications and enforcement cases in the system</li> <li>• An empowered and motivated workforce</li> <li>• Increased confidence in the Planning system</li> <li>• Sustainable development and regeneration of the District</li> </ul>					
<b>Alignment</b>						
Corporate Plan 2021-23	<ul style="list-style-type: none"> <li>• Provide accessible, high quality and integrated services through continuous improvement</li> </ul>					
Community Plan	<ul style="list-style-type: none"> <li>• All people in Newry, Mourne and Down benefit from prosperous communities</li> </ul>					
Programme for Government	<ul style="list-style-type: none"> <li>• People want to live, work and visit here</li> </ul>					
7 aspects of improvement	Strategic effectiveness	Service availability	Sustainability	Efficiency		
<b>Responsible Officer</b>	<b>Director: Enterprise, Regeneration and Tourism</b>					

\*Annual planning figures will be validated by the Department for Infrastructure and published through the Annual Report 2022-23.

\*\*The 2022-23 targets have been carried forward from 2021-22 and will be reviewed prior to the publication of the Performance Improvement Plan 2022-23, in June 2022.

## Strategic Alignment

<b>Performance Improvement Objective</b>	<b>Corporate Objective(s)</b>	<b>Community Planning Outcome(s)</b>	<b>Duty of Improvement</b>
We will encourage local people to lead healthy and active lives by improving the quality of our parks and open spaces	Continue to improve the health and wellbeing of everyone in the District and reduce health inequalities  Support sustainable forms of tourism which value our environment and cultural heritage	All people in Newry, Mourne and Down enjoy good health and wellbeing  All people in Newry, Mourne and Down benefit from prosperous communities	Strategic effectiveness Service quality Fairness Innovation
We will grow the economy by supporting local businesses and creating new jobs	Invest in and support new and growing businesses, job creation and employment skills	All people from Newry, Mourne and Down benefit from prosperous communities	Strategic effectiveness Service quality Service availability Innovation
We will improve the cleanliness of our District by addressing littering, fly tipping and dog fouling incidents	Enhance, protect and promote our environment	All people from Newry, Mourne and Down benefit from a clean, quality and sustainable environment	Strategic effectiveness Service availability Innovation Sustainability
We will build the capacity of local communities through the Financial Assistance Scheme	Enable and support people to engage in inclusive and diverse activities in their communities	All people in Newry, Mourne and Down live in respectful, safe and vibrant communities	Strategic effectiveness Service availability Fairness Innovation
We will improve the processing times of planning applications and enforcement cases by implementing the Planning Service Improvement Programme	Provide accessible, high quality and integrated services through continuous improvement	All people in Newry, Mourne and Down benefit from prosperous communities	Strategic effectiveness Service availability Sustainability Efficiency

## Consultation on the draft Performance Improvement Objectives 2022-23

<b>I am responding:</b>	as an individual	
	on behalf of an organisation (please state)	

### Question 1

**Which consultation group do you belong to?** *Please tick all that apply.*

Resident	<input type="checkbox"/>
Elected Member	<input type="checkbox"/>
Local Business	<input type="checkbox"/>
Local Community Organisation	<input type="checkbox"/>
Local Voluntary Organisation	<input type="checkbox"/>
Statutory Organisation	<input type="checkbox"/>
Other	<input type="checkbox"/>

If other, please provide further information below.

### Question 2

**Do you agree that the draft Performance Improvement Objectives are appropriate for our District?**

<b>Performance Improvement Objective 1</b>	<b>Agree</b>	<b>Disagree</b>
We will encourage local people to lead healthy and active lives by improving the quality of our parks and open spaces		
<b>Comments:</b>		
<b>Performance Improvement Objective 2</b>	<b>Agree</b>	<b>Disagree</b>
We will grow the economy by supporting local businesses and creating new jobs		
<b>Comments:</b>		
<b>Performance Improvement Objective 3</b>	<b>Agree</b>	<b>Disagree</b>

We will improve the cleanliness of our District by addressing littering, fly tipping and dog fouling incidents		
<b>Comments:</b>		
<b>Performance Improvement Objective 4</b>	<b>Agree</b>	<b>Disagree</b>
We will build the capacity of local communities through the Financial Assistance Scheme		
<b>Comments:</b>		
<b>Performance Improvement Objective 5</b>	<b>Agree</b>	<b>Disagree</b>
We will improve the processing times of planning applications and enforcement cases by implementing the Planning Service Improvement Programme		
<b>Comments:</b>		

**Question 3**

**Would you suggest any alternative Performance Improvement Objective(s), 'supporting actions' and 'measures of success'?**

**Question 4**

**Which of the areas outlined below would you like to see Newry, Mourne and Down District Council make improvements to in the future? (please tick 3 areas)**

Area	
Arts Centres and Museums	
Building Control	
Car Parking	
Cemeteries	
Cleansing Service	
Community Services/Centres	
Council Parks and Open Spaces	



Council Website	
Economic Development (Programmes to support the economy)	
Environmental Health	
Grants, Procurement and Finance	
Harbours and Marinas	
Leisure Centres	
Licensing (dogs, gaming, entertainment etc)	
Planning	
Play Parks	
Recycling	
Bin Collection	
Registration Services (Births, Deaths, Marriages and Civil Partnerships)	
Tourism Events	
Visitor Attractions	
Visitor Information Centres	
Other Services (please specify)	

**What specific improvements would you like Newry, Mourne and Down District Council to make in future years?**

Completed questionnaires or comments should be submitted by **16 May 2022** to:

**Email:** [performance@nmandd.org](mailto:performance@nmandd.org)

**In Writing:** Performance and Improvement  
Newry, Mourne and Down District Council  
O'Hagan House  
Monaghan Row  
Newry  
Co Down  
BT35 8DJ

**Telephone:** 0330 137 4000

**Thank you for taking the time to respond to this questionnaire.**

**We look forward to hearing from you.**

## Overall approach and timetable to develop and publish the Performance Improvement Plan 2022-23

1	Development of the Performance Improvement Plan 2022-23	Timetable
1.1	Review baseline evidence to support the development of the Performance Improvement Plan, including a review of existing performance management arrangements across the organisation	Jan 2022
1.2	Develop and update the performance improvement objectives, supporting actions and measures of success, ensuring alignment to the seven criteria outlined in the legislation, as well as the Community Plan, Corporate Plan and other key strategies. Prepare Delivery Plans for each objective.	Jan-Feb 2022
1.3	Consider and agree the: <ul style="list-style-type: none"> <li>• Draft performance improvement objectives 2022-23, supporting actions, measures of success</li> <li>• Overall approach and timetable for developing and publishing the Performance Improvement Plan 2022-23, ensuring compliance with the statutory Duty to Improve</li> </ul>	CMT: Feb 2022 SMT: Mar 2022 SPR: Mar 2022 Council: Apr 2022 AC: Apr 2022
1.4	Carry out an equality screening and rural needs impact assessment of the draft performance improvement objectives 2022-23	Feb 2022
2	Consultation on the draft Performance Improvement Objectives 2022-23	Timetable
2.1	The proposed 8 week consultation timetable with key stakeholders will consist of the following elements:	
2.2	Speak NMD – Electronic survey and ideas board published Speak NMD website, promoted through the Council website and social media channels, and circulated to internal and external stakeholders	21 Mar-16 May 2022
2.3	Public Advertisements in local newspapers	21 Mar-16 May 2022
2.4	Consultation and engagement on the draft performance improvement objectives 2021-22 with: <ul style="list-style-type: none"> <li>• Section 75 groups, including Youth Councils, Older People’s Forum, Ethnic Minority Support Centre and DEA Forums</li> </ul>	21 Mar-16 May 2022
2.5	Analyse feedback from consultation and engagement activity, and propose amendments to the performance improvement objectives, supporting actions and measures of success where appropriate	May 2022
3	Design, approval and publication of the Performance Improvement Plan 2022-23	Timetable
3.1	Finalise the Performance Improvement Plan 2022-23	May 2022
3.2	Carry out an equality screening and rural needs impact assessment of the Performance Improvement Plan 2022-23	May 2022
3.3	Consider the Performance Improvement Plan 2022-23, with proposed amendments following the consultation process	SMT: Jun 2022 SPR: Jun 2022 (including request to

## Overall approach and timetable to develop and publish the Performance Improvement Plan 2022-23

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		publish the Performance Improvement Plan by 30 June 2022 Council: Jul 2022 AC: Jul 2022
3.4	Publish the Performance Improvement Plan on the Council's website and social media channels	Jun 2022 (before statutory deadline of 30 June)
3.5	Develop, translate into Irish (in line with Bilingualism Policy) and publish the summary performance document – 'Our Performance: Looking Back, Going Forward'	Sep 2022
<b>4</b>	<b>Implementation of the Performance Improvement Plan 2022-23</b>	<b>Timetable</b>
4.1	Publish the annual Assessment of Performance 2021-22, in line with statutory requirements	SMT: Sep 2022 SPR: Sep 2022 Council: Oct 2022 AC: Sep 2022
4.2	Monitor and report progress in implementing the Performance Improvement Plan 2022-23 through the Mid Year Assessment	SMT: Nov 2022 SPR: Nov 2022 Council: Dec 2022 AC: Jan 2023
<b>5</b>	<b>Improvement Audit and Assessment 2022-23</b>	<b>Timetable</b>
5.1	NI Audit Office carry out the annual Improvement Audit and Assessment to ascertain if the Council has fulfilled its statutory duty of performance improvement. This will include: <ul style="list-style-type: none"> <li>• A forward looking assessment of the Councils likelihood to comply with its duty to make arrangements to secure continuous improvement</li> <li>• A retrospective assessment of whether the Council has achieved its planned improvements to inform a view regarding the Councils track record of improvement</li> </ul>	Jul-Oct 2022

## Overall approach and timetable to develop and publish the Performance Improvement Plan 2022-23

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5.2	The NI Audit Office issue the S95 report, outlining the findings from the Improvement Audit and Assessment, which includes proposals for improvement to assist the Council in fulfilling its performance responsibilities in future years	Final report: 30 Nov 2022 Publication of report: Feb 2023
5.3	Consider the s95 Improvement Audit and Assessment Report	SMT: Dec 2022 SPR: Dec 2022 Council: Jan 2023 AC: Jan 2023





An Roinn  
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Department for  
**Commonities**

Clerk and Chief Executive of each District  
Council

**Local Government & Housing Regulation Division**

Causeway Exchange  
1-7 Bedford Street  
Town Parks  
BELFAST  
BT2 7EG

Telephone: (028) 9082 3375

Circular LG 02/22

Email: [Jeff.glass@communities-ni.gov.uk](mailto:Jeff.glass@communities-ni.gov.uk)

Our reference: CO1/21/750597

Date: 7 January 2022

Dear Chief Executive

**ACCOUNTS DIRECTION 2021/22: NORTHERN IRELAND DISTRICT COUNCILS**

Following consultation the Association of Local Government Finance Officers (ALGFO), the Department has prepared a Direction for the appropriate form and content of the accounts of the district councils in Northern Ireland. I have enclosed the following documents that will help you to prepare the accounts for 2021/22:

Cover letter – as per this document;

Annex A - Circular No LG 02/2022 Accounts Direction to Councils 2021/22;

Annex B - Accounts Direction for 2021/22;

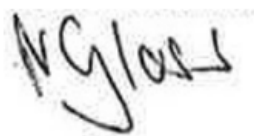
Annex C - Pro forma Accounts for District Councils including Pro forma No. 1 Rates Support Grant Pro Forma;

Annex D - Accounts Direction Schedules;

Annex E – Remuneration Report notes



Yours faithfully

A handwritten signature in black ink that reads "J Glass". The signature is written in a cursive style with a large initial "J" and the name "Glass" written below it.

**Jeff Glass**  
**Head of Finance**  
**Local Government & Housing Regulation Division**

cc Colette Kane, Local Government Auditor, NI Audit Office  
Finance Officers, District Councils

Encs.



Department for  
**Communities**  
www.communities-ni.gov.uk

An Roinn  
**Pobal**

Department for  
**Commonities**

## Annex A

Clerk and Chief Executive of each District Council

### Local Government & Housing Regulation Division

Causeway Exchange  
1-7 Bedford Street  
BELFAST  
BT2 7EG

Telephone: (028) 9082 3375

Circular LG 2/22

Email: Jeff.glass@communities-ni.gov.uk

Our reference: CO1/21/750599

Date: 7 January 2022

Dear Chief Executive

### ACCOUNTS DIRECTION CIRCULAR 2021/22: NORTHERN IRELAND DISTRICT COUNCILS

1. In exercise of its powers under Article 24(2) of the Local Government (Northern Ireland) Order 2005 and Regulation 7 of the Local Government (Accounts and Audit) Regulations (Northern Ireland) 2015 (the Regulations), the Department hereby directs that the accounts for the year ended 31 March 2022 should comply with the attached direction.
2. The prescribed template has been included within the District Council accounts pro-forma. The remuneration report contains a link to information on members' allowances and expenses on Councils' websites. Therefore the information that is intended to be published on members' allowances and expenses should be submitted for audit to the Local Government Auditor at the same time as the statement of accounts.
3. The unaudited statement of accounts do not need to be approved by a committee. The Chief Financial Officer needs to certify the unaudited statement of accounts by 30 June. Councils should arrange a committee meeting for one to two weeks prior to 30 September to allow audit certification by 30 September 2022.
4. The CIPFA/LASAAC Code Board has developed a Code of Practice on Local Authority Accounting in the United Kingdom 2021/22 (the Code) which is based on International Financial Reporting Standards. This document is recognised by the Department as a comprehensive statement of accounting practice to be followed in preparing a local authority's annual statement of accounts.

5. As in previous years, the Department has reviewed the requirements of the accounts direction having regard to suggestions from councils and local government auditors. I would like to draw your attention to the following advice:
- Narrative Report - Councils should consider recommended topics in Section 3.1 of the CIPFA/LASAAC's Code for inclusion in the Narrative Report. See also the revised section 1.2 in relation to disclosures regarding reserves which should be included in the narrative report or with the financial statements themselves.
  - Councils should revalue their highly volatile assets on an annual basis and depending on materiality, other assets should be reviewed via a desktop exercise to identify assets that may require valuation.
  - Actuarial valuations – You should be sure that information passed to/obtained from external experts is appropriate. Please note that auditors are likely to request this information for review.
  - Pension accounting - Councils should account for the estimated contribution as contained in the actuary's report. This will result in a difference to your actual contributions paid to the scheme. The difference should be tracked and recorded for audit purposes.
  - Discount rate for provisions – as advised in previous years, provisions should be discounted in accordance with the Code, including IAS 37 on provisions, contingent liabilities and contingent assets. Where councils use the ArlingClose recommended discount rate (that includes inflation) in valuing landfill provision, they should adjust their estimated landfill cash flows for inflation.
  - Group accounts – the rationale should be documented for consolidating or not consolidating any subsidiaries/associate/joint ventures (including smaller local government bodies) into group accounts. You should utilise the group accounting checklist produced by CIPFA.
  - Local Government Reform – You should continue to consider the impact of reform and the need for provisions at the balance sheet date for matters such as severance costs, restructuring or redundancy costs, etc. Councils should pay due consideration to the changes in IAS 19 regarding termination benefits. You should also ensure expenditure allocated to reform for which matched income has been obtained is accounted for correctly, including the capitalisation of any expenditure not normally capitalised.
  - Capitalisation of any expenditure not normally capitalised should be accounted for correctly and should either be compliant with a Departmental Capitalisation Direction or substantiated as Revenue Expenditure Funded From Capital Under Statute (REFCUS). Guidance on accounting for capitalisation directions was issued in April 2015 by CIPFA. Councils are

required to advise the Department of how much of their allocation was used in the previous financial year no later than 30 June 2022. Estimates are not acceptable. Supporting information/ calculations must also be provided at this time to substantiate that figures are final, either by email or hard copy.

- Principal and agent transactions – You should be able to provide the auditors with appropriate evidence in support of principal and agent accounting. This is normally most relevant in the case of accounting for public realm transactions.
- Local Government Finance Act (NI) 2011 and the Prudential Code – you should ensure that the council is compliant with these, and that this is reflected where appropriate in the financial statements.
- Councils will need to ensure that COVID-19 resource income from any Government Departments for the various COVID-19 funding streams received and from the Inland Revenue in respect of the Coronavirus Job Retention Scheme should be recorded in Income within the Cost of Services on Continuing Operations in the Comprehensive Income and Expenditure Statement, within Councils' Financial Statements, with any related note.
- Any other grants should be included in the notes to the accounts under Taxation and Non Specific Grant Income under the section headed Revenue Costs.
- Any allowable COVID-19 funding that can be carried forward should be included and shown separately in Reserves including any necessary notes. Any COVID funding included in reserves would need to be confirmed as being allowed to be carried forward with DoF prior to their inclusion in Reserves.

6. Please note the following:

- Where councils have established subsidiaries to undertake its operating activities, the additional reporting requirements of the Code and the accounts direction should be applied to subsidiary accounts. These include a remuneration report and a governance statement.
- When councils set up companies that are associates or joint ventures they should ensure that financial year ends align with that of the council's and that independent auditors are appointed. This is particularly important for those companies that are consolidated into the council's group accounts.
- Publication of annual audit letters - A council is required by the Local Government (Accounts and Audit) Regulations (Northern Ireland) 2015 to publish the annual audit letter as soon as reasonably possible after its receipt from the local government auditor.
- You are reminded that, in accordance with the regulations, councils must

monitor the performance of internal audit activity, including a review of its effectiveness.

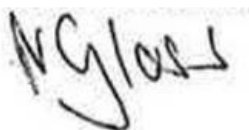
- All suspected, attempted and actual fraud should be reported to the Local Government Auditor on a more formal business. Local councils should continue to report any such frauds using the circulated pro-forma 'Initial Notification of Frauds to the Local Government Auditor'. The information received shall determine whether or not there is any impact on the financial accounts and to have an overview of key fraud risks across local government. This return should be cc'd to the Department which will consider the current structures in place to monitor frauds, gather and collate information and bring trends and lessons to the attention of the sector as a whole.

7. The disclosure narrative for the related parties note has been expanded in the pro forma to more accurately reflect the content of the CIPFA code.

The CIPFA Code on Local Authority Accounting in the United Kingdom 2021/22 has full details of updated accounting requirements.

8. I should like to remind you that except with the consent of the local government auditor, accounts must not be altered after the date on which they are first made available for public inspection.
9. Should you require clarification on any of the above matters, please contact me on 028 90 823375.

Yours faithfully



**Jeff Glass**  
**Head of Finance**  
**Local Government & Housing Regulation Division**

cc.

Colette Kane, Local Government Auditor, NI Audit Office  
Finance Officers, District Councils

Encs.



Chief Executive of each District Council

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1 February 2022

Dear Chief Executive

## LOCAL GOVERNMENT CIRCULAR LG 7/22

### **MODEL TERMS, CONDITIONS AND RESTRICTIONS (REVISED) WHICH MAY BE SPECIFIED IN ENTERTAINMENTS LICENCES BY COUNCILS UNDER THE LOCAL GOVERNMENT (MISCELLANEOUS PROVISIONS) (NORTHERN IRELAND) ORDER 1985)**

As you know Article 3 of, and Schedule 1 to, the Local Government (Miscellaneous Provisions) (Northern Ireland) Order 1985, as amended by Article 52 of the Local Government (Miscellaneous Provisions) (Northern Ireland) Order 1992, make provision that certain specified entertainments shall not be provided at any places, except under, and in accordance with, the terms, conditions and restrictions that are included in entertainment licences granted by district councils. Paragraph 3(3) of Schedule 1 to the legislation requires that in specifying any terms, conditions or restrictions in a licence the council shall have regard to any model terms, conditions and restrictions published for these purposes by the Department.

In June 1986 the then Department of the Environment for Northern Ireland (DOE), published "Model Terms Conditions and Restrictions for Indoor Entertainments" which became known as the "Management Rules", followed in July 1988 by the publication of a series of "Technical Requirements" which were to form an integral part of the model terms, conditions and restrictions. Additional "Model Public Entertainment Licence Conditions Aimed at Improving the Health and Safety of Young People at Dance Events" were issued to District Councils in April 1998 under Circular No LG 19/98.

You will also be aware that a review of the entertainment licensing system, initiated by the DOE in July 2014, made some 36 recommendations for a future licensing regime, two of which related to the update and modernisation of the Department's published Model Terms, Conditions and Restrictions. During 2014/2015 the Review Group did considerable work to combine, revise and update the contents of this guidance with the aim of setting out a consistent and uniform set of modern technical and management standards which councils could apply to premises/venues seeking an entertainments licence. Unfortunately, all work on the recommendations of the review was halted in late 2016 and this remained the position until January 2020 when work was restarted on the restoration of the Assembly.


The Department has now completed the significant work on updating the guidance commenced by

the original Review Group, with additional updating on some issues which have arisen since the report of the review was published. In particular I would draw your attention to Part B, Section 16 of the revised document which contains a new section on crowd safety and signposts detailed guidance on the subject.

In specifying any terms, conditions or restrictions in an entertainments licence councils should now have regard to the revised version of the Model Terms, Conditions and Restrictions as published (copy attached) which replaces the existing guidance mentioned in paragraph two above.

This guidance will of course be further amended as required by any future relevant developments.

Yours sincerely



**Liam Quinn**

**Assistant Director of Local Government and Housing Regulation**



# **MODEL TERMS, CONDITIONS AND RESTRICTIONS (revised)**

**which may be specified in entertainments licences by  
councils under the Local Government (Miscellaneous  
Provisions) (Northern Ireland) Order 1985**

**Technical Requirements and  
Management Rules for  
Indoor & Outdoor places of entertainment**

**January 2022**

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## 1. Foreword

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### Use of this document

1. Under Article 3 of, and Schedule 1 to, the Local Government (Miscellaneous Provisions) (Northern Ireland) Order 1985 district councils may grant entertainments licences, on such terms and conditions, and subject to such restrictions as may be specified in the licence. In specifying any terms, conditions or restrictions in a licence, district councils should have regard to any model terms, conditions and restrictions published by the Department.
2. Accordingly, the responsible Department at the time, the Department of the Environment for Northern Ireland set up a Working Party to formulate terms, conditions and restrictions which may be specified in entertainment licences. In June 1986 the Working Party published the "Model Terms Conditions and Restrictions for Indoor Entertainments" which became known as the "Management Rules", followed by the publication in July 1988 of a series of "Technical Requirements" which were to form an integral part of the model terms, conditions and restrictions. Additional "Model Public Entertainment Licence Conditions Aimed at Improving the Health and Safety of Young People at Dance Events" were issued to District Councils in April 1998.
3. This document combines, revises and updates the contents of the above publications. It aims to set out a consistent and uniform set of modern technical and management standards which councils can apply to premises/venues seeking an entertainment licence.
4. A council may modify or dispense with such of these model terms, conditions and restrictions as it thinks appropriate for the premises or venue and for the type of entertainments provided therein. Although there is no obligation on a council to follow the identified technical standards set out in this guidance, it will be for the council to demonstrate that those requirements have been satisfied by other means. In applying any identified technical standard, councils should use the most recent standard available.
5. The issue of any licence for the premises shall not derogate from other powers or duties of the council or any other authority's statutory provisions.



## 2. Definitions

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<b>Definitions</b>
"approval of the Council" "consent of the Council" means the prior approval or prior consent of the Council in writing.
"approved" "permitted", means approved, or permitted, by the Council in writing.
"children" means any persons under the age of 16 years.
"young person" means any person aged 16 or 17.
"licence" means a licence granted, renewed or transferred as the case may be by the Council for the purpose of providing the types of entertainment on premises mentioned in the licence.
"licensee" means a person or persons, a corporate body or any association of persons licensed by a Council to keep and use premises for the types of entertainment as set out in a licence.
"licensing conditions" are the terms, conditions and restrictions under which a licence is granted, renewed or transferred and shall include the Model Terms, Conditions and Restrictions and Technical Requirements of the Council.
"notice" means notice in writing.
"premises" means any place subject to the licensing provisions in Schedule 1 to the Local Government (Miscellaneous Provisions) (Northern Ireland) Order 1985, and includes all parts of the property to which persons have access in connection with the entertainment.

### 3. Applications – supporting documentation

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3.1 There are a range of documents which councils may require to support an application for the grant or renewal of an entertainments licence and, on the annual maintenance of a licence, councils may require a declaration by the licensee that all such documentation is current. Councils may also require proof of relevant documentation at any point in the life of a licence. Failure to renew relevant documentation during the life of a licence will be a breach of the licence condition and subject to enforcement action. The following paragraphs set out some of the most common documents and certificates which councils will require.

#### 3.2 Insurance (Annual)

A certificate is required to confirm that, as set out in the Local Government (Miscellaneous Provisions) Northern Ireland Order 1985 a valid policy of public liability insurance is held in respect of premises providing entertainment, to cover all events held under the licence. An appropriate level of indemnity insurance, as required by the relevant council, should be provided. The insurance policy certificate must be valid and effective throughout the operational period of the licence and any such further period during which entertainment is provided pending renewal of the entertainments licence.

#### 3.3 Door Supervisors

A certificate is required to confirm that, as set out in the Private Security Industry Act 2001, if a venue employs Door Supervisors, those persons are qualified and licensed by the Security Industry Authority. Certification is required with each new application.

#### 3.4 Newspaper Advert

Within 7 days of making an application for a grant, renewal, variation or transfer of an entertainments licence the applicant must give public notice by placing an advertisement in one newspaper that is distributed or sold in the area in which the premises is located. Proof of this advertisement is required, clearly showing the newspaper and the date that the advert was placed.

#### 3.5 Fire Extinguishers Certificate (Annual)

All fire extinguishers shall be inspected and tested annually in accordance with BS 5306-3:2006 and a certificate from the equipment suppliers or signed by an approved competent person, indicating that the portable fire extinguishers have been examined and tested shall be provided. Certification is required with each new application.

#### 3.6 Electrical Installation Certification (As Certified by Engineer)

All periodic inspection and testing shall be carried out in accordance with the current edition of the Institute of Engineering and Technology Regulations for electrical installations inspection and testing and as recommended in BS 7671. The maximum period between inspections shall be 3 years unless declared otherwise by the inspecting contractor. A certificate confirming that electrical installations have been inspected and tested by a competent person is required, with each new application, and when alterations to the installation are carried out, or every three years thereafter.

### 3.7 Emergency Lighting Certificate (Annual)

All emergency lighting systems shall be inspected and tested annually in accordance with the current edition of BS 5266: Part 1, 2005, Annual Test. The type of test certificate is to be as recommended in BS 5266: Part 1, 2005, Appendix C. Any variation to this type of certificate must be approved by the Council. Certification is required with each new application and every year thereafter.

### 3.8 Fire Alarm System Certificate (Annual)

All fire alarms shall be inspected and tested annually in accordance with the current edition of BS 5839: Part 1, 2002, incorporating amendments 1, 2 and 3 with particular reference to Section 7, User Responsibilities Annual Inspection and Test. The type of test certificate is to be as recommended in BS 5839: Part 1, 2002, Appendix C. Certification is required with each new application and every year thereafter.

### 3.9 Fire Risk Assessment

A fire risk assessment is required and, as set out in the Fire Safety Regulations (Northern Ireland) 2010, is to be carried out by an appropriate and competent person. A fire risk assessment is an organised and methodical look at the premises, identifying the hazards and assessing the risks, the potential for a fire to occur and the harm it could cause to people in and around the premises. A copy of the fire risk assessment is required with each grant, transfer or variation application.

### 3.10 Gas Appliances and Equipment

A certificate, from a competent person, is required, stating that any liquefied petroleum gas (LPG) installations and equipment have been tested and comply with the recommendations of the Liquefied Petroleum Gas Industry Technical Association (LPGITA) and the Health and Safety Executive Guidance Notes. Certification is required with each new application and every two years thereafter.

### 3.11 Ceiling

This certificate may be required during inspection of the premises, where for example a ceiling has ornamental plaster or other imposed loadings. The certificate should confirm their condition and structural integrity. The certificate may be issued by either an architect, structural engineer, or a building surveyor, and is required every four years.

### 3.12 Structural

This certificate is requested at grant stage only and the council reserves the right to request it for other applications, to confirm that the premises satisfy the requirements of BS 6399: Part 1 1996; Design loading for Buildings; Part 1 Code of Practice for Dead and Imposed loads. Where a dance/music event is to be provided the Council may require loading strengths in excess of those tabulated in the British Standards. The certificate is to be issued by a structural engineer/competent technical person, confirming the structural suitability of the place to be licensed for entertainment and certifying that the walls, floors, ceilings and roof are in a safe and satisfactory condition for the purpose for which the place is to be used. Certification is required with each new application or when structural alterations are carried out, and every five years thereafter.

## Part A - Technical Requirements

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### 4. Building Regulations

The place shall be so constructed, maintained and managed, so far as is reasonably practical, to ensure the health and safety of persons in and about the place. All technical requirements in premises licensed for entertainment in Northern Ireland must comply with the technical requirements of the relevant Building Regulations and associated guidance set out in the following documents:

#### Legislation

Building Regulations (Northern Ireland) 2012

Building (Amendment) Regulations (Northern Ireland) 2012

The Building Regulations (1979 Order) (Commencement No. 3) Order (Northern Ireland) 2012

The Building Regulations (2009 Amendment Act) (Commencement No. 2) Order (Northern Ireland) 2012

The Building Regulations (2009 Amendment Act) (Commencement) Order (Northern Ireland) 2009

The Building Regulations (1979 Order) (Commencement No. 2) Order (Northern Ireland) 1982

The Building Regulations (1979 Order) (Commencement No. 1) Order (Northern Ireland) 1980

Legislation is available on the [Legislation.gov.uk](http://legislation.gov.uk) website.

#### Department of Finance Building Regulations Technical Booklets

Materials and workmanship - July 2013

Site preparation and resistance to moisture - October 2012

Structure - October 2012

Fire safety - October 2012

Conservation of fuel and power in buildings - October 2012

Conservation of fuel and power in buildings other than dwellings - October 2012

Technical Booklets F1 and F2 – amendments - February 2014

Resistance to the passage of sound - October 2012

Stairs, ramps, guarding and protection from impact - October 2012

Solid waste in buildings - October 2012

Ventilation - October 2012

Combustion appliances and fuel storage systems - October 2012

Physical infrastructure for high-speed communications networks - January 2017

Drainage - October 2012

Sanitary appliances, unvented hot water storage systems and reducing the risk of scalding - October 2012

Access to and use of buildings - October 2012

Glazing - October 2012

All current Building Regulation Technical Booklets are available on the Department of Finance website [Building Regulations in Northern Ireland | Department of Finance \(finance-ni.gov.uk\)](http://www.finance-ni.gov.uk)



## 5. Sanitary Accommodation

The premises shall be so constructed, maintained and managed, so far as reasonably practical, to ensure sufficient sanitary accommodation is provided for persons in and about the place.

The following will be used by the council in the assessment of the premises:

### Guidance

- BS 6465-1:2006+A1:2009 Sanitary installations. Code of practice for the design of sanitary facilities and scales of provision of sanitary and associated appliances

## 6. Access to and Use of Buildings for Persons with Disabilities

The place shall be so constructed, maintained and managed, so far as reasonably practical, to ensure persons with disabilities can have full access to all public areas and avail of all facilities in and about the place.

The following will be used by the council in the assessment of the premises:

### Legislation

- Disability Discrimination Act 2005 - for existing premises

### Guidance

- Department of Finance Building Regulations (Northern Ireland) 2012 Technical Booklet R and/or
- BS 8300-2: Design of an accessible and inclusive built environment code of practice - for new build premises

## 7. Noise

The place shall be so constructed, maintained and managed, so far as reasonably practical, to ensure that persons in and about the place and persons in neighbouring properties are not unduly affected by noise.

Because of the individual nature of each premises and the type of entertainments provided, it is recommended that each application is accompanied by an acoustic report as required or as is necessary, from a Noise Consultant, setting out the requirements to meet the Councils conditions.

To aid the Noise Consultant the following Regulations and guidance documents will be used by the council in the assessment of the premises.

### Legislation:

- within the premises - Health and Safety at Work (NI) Order 1978
- arising from the premises - The Clean Neighbourhoods and Environment Act (Northern Ireland) 2011
- The Noise Act 1996

### Guidance documents:

- BS 8233:2014 Guidance on sound insulation & noise reduction for buildings



- British Research Establishment Digest 379, DG379 'Double glazing for heat and sound insulation'
- Noise Advisory Council's 'Draft Code of Practice on Sound Levels in Discotheques' published May 1986
- Health and Safety Executive's 'Code of Practice for Reducing the Exposure of Employed Persons to Noise' published 1972
- Health and Safety Executive's 'Noise at work: A brief guide to controlling the risks'

## 8. Seating Layouts

Any seating provided in the place, whether fixed or loose, shall not prejudice the means of escape or the health and safety of patrons within a premises.

The following will be used by the council in the assessment of the premises:

### Guidance

- BS 9999:2008 Annex D, Section D.3, Paragraphs D.3.1-D.3.5

## 9. Fixtures, Fittings, Fabrics and Furnishings

The selection and/or use of fixtures, fittings, fabrics and furnishings should not present an unacceptable increase in the volume of combustible materials in a building. The nature of the materials should not give rise to the rapid spread of smoke or fire in a building.

The following will be used by the council to determine the suitability, or otherwise, of materials for use within entertainment venues:

### Guidance

- BS 5867-2:2008 Fabrics for curtains, drapes and window blinds. Flammability requirements. Specification
- BS 4790:1987 - Method for determination of the effects of a small source of ignition on textile floor coverings
- Building Regulations (Northern Ireland) 2012 Technical Booklet E, Section 3
- BS 9999: 2008 Code of practice for fire safety in the design, management and use of buildings, Annex D Paragraph D.3.6
- BS 476: Part 6 - Fire tests on building materials and structures. Method of test for fire propagation for products

## 10. Fire Extinguishers

The number type, siting and installation of firefighting equipment shall be as agreed with the Northern Ireland Fire and Rescue Service (NIFRS) and the Council.

Portable fire extinguishers shall comply with the appropriate British Standard for the type recommended and be serviced in accordance with the following:

**Guidance**

- BS 5306-8:2012 Selection and positioning of portable fire extinguishers – Code of practice.
- BS 5306-3:2009 Commissioning and maintenance of portable fire extinguishers – Code of practice

**11. Premises Having a Stage**

All stages used for entertainments licensing purposes shall be so designed, constructed and maintained, so as to ensure the safety of persons in and about the structure.

The following guidance documents will be used by the council in the assessment of all stages, platforms and access galleries in the premises:

**Guidance**

- BS 6399-1:1996 Loading for buildings. Code of practice for dead and imposed loads
- BS 9999:2008 Code of practice for fire safety in the design, management and use of buildings, Annex D Paragraph D.5

**12. Special Installations and Effects**

Any special installations and/or effects should be arranged so as to minimise any risk to the public, performers and staff. Special installations and effects are considered to be those installations which are both permanent and temporary in nature.

The special effects are inclusive of items such as:-

- Pyrotechnics
- Lasers
- Strobe lighting
- Smoke machines
- Foam canons/machines
- Paint canons/machines
- Real flame

This list is not considered to be exhaustive. In all situations, it is the responsibility of the licensee to notify the Councils' entertainments licensing section of their intention to provide any special installation and/or effect.

In determining the suitability of a proposal to provide a Special Installation or Special Effects, the following guidance will be used by the Council in its assessment:

**Guidance**

- Association of British Theatre Technicians 'Code of practice for firearms and ammunition' and 'Code of practice for pyrotechnics and smoke effects'
- Health and Safety Executive/Local Authorities (HELA) guidance note 'Disco lights and flicker sensitive epilepsy'
- Health and Safety Executive's 'The radiation safety of display laser installations' HS(G)95 HSE Books 1996 ISBN 0 7176 0691

- International Electrotechnical Commission (IEC) publication 'Safety of laser products - Part Guidance for laser displays and shows. IEC 825 - 3 1995'
- The Institution of Lighting Engineers 'Lasers, Festival and Entertainment Lighting Code 1995'

#### **Advance notification to the council**

- Where a special installation and/or effects are to be used ... days' notice shall be given to the Council.
- The licensee must ensure a risk assessment is carried out on the proposed special installation and/or effect, specific to the premises where it is to be used. A copy of the risk assessment, along with any other relevant certificates specific to the special effect, must accompany the notice provided to the council.
- The council must also be informed of the identification of the competent person who will be responsible for the special installation and/or effect.
- All special effects are to be used in accordance with the manufacturer's instructions and relevant legislation.

### **13. Temporary Structures**

All temporary structures used as part of an Entertainment Licensed event shall be so designed, constructed and maintained, so as to ensure the safety of persons in and about the structure. Because of the individual nature of such temporary structures it is recommended that each structure is accompanied by a report/certificate from a structural engineer.

To aid the structural engineers, the following guidance will be used by the council in the assessment of a temporary structure:

#### **Guidance**

- Institution of Structural Engineers publication 'Temporary demountable structures. Guidance on procurement, design and use. (Third Edition) (2007)'
- Building Research Establishment Digest 483, 'Wind loads on temporary stage decks 2004'
- BS EN 13782:2005. Temporary structures — Tents — Safety
- Building Research Establishment information paper IP3/00, 'Temporary demountable grandstands: dynamic response'
- BS EN13200-6:2006. Spectator facilities — Part 6: Demountable (temporary) stands
- BS 1139-6:2014. Metal scaffolding – Part 6: Prefabricated tower scaffolds outside the scope of BS EN 1004, but utilizing components from such systems – Specification
- Building Research Establishment Digest 426, 'The response of structures to dynamic crowd loads. 1997'
- Greater London Council 'Code of Practice for pop concerts – A guide to safety, health & welfare at one day events'
- Chartered Institute of Environmental Health (CIEH) 'Noise Council code of practice on environmental noise at concerts' Published 1995

## 14. Outdoor Areas and Events

### Outdoor areas

Outdoor areas where entertainment is provided shall be so designed, constructed and maintained to ensure adequate provisions for the health, safety and welfare of patrons using the area and to ensure that persons in and about the place and in neighbouring properties are not unduly affected by noise.

To ensure that outdoor areas, such as beer gardens and smoking areas, comply with the Model terms due consideration should be taken of:-

- Means of escape
- Sanitary Facilities
- Noise Breakout

For technical guidance on compliance with the above points, refer to the relevant guidance signposted in Part A, section 4 (Building Regulations) of this document.

### Smoking areas

Smoking areas must comply with the Smoking (Northern Ireland) Order 2006. This legislation prohibits smoking in most enclosed and substantially enclosed workplaces and public places.

### Outdoor Events

All outdoor entertainment events shall be so organised to ensure that the health, safety and welfare of persons in and about the event is maintained and protected and that all noise mitigating factors have been considered so as to protect the local amenity. Because of the individual nature and varying size and scale of outdoor events, it is recommended that each applicant follows the guidelines set out in Appendix A of this document in relation to:

- Appendix A1 - Health and Safety Requirements at an Outdoor Event
- Appendix A2 - Noise Control Procedure for an Outdoor Event

The following will be used by the Council in the assessment of the premises:

### Guidance

- The Purple Guide to Health, Safety and Welfare at Music and Other Events.
- Department for Communities and Local Government – Fire Safety Risk Assessment for Open Air Events and Venues - [Fire safety risk assessment: open-air events and venues - GOV.UK \(www.gov.uk\)](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/362222/fire-safety-risk-assessment-open-air-events-and-venues.pdf)



## Part B – Management Rules

### 15. General Rules

15.1 The licence shall be posted up in some conspicuous location in the premises.

15.2 A copy of the licensing conditions shall be kept in the premises and shall be readily available for inspection.

15.3 The premises shall not be used for any of the purposes for which the premises are licensed, except on the days and between the hours set out in the licence. In exceptional circumstances the permitted hours of use for the purposes authorised by the licence may be varied with the consent of the Council. In this respect not less than ... months' notice of application for permission to vary the permitted hours of use shall be given to the Council.

15.4 Premises which are also licensed under the Licensing (Northern Ireland) Order 1996 (as amended by the Licensing and Registration of Clubs (Amendment) Act (NI) 2021) shall ensure the alignment of closing time for the consumption of liquor and entertainment on the premises. Entertainment provided during later opening or further later opening is not allowed to continue after the end of “drinking-up time”. Entertainment must end at the latest at 2.00am for later opening and 3.00am for further later opening. An entertainment licence can be granted for the provision of entertainment beyond the latest time for consumption of alcoholic drinks as set out above, however, such a licence will have the effect that any order for additional (or further additional) permitted hours is invalidated, and the sale of intoxicating liquor on those premises must cease at 11pm. This paragraph shall not apply to premises registered under the Registration of Clubs (Northern Ireland) Order 1996.

15.5 The numbers of persons on the premises at any one time shall not exceed the maximum number stated in the licence and a system of accounting and recording numbers shall be kept for inspection by an authorised inspector of the Council.

15.6 The premises should be managed in line with the Fire Risk Assessment (FRA), which has been developed for the premises.

15.7 A valid policy of insurance must be held by the licence holder throughout the period of the licence, insuring him in respect of any liability which may be incurred by him in respect of the death of or bodily injury to any person while on or about the premises. The insurance policy must be available for inspection by an authorised officer of the Council.

15.8 All parts of the premises, both indoor and outdoor, shall be open for inspection at all reasonable times by an authorised officer of the Council, an officer of the Police Service of Northern Ireland (PSNI) or an authorised officer of the NIFRS for the purpose of observing whether the terms, conditions and restrictions subject to which the licence is held are being complied with.

15.9 No alteration in construction, lay-out, furnishings or otherwise of the premises shall be made without the consent of the Council.

15.10 The licensee shall:



- take all reasonable precautions to ensure the safety of all persons on the premises and shall retain control over all parts of the premises; and
- ensure that the licensing conditions are observed.

This includes where, in any case, the licensee permits the premises to be kept or used by a hirer, lessee, or similar person, for the purposes of entertainment. Reasonable precautions include meeting the requirements of any other statutory provision.

15.11 No entertainments which:

- are dance/music events; or
- use special installations or effects or are otherwise likely to present special risks to patrons; or
- are specially presented for children

shall be provided until the Council's consent has been obtained.

For **dance/music events** (...) months' notice of any such entertainment shall be given to the Council together with either names of the groups or artists booked to appear or, if that information is not available, an indication of the age of the audience such entertainment is expected to attract.

For the **other entertainments referred to above** (...) days' notice of any such entertainment shall be given to the Council.

## 16. Crowd safety

16.1 As set out under 'definitions' earlier in this document, for the purposes of this guidance "*premises*" means any place subject to the licensing provisions in Schedule 1 to the Local Government (Miscellaneous Provisions) (Northern Ireland) Order 1985, and includes all parts of the property to which persons have access in connection with the entertainment.

16.2 Whether the event is being held indoor or outdoor, the licensee and all other staff involved in crowd management should think about what may cause harm to event staff and visitors through crowd movement, dynamics and behaviour as people arrive, enter, move around a venue, exit and disperse.

16.3 They should assess crowd safety risks and identify hazards and take reasonable steps to eliminate or reduce the risks, giving due consideration to young people and people with disabilities or learning difficulties when deciding the appropriate action to take. Risk assessment is about identifying and taking proportionate measures to control the risks at the venue to ensure the safety of all those attending the event as well as those staff engaged in managing the event.

16.4 As an early priority, organisers should establish that they can manage a crowd safely for the type of event and at the venue chosen.

16.5 Even if the event is free or takes place wholly or partly on urban streets or open spaces, the same crowd management principles should still be applied to help make it as safe as possible.

Detailed guidance on this issue is set out in the following document:

- Health and Safety Executive's, 'Managing crowds safely – A guide for organisers at events and venues' - [Event safety - Crowd management \(hse.gov.uk\)](https://www.hse.gov.uk/event-safety-crowd-management/)

## 17. Control and Operation

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17.1 The licence holder, or a nominated responsible person:

- must be present and in charge at all times when the premises are open to the public for the purposes stated on the licence;
- shall be responsible for the maintenance of good order and decent behaviour in the premises and shall ensure any offenders are removed from the premises;
- must take all necessary measures to ensure compliance with the conditions of the licence and must not be engaged in any other duties which would interfere with the exercising of general supervision over the premises.

17.2 Nothing shall be displayed, acted, represented, recited or sung which is profane, or is indecent or likely to result in a breach of the peace.

17.3 No drunkenness nor any violent, quarrelsome, disorderly, riotous or improper conduct shall be permitted on the premises.

17.4 Music or noise arising from the entertainment provided on the premises shall not cause unreasonable disturbance or annoyance to the occupiers of other properties in the neighbourhood. The Council may require the level of sound of any music or other form of entertainment to be reduced to its satisfaction.

17.5 Loudspeakers broadcasting to the street or in the near vicinity of the premises are prohibited.

17.6 Where the entertainment is to be presented specially for children, or where entertainment is provided and attracts a substantial number of children, the additional conditions in **Appendix C** shall also apply.

17.7 The whole of the premises shall be kept clean, ventilated and free from any accumulation of dirt, rubbish or flammable materials. Yard areas shall be kept in a clean condition and free of rubbish and litter and a sufficient number of suitable receptacles with proper fitting covers shall be provided for the purpose of receiving rubbish, dust and refuse from the premises.

17.8 Sanitary accommodation and washing facilities provided in the premises shall be maintained in good working order, kept clean, ventilated, disinfected and supplied with all proper requisites.

17.9 Any removable fastenings permitted by the Council for securing exit doors when the public are not on the premises shall be removed before any member of the public is admitted to the premises and shall not be replaced while any member of the public is on the premises.

17.10 Temporary dressing and quick-change rooms shall not be provided except with the consent of the Council. The number of performers, including orchestral personnel, shall not exceed the number, which in the Council's opinion, is considered adequate for dressing and retiring room accommodation.

17.11 Cylinders for the storage of compressed air, oxygen, hydrogen, or other gases shall not be used except with the consent of the Council, and where permitted shall be used in strict accordance with any conditions imposed as considered necessary by the Council.

17.12 Where a Liquefied Petroleum Gas (LPG) supply is provided in the premises for whatever purpose, the whole of the installations, works, piping, appliances, cylinders, storage tanks, etc, shall be as recommended by the UKLPG (trade association for the LPG industry in the UK) and to the satisfaction of the Council.

17.13 No portable cooking and heating appliances shall be used except with the consent of the Council.

17.14 In relation to any special performance, contest or display if it is intended that the number of persons on the premises shall exceed the maximum stated in the licence then (...) month's notice of the event shall be given to the Council seeking the consent of the Council to agree the maximum number of persons permitted on the premises for that special performance, contest or display.

17.15 Doors to rooms from which the public are to be excluded must be kept locked at all times when the rooms are not occupied.

17.16 Additional licensing conditions for premises licensed for specific types of entertainment are contained in the following appendices:-

**Appendix:**

A – Outdoor entertainments.

B – Additional conditions for theatrical performances in theatres.

C – Additional conditions for indoor children's entertainment and where children may be accommodated on the premises.

D – Additional conditions for dance/music events.

E - Indoor boxing, cage-fighting, kick-boxing, snooker, darts and similar types of public contests, matches, exhibitions or displays.

F – Additional conditions for circuses.

## **18. Emergency Precautions/Conditions relating to public safety**

18.1 The premises shall comply with the requirements of the current British Standard Code of Practice as published by the British Standards Institution.

18.2 Firefighting equipment shall be provided by the licensee, kept in good working order and all fire extinguishers shall bear a stamp or label to indicate that they have been inspected and serviced by the suppliers of the equipment or other competent person within the past year (see Part A, section 10).

18.3 The licensee shall take all reasonable measures for securing adequate access to the premises for fire appliances, ambulances, police vehicles and other vehicles which may be required in an emergency.

18.4 The licensee shall maintain and keep all fittings of gas or electrical installations in proper, safe and unobstructed condition.



18.5 Adequate means of communication with emergency services shall be provided.

18.6 The licensee or the responsible person nominated by him and whose name is entered in the log book described at (g.) below shall be in charge of the premises to ensure that before the premises are opened to the public and during the time the entertainment is taking place that the safety arrangements are in order as follows:-

- (a) All exit doors are easily and immediately openable from the inside and all restrictive fastenings have been removed. All fire doors shall be maintained in the closed position.
- (b) All gangways, passageways and exit doors and all stairways are free from obstruction and no person, except persons employed in the premises, shall stand, sit or remain in any such means of escape.
- (c) All parts of the premises are adequately lighted, the illuminated exit door signs and emergency lighting in escape routes are operating effectively.
- (d) All items of firefighting equipment are in their recommended positions and are in working order.
- (e) All open heating appliances are of a fixed type and are properly guarded and no combustible materials are situated close to such appliances.
- (f) All staff, attendants, stewards, etc, are trained or instructed on the action to be taken in the event of an emergency, including the method of calling the emergency services and the fastest means of evacuating the premises in a safe and orderly manner. The NIFRS shall be called to any fire outbreak, however slight. Instructions to staff in the event of fire shall be permanently displayed on the premises, in the staff rooms or other such positions approved by the Council.
- (g) A log book in the form approved by the Council is to be kept and signed by the licensee or nominated person in charge that he has carried out the fire safety measures specified in (a) to (f) aforesaid.
- (h) Where closely seated audiences are involved an announcement shall be made at the start of each performance indicating the location of exits.

18.7 Carpets and other floor coverings must be secured and maintained so that they will not be likely to ruck or to be in any way a source of danger. Mats must be flush with the surface of the floor.

18.8 Coverings to seats shall be kept in a good state of repair at all times and any upholstered seating must be maintained in a flame-retarded condition and must meet, on a continuous basis, the pass criteria for:

- smouldering ignition source 0
- flaming ignition source 1; and
- crib ignition source 5

when tested in accordance with section 5 of BS 5852:2006.

18.9 All curtains, hangings, and decorations must be maintained in a flame-retarded condition and must be arranged so that they do not obstruct exits, fire safety signs or firefighting equipment.

18.10 Where the Council requires the licensee to provide facilities for the disabled on the premises:

- the facilities shall be maintained in accordance with relevant legislation;

- where the entertainment involves a closely seated audience the siting of wheelchair spaces shall be adjacent to escape routes and approved by the Council;
- staff shall be aware at all times of the presence and location of persons with a disability in the premises and shall in the case of fire or other emergency, if necessary with assistance from other persons, organise the evacuation of such persons from the premises.



### 19. Specimen Log Book

SPECIMEN LOG BOOK FOR LICENSING OF PLACES OF ENTERTAINMENT

PAGE 1

NAME OF PLACE:

LOCATION/ADDRESS:

NAME OF LICENSEE:

LICENCE NUMBER:

COLUMN 1	COLUMN 2
ENTERTAINMENT(S) PERMITTED	MAX NO. OF PERSONS PERMITTED TO USE PREMISES FOR ENTERTAINMENT(S) DETAILED IN COLUMN 1



This part of the log book to be used only to record

- (i) instructions and drill training in case of fire or other emergency
- (ii) actual incidences
- (iii) inspection by an authorised officer of the Council

**(i) RECORD OF INSTRUCTIONS AND DRILL TRAINING IN CASE OF FIRE OR OTHER EMERGENCY**

Dates of instruction	Times and duration of instruction or drill	Name of instructor	Names of persons receiving instruction or drill	Nature of instruction or drill	Comments	Signed (person-in-charge)

**(ii) INCIDENTS OF FIRE OR OTHER EMERGENCY**

Date of incident	Time of occurrence	Location of fire/emergency	Time and method of informing Fire & Rescue Service	Other action taken	Comments	Signed (person-in-charge)

**(iii) INSPECTION BY AN AUTHORISED OFFICER OF THE COUNCIL**

Date of inspection	Time of inspection	Comments	Name of authorised officer (use block letters)	Signed authorised officer

## Appendix A - Outdoor Events

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### A1. Health and Safety Requirements at an Outdoor Event

The licensee or a nominated responsible person shall, during the whole time that the place is open to the public, be in control of the place at all times and shall be assisted by sufficient staff of competent adult attendants who are readily identifiable and who will have been specifically instructed as to their duties, the main aim of which is the orderly evacuation of the place and the avoidance of panic in the event of an emergency.

The licensee shall put in place all reasonable measures to secure adequate access to any marquee(s) and associated site for the emergency services.

An Event Management Plan (EMP) specific to your event must be received by the Council **at least (...)** weeks before the event is due to take place.

The EMP must consist of the following detailed information:

- Site plan layout
- Crowd management provisions
- Means of escape provisions
- Stewarding details
- Special effects including information on the use of lasers
- Temporary structures
- Electrical systems being installed and testing arrangements
- First aid provisions
- Sanitary accommodation, including provisions for disabled people
- Traffic management arrangements
- Ticket sales for the event and details of outlets where they are being sold
- Noise Management Plan
- Firefighting equipment
- Waste disposal provisions
- General information, such as disabled provisions, access for the Emergency Services and site telephone number and event organisers lead contact numbers
- Risk Assessment
- Liaison with Emergency Services
- Evacuation procedure

Certification will be required confirming:

- The design of the stage and that it has been erected in accordance with the manufacturer's instructions
- Any fabric and linings are non-flammable or of durably flame retardant material
- The electrical installation is maintained and will prevent danger arising therefrom
- All fire extinguishers are properly maintained
- Any tiered seating has been erected in accordance with manufacturer's instructions
- A valid policy of insurance shall be held by the licensee throughout the period of the event insuring in respect of any liability, which may be incurred by him in respect of the death of or bodily injury to any person while in or about the site.

## **A2. Noise Control Procedure for an Outdoor Event**

### **Planning**

1. Appoint competent & experienced consultant.
2. Undertake noise propagation assessment for venue and background noise survey.
3. Identify appropriate noise limit at nearest noise sensitive premises for the event.
4. Event organiser should verify viability of event to ensure noise limits can be achieved.
5. Submit copy of noise assessment/background survey report to the Council for approval/agreement (minimum 8 weeks prior to event taking place).
6. Develop the Event Management Plan and Noise Management Plan to confirm:
  - Site layout plan indicating the stage and mixer desk position
  - PA system specification and design/layout
  - The agreed noise limit details
  - Details of sound test to take place prior to event
  - Arrangements for noise monitoring (and recording of measurements) during the event
  - Robust arrangements for dealing with complaints (and recording of complaint information/actions taken during the event)
  - Appropriate contact details for the event representative(s) including the specific noise management representative
7. Submit the Event Management Plan and Noise Management Plan prior to pre event meeting (minimum 6 weeks prior to event taking place).
8. Submit all neighbour notification details including draft of leaflet/extent of area to be notified (minimum 4 weeks prior to event taking place in order to meet delivery period).
9. Attend pre event meeting to discuss any issues.



**Prior to commencement of event**

10. Deliver neighbour notification leaflets/letters (minimum 21 days prior to event taking place).
11. Installation of the stage, mixer desk and PA system.
12. Notify the Building Control Service of the date and time of the sound test(s) (minimum 72 hours prior to event taking place). The Service will then liaise with the Environmental Protection Unit to ensure an officer is present for the test.
13. Undertake sound test to set the noise limit at the mixer desk to achieve the noise limit at the nearest noise sensitive premises.

**During the event**

14. Monitor noise regularly throughout the event at the agreed locations and record all measurements taken. Details of measurements to be communicated at agreed intervals to the control room.
15. Record details of any complaints received and corrective action taken.

**After the event**

16. Produce post event noise report to include:
  - Noise measurement details of sound test
  - Noise measurement details during the event performances
  - Complaint details and corrective actions taken
  - Detailed log of the entire event, including the details of all meetings and subsequent actions
17. Attend post event debrief meeting to discuss any issues arising.

**SUMMARY** – Minimum notification prior to event taking place

1. 8 weeks  
Submit copy of Noise Assessment/Background Survey report.
2. 6 weeks  
Submit the Event Management Plan and Noise Management Plan.
3. 4 weeks  
Submit all neighbour notification details including draft leaflet/letter and extent of area to be notified.
4. 21 days  
Deliver neighbour notification leaflets/letters.
5. 72 hours  
Notify the Building Control Service of the date and time of the sound test(s).

**NB:** Whilst the noise control procedure is primarily tailored for large major events, the Council accepts that these requirements may not always be applicable for small and medium sized events.

In this instance, the Council will endeavour to work with the relevant event organisers and agree appropriate measures and procedures to ensure the event is appropriately.

## Appendix B - Performances in theatres

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### Definitions

"stage" means that part of the premises which is constructed or arranged for the performance thereon of plays or entertainments of the like kind.

"separated stage" means a stage that is separated from the remainder of the premises and will include the provision of a safety curtain in the proscenium opening.

"open stage" means a stage that is not separated from the remainder of the premises.

"stage area" means in addition to the stage itself, any scene dock, workshop, stage basement, staff or orchestra room, store or other portion ancillary to the stage.

- B1 (a) The stage shall be so constructed as to minimise the risk of fire.
- (b) During a performance the under-stage area shall not be used for any purpose other than access by performers or movement of stage settings. Such settings shall not remain in the under-stage area if not immediately required.
- (c) The under-stage area shall be maintained at all times clear of all storage other than that mentioned in B1(c).
- (d) The public shall not be seated within the stage area during any performance except-
- with the consent of the Council; and
  - when there are no scenery or properties on the stage during the performance.
- B2 (a) The scenery and properties used on an open stage shall only be constructed of the following:-
1. non-combustible material; or
  2. inherently non-flammable material; or
  3. timber or timber based material with a surface spread of flame rating of not less than Class 1 as defined by British Standard 476; Part 7; or
  4. durably flame-retarded material; or
  5. rigid polyvinyl chloride sheeting which is classified as self-extinguishing when tested in accordance with British Standard 2782.
- (b) The ropes attached to counterweights of scenery shall be tested by a competent person appointed by the licensee at such intervals as may be necessary as a safeguard against failure.

- B3 (a) All scenery, properties, etc, other than those required for use in the current production or rehearsals of impending productions shall be stored in rooms specifically designated for such purposes.
- (b) Scenery, properties etc, shall be kept clear of gangways, exits, escape routes and final exits at all times. (see also B1(b))
- B4 (a) Any workshop or store shall be separated from the stage and from the remainder of the premises to the Council's satisfaction.
- (b) Shutters to openings for the passage of scenery between the stage and workshop shall be kept closed when the public is on the premises.
- B5 Firefighting equipment as required by the Council shall be kept ready for use on the stage area, dressing rooms and in the passages immediately approaching the dressing rooms and attention shall be directed to the equipment by notices fixed immediately above the equipment. (see also Part B, section 18.6 (d))
- B6 Explosives or highly flammable substances shall not be used except with the consent of the Council. Where performances incorporate these substances, a member of the Northern Ireland Fire and Rescue Service shall remain within the stage area during the whole time the public are on the premises. The responsibility for hiring such person rests with the licensee who shall also be responsible for paying for such service.
- B7 Where scenery, properties, etc, are used on stage at least one person shall have practical training in fire prevention and extinction. This person shall act as fireman and remain within the stage area during the whole of the time that the premises are open to the public. This person should also be easily be identified e.g. by uniform, or armband etc.
- B8 Corridors and staircases which form the means of escape from the stage area and the signs indicating the exits shall be adequately and continuously lit while the premises are in use.
- B9 On premises where a safety curtain is provided to the proscenium opening, a person trained to operate the safety curtain shall remain within the stage area during the whole of the time that the premises are in use for the presentation of a stage production and the public are on the premises.
- B10 (a) In the case of fire, the safety curtain must be lowered at once, and its descent once started

must not be stopped.

(b) Drop curtains shall not be lowered in place of the safety curtain.

(c) At the safety curtain release position there shall be displayed instructions on the operation of the safety curtain together with notices giving effect to the requirements at (a) and (b) above.

(d) The words "**SAFETY CURTAIN**" shall be painted conspicuously on the curtain so as to be clearly visible to the audience.

(e) The safety curtain shall be lowered and raised in the presence of each audience and the following notice printed on the programme of performance:

**'THE SAFETY CURTAIN WILL BE LOWERED AND RAISED IN THE PRESENCE OF EACH AUDIENCE'**

(f) In the event of the safety curtain being out of order, the licensee shall immediately notify the Council.

(g) Whenever the safety curtain is lowered, sufficient lights shall be immediately lighted in addition to the minimum lighting, to give effective general illumination in the auditorium.

(h) No scenery, properties or other apparatus shall at any time during the performance cross the plane of descent of the safety curtain, and shall not in any circumstances interfere with its descent.

(i) Except with the consent of the Council, scenery or properties shall not be placed on the auditorium side of the safety curtain.

B11 (a) Where there is a lantern light over the stage the moving parts shall be tested periodically to ensure that they are in efficient working order.

(b) There shall be no obstruction to the upward flow of air from the stage to the lantern light and the release lines and other controlling gear shall be kept readily accessible and secured in such a manner as to permit of their immediate release.

(c) Each test and a statement of the result thereof shall be recorded in the Log Book (see also Section B, section 18.6(g)).

(d) Release lines shall be indicated by a conspicuous notice which must not be obscured.

(e) Spare fusible links shall be kept in reserve.

B12 The conditions set out at Part B, 17.10, 17.11, 17.12 and 18.6(a), (c) and (f) along with those at Appendix B.2(b), B.3(a) and (b), B.4(b), B.5, B.6, B.7, B.10(e), (g), (h) and (i) and B.11(a) shall be exhibited in a conspicuous position so that all staff and performers may be acquainted with their contents.



**Appendix C - Additional conditions where children's entertainment is provided**

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- C1 The licensee shall comply with the provisions of section 30 of the Children and Young Persons Act (Northern Ireland) 1968.
- C2 Standing or sitting by children in the gangways is prohibited.
- C3 Whether children are accompanied or unaccompanied by parents or guardians:
- (a) When special performances or entertainments are given for children or are attended by large parties of children, the number of adult attendants on duty in the auditorium, hall or assembly enclosure, shall be on a scale of one attendant for every 50 children or part thereof, but shall be increased to one to every 20 children or part thereof if they are accommodated on a floor above or below ground level. As far as conditions permit it shall be arranged that such children shall sit in a group together.
  - (b) The attendants shall be stationed at appropriate places on the premises and be properly instructed as to their duties to enable them to take charge of and take all reasonable precautions for the safety of the children whilst on the premises and to control the movement of the children and other persons entering or leaving the premises.
  - (c) The attendants shall each wear a white armlet not less than 100mm wide with a badge thereon bearing either the words "Children's Attendant" or other suitable symbol.
  - (d) Unless accompanied by parents or guardians, or included in an organised party of children, children shall not be admitted to floors or tiers more than one storey above or below the level at which the final exits discharge and shall not be permitted to sit in the front row unless so accompanied.
  - (e) Where children are accommodated above or below ground level an attendant shall be stationed at each exit leading to an escape route.
  - (f) No child apparently under the age of 5 years shall be admitted to a children's entertainment unless during the whole time that such child is on the premises it is accompanied by an adult person bona fide in charge of the child; e.g., parent or guardian.
  - (g) The level of lighting in the auditorium shall be as great as possible consistent with the effective presentation of the entertainment.
- C4 If provision is made on the premises for accommodating parents or guardians of children separately from the children then:-

- (a) (i) the accommodation for children shall be at the level at which the final exits discharge. no circumstances shall the children's accommodation be on a floor above the level at which their parents or guardians are accommodated or at basement level;
- (ii) the part of the premises provided for children shall be adjacent to an external wall and shall have at least 2 exits one of which is a final exit or leads directly to a final exit; and
- (iii) if the accommodation for children adjoins the parents' or guardians' accommodation then there shall be a sufficient aggregate width of exits for both groups.
- (b) The number of staff in charge of the children shall be sufficient to evacuate them speedily in an emergency but in no case shall be less than those required by C.3(a) above.
- (c) Staff shall be specially instructed in their duties with regard to any order which may be given to evacuate the children (see also Part B, section 18.6(f)).
- (d) If the accommodation for children is on a different level to that of the parents or guardians then parents or guardians shall be advised that in the event of an emergency, their children will be evacuated by the licensee's supervising staff and in no circumstances shall the parents or guardians attempt to reach the children's accommodation.
- (e) The parents or guardians shall be advised of or shown the exit that the children will use and the place of safety to which they will be taken to be collected if it is necessary to evacuate the premises. Notices setting out the procedure to be followed in an emergency shall be prominently displayed and copies of the procedure notice shall be given to the parents or guardians for their information when they leave their children.
- C5 (a) The licensee shall comply with Article 138 of the Children (Northern Ireland) Order 1995 and the Children (Public Performances) Regulations (Northern Ireland) 1996.
- (b) Children shall not take part in any entertainment on the premises if the arrangements for the said children have not been approved by the Council. The licensee shall give at least (...) months' notice to the Council of any proposed entertainment involving children detailing numbers of children, sex, ages and their participation in the performance.

## Appendix D - Additional conditions for dance/music events

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- D1 If not provided as permanent features of the premises the following details shall be submitted to the Council no later than (...) weeks prior to the event taking place:-
- (a) proposed temporary platform or stage and associated safety barriers;
  - (b) stage lighting towers, control console platforms and associated safety barriers;
  - (c) special effects, e.g. laser and strobe lighting and any other special stage effects;
  - (d) proposals for televising or filming, including the number and positioning of vehicles, equipment and associated vehicles; and
  - (e) electrical supply arrangements for amplification and public address systems.
- D2 Unless the audience reaction to the performance warrants a higher level of supervision the number of attendants shall not be less than one for every 100 persons in a place without seating or one for every 200 persons for a closely seated audience of over 16 years of age (see also C3 and C4 of Appendix C).
- D3 When required by the Council, admission to the premises shall be by ticket only. If some tickets are for sale at the entrance then their number shall be limited to that which, together with the tickets sold in advance, does not exceed the maximum number stated in the licence (see also Part B, section 15.5).
- D4 To assist with the control of the audience the licensee shall ensure that the services of a competent compere are engaged and shall also ensure that the event starts promptly at the advertised time and finishes not less than one half hour before the time specified by the Council (see also Part B, section 16).
- D5 At least one fully equipped first aid point shall be located on the premises to the Council's satisfaction and such point(s) shall be sited remote from the stage and shall be clearly signposted.
- D6 (a) Noise levels shall be controlled in order not to cause annoyance to occupiers living close to the premises and to minimise the risk of hearing damage to the audience, performers and staff (see also Part B, section 17.4).
- (b) In certain cases the Council will require that an approved LAeq meter or sound level meter shall be provided at the console and shall be available for inspection at all times by the Council's authorised officers.

- D7 Notices shall be provided throughout the premises to indicate clearly the location of all available services and facilities such as toilets, refreshments, drinking water, first aid points etc, all of which shall be clearly signposted.
- D8 (a) A protective barrier of adequate strength and minimum height of 1200mm shall be provided between the stage and auditorium for a non-closely seated audience. A minimum distance of 3000 mm between stage and barrier shall be maintained throughout the duration of the performance.
- (b) Any barrier shall be formed in the shape of an arc the sides of which curve away from the audience. Suitable relief outlets at the ends of the barriers shall be provided for the audience. Such outlets shall be so arranged that they do not provide vantage points for viewing the concert with consequent obstruction of the outlets.
- D9 Dressing rooms shall be so sited in relation to the stage as to ensure that no member of the public can gain access to the backstage area and should, where possible, be at least 6000 mm away from stage and area occupied by the public (see also Part B, section 17.10).
- D10 (a) The permanent electrical installation of the premises shall, so long as members of the public are present, be in the charge of a competent electrician with sufficient knowledge of the installation to enable him to maintain and control it as may be necessary to keep it in safe working order.
- (b) Whenever extensive stage lighting and special effects are provided, a competent electrician shall remain within the stage area as long as the equipment is in use.
- D11 (a) No glass containers shall be permitted for the service of any drinks and no glass bottles shall be sold or distributed to any member of the audience.
- (b) The licensee shall ensure that every effort is made to prevent any member of the public from bringing glass containers onto the premises. Warnings to this effect shall be displayed in conspicuous positions outside the premises and at the entrance. Such warnings shall state, quite clearly, that failure to comply with this requirement shall result in admission being refused or, if entry has been gained, the eviction of the offender.

## Appendix E - Additional conditions for indoor sporting contests, exhibitions or displays

- E1 Before any public contest, match, exhibition or display takes place the licensee shall ensure that the Council is informed at least (...) months in advance of the number of contests and competitors taking part (see also Part B, section 17.14).
- E2 (a) All temporary seating shall be firmly fixed to the floor or to the base of stepped tiers or otherwise secured so that such seating cannot be displaced.  
(b) Rostra or other removable or demountable units, used to support temporary seating, shall be of rigid construction and be capable of supporting all persons who use it plus all other imposed and dead loads without deflection, movement or other danger to the public, staff and performers. Suitable means shall be made for interlocking adjacent rostra in position.  
(c) All temporary seating shall be constructed so as to present no danger to any person using it.  
(d) If temporary seating is provided on a platform supported by tubular scaffolding or similar demountable structures, the space beneath the platform on which the seats are placed shall not be used for any purpose and shall be maintained entirely clear of all storage and rubbish.
- E3 There shall be a clear space of 2500 mm around wrestling rings inside which the public shall not be permitted.
- E4 (a) Boxing and wrestling rings shall be in a position approved by the Council and the licensee and promoter shall satisfy themselves as to the strength and stability of the ring when installed.  
(b) A skirt shall be used around the base of the ring and shall be made of rigid, non-combustible material, to the Council's satisfaction.  
(c) At no time shall the public enter the confines of the ring.
- E5 (a) Dressing room and washing/showering facilities, including an adequate supply of hot and cold water, shall be supplied for use on the premises to the Council's satisfaction.  
(b) The firefighting equipment as required by the Council shall be provided in each dressing room and shall be ready for use.
- E6 A fully equipped first aid facility shall be provided on the premises to the Council's satisfaction.



## Appendix F - Additional conditions for circuses

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- F1 (a) Firefighting equipment as required by the Council shall be provided by the licensee and kept in a position as agreed by the Council. The equipment shall be maintained to the current safety standard and an annual test certificate will be required to be provided to the Council.
- (b) The tent material shall be of inherently flame resisting material and a certificate to this effect shall be supplied to the Council.
- F2 (a) The on-site installation of all electrical equipment shall be carried out by a competent person.
- (b) The complete electrical installation, including emergency lighting, illuminated emergency exit signs, generators, etc. shall be maintained in a safe condition and a valid electrical certificate of inspection and testing by a competent contractor shall be provided to the Council.
- F3 (a) There shall be readily available, to the satisfaction of the Council, a means to summon the emergency services to the site.
- (b) Access and egress for emergency service vehicles shall be maintained at all times, and car parking shall be controlled so as not to obstruct such vehicles.
- (c) There shall be suitable and sufficient exits to evacuate all persons in the event of an emergency. Exits should be “easy opening” to the satisfaction of the Council and shall be clearly indicated with an illuminated exit sign.
- F4 (a) A secondary lighting system should be available in the form of self-contained luminaires or an automatic start generator.
- (b) All secondary lighting systems (including exit and emergency exit signs) shall be the maintained type in accordance with the current British Standard.



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Chief Executive of each District Council  
Finance Officer of each District Council  
Other Interested Parties

Local Government and Housing  
Regulation Division  
Finance Branch  
Causeway Exchange  
1-7 Bedford Street  
BELFAST  
BT2 7EG  
Phone: 028 9082 3375  
email: [jeff.glass@communities-ni.gov.uk](mailto:jeff.glass@communities-ni.gov.uk)

Circular No. LG 09/2022

Our ref: CO1-21-2290

28 February 2022

Dear Sir/Madam

**DISTRICT COUNCIL (NORTHERN IRELAND) RATE STATISTICS 2022/2023**

I enclose for your information a copy of the District Council (Northern Ireland) Rate Statistics for 2022/2023.

Yours faithfully

**JEFF GLASS**

**Local Government and Housing Regulation**



## **DISTRICT COUNCIL (NI) RATE STATISTICS**

### **2022/2023**

These tables contain summary details of the estimates of income and expenditure received from the 11 district councils in relation to section 3 of the Local Government Finance Act (Northern Ireland) 2011.

Under the above legislation," in each financial year a council shall cause to be submitted to it estimates of the income and expenditure of the council during the next financial year..... and shall fix for the next financial year the amount estimated to be raised by means of rates made by the council.

## RATE STATISTICS 2022/2023

### CALCULATION OF DISTRICT COUNCIL RATES

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TABLE 1

District Council	Total Amount to be Raised	Rates Support Grant*	Balance Applied (+/-)	Amount To Be Raised (via District Rate, De-rating and Transferred Functions Grants)	Total Penny Product (GPRP)**	Balance Applied (+/-)	Council Specific Conversion Factor	Domestic District Rate
Antrim and Newtownabbey	55,026,324	0	-800,000	54,226,324	2,213,491	24.4981	0.015178	0.3718
Ards and North Down	57,333,400	0	0	57,333,400	2,356,490	24.3300	0.014870	0.3618
Armagh, Banbridge and Craigavon	78,974,108	-1,827,949	-600,000	76,546,159	2,892,821	26.4607	0.017368	0.4596
Belfast	178,932,441	0	0	178,932,441	6,577,312	27.2045	0.013094	0.3562
Causeway Coast and Glens	57,362,002	-2,124,324	-1,832,495	53,405,183	2,025,443	26.3672	0.015656	0.4128
Derry and Strabane	67,963,958	-2,267,945	-350,000	65,346,013	2,040,830	32.0193	0.016487	0.5279
Fermanagh and Omagh	41,374,815	-600,000	0	40,774,815	1,794,351	22.7240	0.016807	0.3819
Lisburn and Castlereagh	54,977,248	0	-316,270	54,660,978	2,327,254	23.4873	0.013937	0.3273
Mid and East Antrim	59,119,073	-1,986,538	-656,571	56,475,964	1,747,629	32.2655	Not used in calculation	0.4575
Mid Ulster	49,279,866	-3,403,043	0	45,876,823	1,880,890	24.3910	0.014368	0.3505
Newry, Mourne and Down	64,294,215	-1,473,859	0	62,820,356	2,567,939	24.4633	0.016949	0.4146
<b>NI TOTAL / NI AVERAGE ***</b>	764,637,450	-13,683,658	-4,555,336	746,398,456	28,424,450	26.2010		0.4020

\* The Rates Support Grant figures were input by councils in the absence of indicative budget figures for rate setting purposes.

\*\* Total Penny Product is the total of Estimated Rateable and De-rated Penny Products and Derived Penny Product for Transferred Functions Grant (Fixed amount).

\*\*\* The Average NI Non-Domestic District Rate and Average NI Domestic Rate have been calculated by dividing NI Total Rate for each sector by total number of councils.

\*\*\*\*Mid and East Antrim BC set its non-domestic and domestic district rates separately without the use of a conversion factor.

## RATE STATISTICS 2022/2023

### CALCULATION OF DISTRICT COUNCIL RATES (Continued)

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TABLE 2

District Council	Estimated Penny Product (Rateable)	Estimated Penny Product (De-rated)	Derived Penny Product (Transferred Functions Grant) (Fixed Amount)	Total Penny Product	Estimated De-rating Grant	Transferred Functions Grant	Rates Support Grant*	Estimated Amount to be raised via District Rates (Rateable)
<b>Antrim and Newtownabbey</b>	2,068,550	109,940	35,001	2,213,491	2,693,321	857,458	0	50,675,545
<b>Ards and North Down</b>	2,277,580	60,050	18,860	2,356,490	1,461,017	458,864	0	55,413,519
<b>Armagh, Banbridge and Craigavon</b>	2,710,690	159,430	22,701	2,892,821	4,218,629	600,684	1,827,949	71,726,846
<b>Belfast</b>	6,378,172	199,140	0	6,577,312	5,417,504	0	0	173,514,937
<b>Causeway Coast and Glens</b>	1,944,020	66,603	14,820	2,025,443	1,756,135	390,762	2,124,324	51,258,286
<b>Derry and Strabane</b>	1,944,770	84,387	11,673	2,040,830	2,702,013	373,761	2,267,945	62,270,239
<b>Fermanagh and Omagh</b>	1,675,410	93,850	25,091	1,794,351	2,132,647	570,168	600,000	38,072,000
<b>Lisburn and Castlereagh</b>	2,188,550	120,520	18,184	2,327,254	2,830,689	427,093	0	51,403,196
<b>Mid and East Antrim</b>	1,617,250	101,700	28,679	1,747,629	3,281,401	925,342	1,986,538	52,269,221
<b>Mid Ulster</b>	1,661,990	190,780	28,120	1,880,890	4,653,315	685,875	3,403,043	40,537,633
<b>Newry, Mourne and Down</b>	2,441,250	100,350	26,339	2,567,939	2,454,892	644,339	1,473,859	59,721,125
<b>NI TOTAL</b>	26,908,232	1,286,750	229,468	28,424,450	33,601,563	5,934,346	13,683,658	706,862,547

\* The Rates Support Grant figures were input by councils in the absence of indicative budget figures for rate setting purposes.



## RATE STATISTICS 2022/2023

### COMPARISON OF ESTIMATED NET EXPENDITURE ON SERVICES

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District Council	Net Expenditure 2021/2022	Net Expenditure 2022/2023	Actual Increase	% Change
Antrim and Newtownabbey	52,633,940	55,026,324	2,392,384	4.55%
Ards and North Down	54,466,900	57,333,400	2,866,500	5.26%
Armagh, Banbridge and Craigavon	77,164,238	78,974,108	1,809,870	2.35%
Belfast	170,633,271	178,932,441	8,299,170	4.86%
Causeway Coast and Glens	52,866,439	57,362,002	4,495,563	8.50%
Derry and Strabane	65,845,803	67,963,958	2,118,155	3.22%
Fermanagh and Omagh	40,153,700	41,374,815	1,221,115	3.04%
Lisburn and Castlereagh	53,164,668	54,977,248	1,812,580	3.41%
Mid and East Antrim	57,548,500	59,119,073	1,570,573	2.73%
Mid Ulster	47,456,366	49,279,866	1,823,500	3.84%
Newry, Mourne and Down	62,195,007	64,294,215	2,099,208	3.38%
<b>NI TOTAL</b>	<b>734,128,832</b>	<b>764,637,450</b>	<b>30,508,618</b>	<b>4.16%</b>

## RATE STATISTICS 2022/2023

### COMPARISON OF RATES FIXED FOR 2021/2022 AND 2022/2023

District Council	Non-Domestic Rate 2021/2022	Non- Domestic Rate 2022/2023	Non-Domestic Rate Pence Increase	Non-Domestic Rate % Increase	Domestic Rate 2021/2022	Domestic Rate 2022/2023	Domestic Rate Pence Increase	Domestic Rate % Increase
Antrim and Newtownabbey	24.0426	24.4981	0.4555	1.89%	0.3649	0.3718	0.0069	1.89%
Ards and North Down	23.6818	24.3300	0.6482	2.74%	0.3521	0.3618	0.0097	2.75%
Armagh, Banbridge and Craigavon	25.9483	26.4607	0.5124	1.97%	0.4507	0.4596	0.0089	1.97%
Belfast	26.4147	27.2045	0.7898	2.99%	0.3459	0.3562	0.0103	2.98%
Causeway Coast and Glens	25.4783	26.3672	0.8889	3.49%	0.3989	0.4128	0.0139	3.48%
Derry and Strabane	30.9537	32.0193	1.0656	3.44%	0.5103	0.5279	0.0176	3.45%
Fermanagh and Omagh	22.1225	22.7240	0.6015	2.72%	0.3718	0.3819	0.0101	2.72%
Lisburn and Castlereagh	22.6616	23.4873	0.8257	3.64%	0.3158	0.3273	0.0115	3.64%
Mid and East Antrim	31.1326	32.2655	1.1329	3.64%	0.4414	0.4575	0.0161	3.65%
Mid Ulster	23.4749	24.3910	0.9161	3.90%	0.3373	0.3505	0.0132	3.91%
Newry, Mourne and Down	23.9970	24.4633	0.4663	1.94%	0.4067	0.4146	0.0079	1.94%
<b>*NI AVERAGE</b>	25.4462	26.2010	0.7548	2.97%	0.3905	0.4020	0.0115	2.94%

*\*The Average NI Non-Domestic District Rate and Average NI Domestic Rate have been calculated by dividing NI Total Rate for each sector by total number of councils.*



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Chief Executive of each District Council  
Finance Officer of each District Council  
Other Interested Parties

Local Government and  
Housing Regulation Division  
Finance Branch  
Causeway Exchange  
1-7 Bedford Street  
BELFAST  
BT2 7EG

Phone: 028 9082 3346

email: [Anthony.carleton@communities-ni.gov.uk](mailto:Anthony.carleton@communities-ni.gov.uk)

Our ref: CO1-21-1742

28 March 2022

Dear Sir/Madam

**CIRCULAR LG 10/2022 - CONSOLIDATED COUNCILLOR ALLOWANCES CIRCULAR  
(UPDATED MARCH 2022)**

This Local Government Circular provides a consolidated record of all councillor allowances and supersedes Local Government Circular 07/2021.

This consolidated circular is required to determine and reflect an increase in maximum rates for Basic and Special Responsibility Allowance from 1 April 2021 and an increase in Dependants' Carers' Allowance from 1 April 2022.

All determinations are made by the Department under section 31 of the Local Government Finance Act (Northern Ireland) 2011 and the Local Government (Payments to Councillors) Regulations (Northern Ireland) 2019.

If you have any queries on the content of this circular please contact Jeff Glass on 028 9082 3375 or Ian Lewis on 028 9082 3506 or by email [jeff.glass@communities-ni.gov.uk](mailto:jeff.glass@communities-ni.gov.uk) or [ian.lewis@communities-ni.gov.uk](mailto:ian.lewis@communities-ni.gov.uk) .

Yours faithfully

**ANTHONY CARLETON**  
Director  
Local Government and Housing Regulation

## 1. Basic Allowance

- valid from 1 April 2021

<b>Basic Allowance</b>
Maximum £15,757 per annum ≠

≠ (The basic allowance includes an element for incidental and consumable costs incurred by councillors in their official capacity. In 2015/16 this element was £1,000 and each year this amount is uplifted in line with the increase applied to the basic allowance, therefore this element within the basic allowance is £1,109 from 1 April 2021.)

## 2. Dependants' Carers' Allowance

- valid from 1 April 2021 – 31 March 2022

The following table states the maximum rates for dependants' carers' allowance.

<b>Dependants' Carers' Allowance</b>	<b>Hourly Rate</b>	<b>Maximum monthly amount</b>
Standard	£8.91 <sup>^</sup>	£463
Specialist	£17.82	£927

<sup>^</sup>(Based on national living wage)

- valid from 1 April 2022

The following table states the maximum rates for dependants' carers' allowance.

<b>Dependants' Carers' Allowance</b>	<b>Hourly Rate</b>	<b>Maximum monthly amount</b>
Standard	£9.50 <sup>^</sup>	£494
Specialist	£19.00	£988

<sup>^</sup>(Based on national living wage)

### 3. Travel Allowances

– valid from 1 April 2017

The following table states the maximum rates for travel allowances.

Type of Vehicle	Rate per Mile	Rate per Mile Above 8,500 miles	Rate per Mile Above 10,000 miles
A pedal cycle	20.0p	20.0p	20.0p
A motor cycle (all engine capacities)	24.0p	24.0p	24.0p
A motor car of cylinder capacity exceeding 450cc but not exceeding 999cc	46.9p	13.7p	13.7p
A motor car of cylinder capacity exceeding 999cc but not exceeding 1,199cc	52.2p	14.4p	14.4p
A motor car of cylinder capacity exceeding 1,199cc	65.0p	16.4p	16.4p
An electric car	45.0p	45.0p	25.0p
Passenger rate (per passenger)	5.0p	5.0p	5.0p



#### 4. Special Responsibility Allowance

– valid from 1 April 2021

The following table states the maximum rate of Special Responsibility Allowance that a council may pay. The maximum rate is based on the size of the council population. Each council's population figures are updated each year by the Northern Ireland Statistics and Research Agency and it is the duty of each council to operate within the total maximum rate appropriate to its population band. For ease the maximum any councillor can receive, within each band, is also provided.

<b>Population of council</b>	<b>Maximum Special Responsibility Allowance £</b>	<b>Maximum (1/5<sup>th</sup>) for individual councillor £</b>
Less than 120,000	55,479	11,096
120,000 to 199,000	77,671	15,534
200,000 +	119,835	23,967

## 5. Subsistence Allowances

– valid from 1 April 2015

The following table states the maximum rates for subsistence; however, where councils believe it is necessary there is flexibility for councils to increase these rates by applying a suitable measure of price inflation.

PERIOD/MEAL	British Isles Rates £	London Rates £
<b>Accommodation allowance</b> - An absence involving an overnight stay, away from the normal place of residence. This rate does not include any meal allowance.	100.70	122.45
<b>Breakfast allowance</b> - (more than 4 hours away from the normal place of residence or, where approved by the council, a lesser period before 11 am)	11.50	11.50
<b>Lunch allowance</b> - (more than 4 hours away from the normal place of residence or, where approved by the council, a lesser period including the period between 12 noon and 2pm)	13.50	13.50
<b>Tea allowance</b> - (more than 4 hours away from the normal place of residence or, where approved by the council, a lesser period including the period between 3pm and 6pm)	4.70	4.70
<b>Evening meal allowance</b> - (more than 4 hours away from the normal place of residence or, where approved by the council, a lesser period ending after 7pm)	20.95	20.95