

April 3rd, 2023

**Notice Of Meeting**

You are requested to attend the Audit Committee Meeting to be held on **Tuesday, 4th April 2023** at **2:00 pm** in **Mourne Room Downshire Civic Centre Downpatrick** and via **Microsoft Teams**.

**Committee Membership (2022 - 2023)**

**Ms B Slevin Independent Chairperson**

**Councillor C Bowsie**

**Councillor J Brennan**

**Councillor P Byrne**

**Councillor L Devlin**

**Councillor C Enright**

**Councillor M Gibbons**

**Councillor G Kearns**

**Councillor A Lewis**

**Councillor D McAteer**

**Councillor D Murphy**

# Agenda

## 1.0 Apologies and Chairperson's remarks.

Cllr L Devlin

Cllr M Gibbons

Cllr C Enright - actively boycotting in protest over failure to follow up on energy savings

## 2.0 Declarations of Interest.

## 3.0 Action Sheet: Audit Committee Meeting - Wednesday 18 January 2023. (Attached)

 *3 - Action Sheet - Audit Cmte 18 January 2023.pdf*

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## 4.0 To agree date and start times for Audit Committee Meetings for 2023/24. (Attached)

 *4 - Dates and proposed start times for meetings in 2023-24.pdf*

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

 *5 - Audit Committee ToR and Timetable.pdf*

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 *5. Appendix 2 - Audit Committee Timetable - April 2023.pdf*

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 *5. Appendix 1- Audit Committee Terms of Reference - March 2023.pdf*

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## 6.0 Audit Committee Self Assessment. (Attached)

 *Rpt from B Slevin re Self Assessment.docx*

Page 15

 *NAO Self\_Assessment\_Checklist 2022-23.pdf*

Page 17

## 7.0 Annual Assessment of Chairpersons Performance. (Attached)

 *7 - Chairpersons Performance 2022-23.pdf*

Page 24

 *7 - Appendix 1 - Role of the AC Chair Checklist.pdf*

Page 26

## 8.0 Corporate Risk Register (including Corporate Services Directorate Risk Register).

|  |         |
|--|---------|
| <a href="#">8 - Corporate Risk Register March 2023.pdf</a>                     | Page 28 |
| <a href="#">8 - Appendix 1 - CRR Overview - March 2023.pdf</a>                 | Page 31 |
| <a href="#">8 - Appendix 2 - CRR - March 2023.pdf</a>                          | Page 32 |
| <a href="#">8 - Appendix 3 - CS Directorate Risk Register - March 2023.pdf</a> | Page 56 |

## 9.0 Prompt Payments. (Attached)

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| <a href="#">9 - Prompt Payments Report Q2 Q3.pdf</a> | Page 67 |
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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.

|  |              |
|--|--------------|
| <a href="#">EXEMPT 10 - Update on Audit Recommendations Mar 2023.pdf</a>       | Not included |
| <a href="#">EXEMPT 10 - Appendix 1 - Audit Follow Up Tracker Mar 2023.xlsx</a> | Not included |

## 11.0 Direct Awards Contract. (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.

|   |              |
|---|--------------|
| <a href="#">EXEMPT 11 - STA Cover Report Q4 2022-23.pdf</a> | Not included |
| <a href="#">EXEMPT 11 - Appendix 1 - STA-DAC Q4.pdf</a>     | Not included |

## 12.0 Contracts Mapping Work.

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.

|   |              |
|---|--------------|
| <a href="#">Procurement Action Plans - April 2023.pdf</a> | Not included |
|---|--------------|

|   |                     |
|---|---------------------|
| <a href="#"> <i>Copy of Appendix 1 - CS - CEO PAP- Finance.pdf</i></a>           | <i>Not included</i> |
| <a href="#"> <i>Copy of Appendix 1 - CS - CEO PAP- HR.pdf</i></a>                | <i>Not included</i> |
| <a href="#"> <i>Copy of Appendix 1 - CS - CEO PAP- IT.pdf</i></a>                | <i>Not included</i> |
| <a href="#"> <i>Copy of Appendix 1 - CS - CEO PAP-Corporate Planning.pdf</i></a> | <i>Not included</i> |
| <a href="#"> <i>Copy of Appendix 2 - AHC PAP- Community Engagement.pdf</i></a>   | <i>Not included</i> |
| <a href="#"> <i>Copy of Appendix 2 - AHC PAP- Leisure and Sport.pdf</i></a>      | <i>Not included</i> |
| <a href="#"> <i>Copy of Appendix 3 - ERT PAP - Tourism.pdf</i></a>               | <i>Not included</i> |
| <a href="#"> <i>Copy of Appendix 3 - ERT PAP - Building Control.pdf</i></a>      | <i>Not included</i> |
| <a href="#"> <i>Copy of Appendix 4 - SE PAP - Facilities.pdf</i></a>             | <i>Not included</i> |
| <a href="#"> <i>Appendix 4 Waste Mgt, Fleet, Refuse &amp; Cleansing.pdf</i></a>  | <i>Not included</i> |

### **13.0 Update re: Fraud & Whistleblowing (including National Fraud Initiative).**

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.

|  |                     |
|--|---------------------|
| <a href="#"> <i>13 - Fraud and Raising Concerns update new.pdf</i></a>            | <i>Not included</i> |
| <a href="#"> <i>13 - Appendix 1 - Fraud and Raising Concerns Register.pdf</i></a> | <i>Not included</i> |

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

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### **14.0 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.

|   |                     |
|---|---------------------|
| <a href="#"> <i>EXEMPT 14 - 202223 NMDDC Audit Committee Summary report - April 2023 (1).pdf</i></a> | <i>Not included</i> |
|---|---------------------|

### **15.0 2022/23 Annual Assurance 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 15 - 2022.23 NMDDC Annual Assurance Report - Final.pdf**

**Not included**

## **16.0 2021/22 Follow up work. (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 16 - 2022.23 NMDDC Follow up - Final report.pdf**

**Not included**

## **17.0 Community Centre 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 17 - 2022.23 NMDDC Community centres - compliance with building checklists.pdf**

**Not included**

## **18.0 Labour Relations Agency. (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 - 2022.23 NMDDC Labour Market Partnerships.pdf**

**Not included**

## **19.0 Review of Performance Measures. (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 - 2022.23 NMDDC Review of selected performance measures in CP 2021-23.pdf**

**Not included**

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### **Performance**

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## **20.0 Performance Improvement Objectives 2023/24. (Attached)**

 **20 - Cover Report Performance Improvement Objectives 2023-24.pdf**

**Page 70**

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## *Circulars*

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### **21.0 Circular LG 07/2023 - Accounts Direction to District Councils 2022-23. (Attached)**

### **22.0 Circular LG 03/2023 - Consolidated Councillor Allowances Circular. (Attached)**

# Invitees

- Cllr Terry Andrews  
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- Ms Karen Beattie  
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- Cllr Callum Bowsie  
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- Mr Stephen Brannigan  
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- Cllr Jim Brennan  
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- Cllr Robert Burgess  
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- Cllr Pete Byrne  
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- Mr Gerard Byrne  
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- Mr Andrew Cassells  
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- Cllr William Clarke  
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- Mrs Linda Cummins  
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- Cllr Dermot Curran  
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- Cllr Laura Devlin  
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- Cllr Cadogan Enright  
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- Cllr Aoife Finnegan  
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- Cllr Hugh Gallagher  
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- Cllr Mark Gibbons  
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- Christine Hagan  
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- Cllr Oonagh Hanlon  
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- Cllr Glyn Hanna  
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- Cllr Valerie Harte  
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- Cllr Roisin Howell  
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- Ms Catherine Hughes  
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- Cllr Jonathan Jackson  
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- Cllr Geraldine Kearns  
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- Mrs Josephine Kelly  
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- Mrs Sheila Kieran  
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- Cllr Cathal King  
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- Cllr Mickey Larkin  
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- Cllr David Lee-Surginor  
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- Cllr Alan Lewis  
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- Mr Michael Lipsett  
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- Cllr Oonagh Magennis  
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- Mr Conor Mallon  
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- Cllr Gavin Malone  
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- Colette McAteer  
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- Cllr Declan McAteer  
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- Cllr Leeanne McEvoy  
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- Cllr Harold McKee  
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- Patricia McKeever  
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- Cllr Karen McKevitt  
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- Deborah McKim  
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Cllr Andrew McMurray  
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Cllr Declan Murphy  
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Cllr Barra Ó Muirí  
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Cllr Gerry O'Hare  
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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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Mrs Marie Ward  
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**ACTION SHEET**  
**AUDIT COMMITTEE MEETING**  
**WEDNESDAY 18 JANUARY 2023**

**Actions: arising from Audit Committee Meeting – 18 January 2023**

| Minute Ref         | Subject   | Decision  | Lead Officer | Actions taken/<br>Progress to date | Remov<br>e from<br>Action<br>Sheet<br>Y/N |
|--------------------|---|---|--------------|------------------------------------|---|
| <b>AC/003/2023</b> | ACTION SHEET:<br>AUDIT COMMITTEE MTG<br>22 SEPTEMBER 2022 | To note the Action Sheet<br>for Audit Committee<br>Meeting held on Thursday<br>22 September 2022  | B Slevin     | Noted                              | <b>Y</b>                                  |
| <b>AC/004/2023</b> | CORPORATE RISK<br>REGISTER                                | a) To approve the updates<br>to the Corporate Risk<br>Register highlighted<br>within the summary at<br>Appendix 1. (Full<br>Corporate Risk Register<br>can be evidenced at<br>Appendix 2) | G Byrne      | CRR Approved                       | <b>Y</b>                                  |

|                    |   |   |           |              |   |
|--------------------|---|---|-----------|--------------|---|
|                    |   | b) To note the revised ERT Directorate Risk Register at Appendix 3.   |           | ERT RR Noted | Y |
| <b>AC/005/2023</b> | PROMPT PAYMENT STATISTICS   | To note the Quarter 2 and Quarter 3 2022-23 Prompt Payment statistics.                                      | G Byrne   | Noted        | Y |
| <b>AC/006/2023</b> | MEMBERS' REGISTER OF INTERESTS  | To note the 6 month review Report on Members' Register of Interests.  | J Kelly   | Noted        | Y |
| <b>AC/007/2023</b> | ANNUAL AUDIT LETTER 2021-22   | To note the NIAO Annual Audit Letter 2021-22.   | K Costley | Noted        | Y |
| <b>AC/008/2023</b> | (EXEMPT)<br>FINAL - NIAO<br>REPORT TO THOSE<br>CHARGED WITH<br>GOVERNANCE | To note the Final Report to Those Charged with Governance.  | K Costley | Noted        | Y |
| <b>AC/009/2023</b> | (EXEMPT)<br>NIAO AUDIT FEES   | To note NIAO letter dated 05 December 2022 regarding changes to audit approach for the 2022-23 audit cycle. | K Costley | Noted        | Y |

|                    |  |  |              |       |          |
|--------------------|--|--|--------------|-------|----------|
| <b>AC/010/2023</b> | (EXEMPT)<br>UPDATE<br>RE:AUDIT<br>RECOMMENDATIONS                      | To note the update in relation to legacy audit recommendations.  | E Cosgrove   | Noted | <b>Y</b> |
| <b>AC/011/2023</b> | (EXEMPT)<br>DIRECT AWARD<br>CONTRACTS                                  | To note the Quarter 3 update in relation to Single Tender Actions.   | S McConville | Noted | <b>Y</b> |
| <b>AC/012/2023</b> | (EXEMPT)<br>FRAUD &<br>WHISTLEBLOWING                                  | a) To note the update in relation to Fraud and Raising Concerns cases which have been detailed at Appendix 1.<br><br>b) To note the progress on actions arising from the NIAO Internal Fraud Risk Self Assessment. | G Byrne      | Noted | <b>Y</b> |
| <b>AC/013/2023</b> | (EXEMPT)<br>ASM INTERNAL AUDIT<br>SUMMARY REPORT                       | To note the ASM Internal Audit Summary Report.   | C Hagan      | Noted | <b>Y</b> |
| <b>AC/014/2023</b> | (EXEMPT)<br>ASM INTERNAL<br>AUDIT<br>FINAL REPORT RE:<br>CASH HANDLING | To note ASM Internal Audit Fieldwork 2022/23- Report dated 08 December 2022 regarding Cash Handling.   | C Hagan      | Noted | <b>Y</b> |

|                    |  |   |          |       |   |
|--------------------|--|---|----------|-------|---|
| <b>AC/015/2023</b> | (EXEMPT)<br>ASM INTERNAL AUDIT<br>FINAL REPORT RE:<br>PROJECT GOVERNANCE | To note ASM Internal<br>Audit - Fieldwork<br>2022/23- Report dated 10<br>January 2023 regarding<br>Project Governance.  | C Hagan  | Noted | Y |
| <b>AC/016/2023</b> | (EXEMPT)<br>ASM INTERNAL AUDIT<br>RE: PAYROLL                            | To note ASM Internal<br>Audit -Audit Fieldwork<br>2022/23 – Report dated<br>09 December 2022<br>regarding Review of<br>Payroll and Travel and<br>Subsistence. | C Hagan  | Noted | Y |
| <b>AC/017/2023</b> | (EXEMPT)<br>ASM INTERNAL AUDIT<br>RE: WASTE<br>MANAGEMENT                | To note ASM Internal<br>Audit Audit Fieldwork<br>2022/23 – Report dated 13<br>January 2023 regarding<br>Waste Management.                                     | C Hagan  | Noted | Y |
| <b>AC/018/2023</b> | (EXEMPT)<br>ASM INTERNAL AUDIT<br>REVIEW OF DFC<br>FUNDING               | To note ASM Internal Audit<br>- Audit Fieldwork 2022/23 –<br>Report dated 19 December<br>2023 regarding Review of<br>DfC Funding.                             | C Hagan  | Noted | Y |
| <b>AC/019/2023</b> | (EXEMPT)<br>IMPROVEMENT AUDIT<br>AND ASSESSMENT 2022-<br>2023            | a) To note correspondence 29<br>November 2022 from NIAO<br>regarding Newry Mourne &<br>Down District Council<br>Improvement Audit and                         | C Hughes | Noted | Y |



|                    |  |   |          |  |          |
|--------------------|--|---|----------|--|----------|
|                    |  | <p>Assessment – Final Audit and Assessment Report 2022-23.</p> <p>b) The Director of ERT provide a report at the Audit Committee Meeting regarding narrative statistics for Planning.</p>   | C Mallon | <p>Director of ERT to table a report on year end planning statistics at the July 2023 Meeting. The Director will also brief Members on the Dfl led project 'Planning Improvement Programme' which aims to improve planning performance across NI and the progress to date.</p> | <b>N</b> |
| <b>AC/020/2023</b> | MID YEAR ASSESSMENT OF PERFORMANCE               | <p>To note Report dated 18 January 2023 from Mr G Byrne Assistant Director of Finance, Finance &amp; Performance, regarding Mid Year Assessment – Performance Improvement Plan 2022-23.</p> | C Hughes | Noted  | <b>Y</b> |
| <b>AC/024/2023</b> | DATE FOR NEXT MEETING<br>AUDIT COMMITTEE MEETING | <p>To hold an Audit Committee Meeting early April 2022 and a further Meeting of the Audit Committee be held after the Local</p>   | B Slevin | Approved   | <b>Y</b> |

|  |  |                       |  |  |  |
|--|--|-----------------------|--|--|--|
|  |  | Government Elections. |  |  |  |
|  |  | *****                 |  |  |  |

## Dates and proposed start times for Audit Committee meetings in 2023-24

| Date                       | Time | Location                          |
|----------------------------|------|-----------------------------------|
| Tuesday 04 July 2023       | 2pm  | Downshire Civic Centre / MS Teams |
| Thursday 21 September 2023 | 2pm  | Downshire Civic Centre / MS Teams |
| Tuesday 09 January 2023    | 2pm  | Downshire Civic Centre / MS Teams |
| Tuesday 09 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>                             | 4 April 2023  |
| <b>Subject:</b>                                     | Audit Committee ToR and timetable for year ahead          |
| <b>Reporting Officer<br/>(Including Job Title):</b> | Gerard Byrne: Assistant Director of Finance & Performance |
| <b>Contact Officer<br/>(Including Job Title):</b>   | Gerard Byrne: Assistant Director of Finance & Performance |

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

|                     |                          |          |                        |                          |
|---------------------|--------------------------|----------|------------------------|--------------------------|
| <b>For decision</b> | <input type="checkbox"/> | <b>X</b> | <b>For noting only</b> | <input type="checkbox"/> |
|---------------------|--------------------------|----------|------------------------|--------------------------|

|            |  |
|------------|--|
| <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 amended to reflect the latest CIPFA Best Practice document ( <i>Audit Committees, Practical Guidance for Local Authorities and Police – 2022 Edition</i> ) – see Appendix 1.  |
| 2.2        | The Audit Committee timetable for the 2023/24 year is detailed 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.<br><br>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>   |                                     |
|            | <p>Appendix 1 – Audit Committee Terms of Reference</p> <p>Appendix 2 – Audit Committee timetable 2023-24</p>  |                                     |
| <b>8.0</b> | <b>Background Documents</b>   |                                     |
|            | None  |                                     |

**AUDIT COMMITTEE TIMETABLE 2023/24**

**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   |
|---|--|
| <p><b>April</b></p> <p><b>Pre-meeting:</b></p> <ul style="list-style-type: none"> <li>-Chairperson</li> <li>-Members</li> <li>-Internal Audit</li> <li>-External Audit</li> </ul>         | <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> |
| <p><b>July</b></p> <p><b>Pre-meeting:</b></p> <ul style="list-style-type: none"> <li>-Chairman</li> <li>-Members</li> </ul>   | <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>• NMDDC Performance Improvement Plan</li> <li>• Update of Members’ interests</li> </ul>   |
| <p><b>September</b></p> <p><b>Pre-meeting:</b></p> <ul style="list-style-type: none"> <li>- Chairperson</li> <li>- Members</li> <li>- Internal Audit</li> <li>- External Audit</li> </ul> | <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>   |

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|--|--|
| <p><b>January</b></p> <p><b>Pre-meeting:</b><br/><b>-Chairperson</b><br/><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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## **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 committee’s purpose is to provide an independent and high-level focus on the adequacy of governance, risk and control arrangements. Its role in ensuring there is sufficient assurance over governance, risk and control gives greater confidence to all those charged with governance that those arrangements are effective.
3. The committee has oversight of both internal and external audit, together with the financial and governance reports, helping to ensure there are adequate arrangements in place for both internal challenge and public accountability.

### **Responsibilities**

#### *Governance, risk and control*

4. To review the council’s corporate governance arrangements against the good governance framework and consider annual governance reports and assurances.
5. 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.
6. To consider the council’s arrangements to secure value for money and review assurances and assessments on the effectiveness of these arrangements.
7. To consider the council’s framework of assurance and ensure that it adequately addresses the risks and priorities of the council.
8. To monitor the effective development and operation of risk management in the council.
9. 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.
10. To consider reports on the effectiveness of internal controls and monitor the implementation of agreed actions.
11. To monitor the council’s fraud and whistleblowing policies and monitor the implementation of these policies, including the counter-fraud strategy, actions and resources.
12. To be advised of the Council’s structures, processes, systems and related arrangements for performance management.

#### *Internal audit*

13. To review proposals made in relation to the appointment of external providers of internal audit services and to make recommendations.
14. 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.



15. To approve significant interim changes to the risk-based internal audit plan and resource requirements.
16. To make appropriate enquiries of both management and the Internal Auditor to determine if there are any inappropriate scope or resource limitations.
17. To consider the Internal Audit annual report.
18. To consider summaries of all internal audit reports on the Internal Audit plan.

#### *External audit*

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

#### *Financial reporting*

21. 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**

22. 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**

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

#### **Chairperson**

24. 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**

25. 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.
26. All meetings of the Committee will be governed by the Councils Standing Orders and the Northern Ireland Code of Conduct for Councillors.
27. The Chief Executive, Director of Corporate Services and the Assistant Director of Finance and Performance 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**

28. 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.
29. 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.
30. 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**

31. 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.

|   |  |
|---|--|
| <b>Report to:</b>                                   | Audit Committee                                      |
| <b>Date of Meeting:</b>                             | Thursday 04 April 2023                               |
| <b>Subject:</b>                                     | Audit Committee Self Assessment 2022/2023            |
| <b>Reporting Officer<br/>(Including Job Title):</b> | Ms Brona Slevin Independent Chair of Audit Committee |
| <b>Contact Officer<br/>(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 March 2023.</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> |
| <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:</b> The role and scope of the Committee</p> <p>(c) the Audit Committee's Terms of Reference is approved by the Audit Committee annually. This was completed in 28 April 2022.</p> <p><b>Principle 5:</b> Communication and Reporting</p> <p>(d) Officers continue to strive to ensure Internal Audit reports are completed and reported on a timely basis to the Audit Committee.</p> <p>(e) Officers continue 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 2022/23   |

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<br><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<br><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<br><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<br><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<br><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<br><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<br><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<br/><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<br/><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<br/><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<br/><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<br/><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<br><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<br><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<br><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<br><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<br><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<br><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<br><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

| 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<br><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<br><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<br><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<br><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<br><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<br><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<br/><input type="radio"/> No</p> | <p>Cyber Security is now on the Corporate Risk Register.</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<br/><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<br/><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<br/><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  |
|---|--|---|
| <p>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?</p>   | <p><input checked="" type="radio"/> Yes<br/><input type="radio"/> No</p> | <p>Minutes are reported to Full Council. Internal Audit and External Audit have access to all minutes.</p>  |
| <p>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?</p>  | <p><input checked="" type="radio"/> Yes<br/><input type="radio"/> No</p> | <p>Not applicable to Local Authorities.</p>   |
| <p>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?</p> | <p><input checked="" type="radio"/> Yes<br/><input type="radio"/> No</p> | <p>An Annual Report is prepared by the Independent Chair for Audit Committee approval and is timed to support the Governance Statement.</p>                           |
| <p>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)?</p>   | <p><input checked="" type="radio"/> Yes<br/><input type="radio"/> No</p> | <p>The Independent Chair meets regularly with all the key attendees and Committee members meet bilaterally with Internal Audit and NIAO without officers present.</p> |
| <p>34 Where appropriate, do we communicate our work across the departmental group?</p>  | <p><input type="radio"/> Yes<br/><input type="radio"/> No</p>            | <p>Not applicable to Local Authorities.</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>- 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>                             | 4 April 2023  |
| <b>Subject:</b>                                     | Assessment of Chairperson's Performance                   |
| <b>Reporting Officer<br/>(Including Job Title):</b> | Gerard Byrne: Assistant Director of Finance & Performance |
| <b>Contact Officer<br/>(Including Job Title):</b>   | Gerard Byrne: Assistant Director of Finance & Performance |

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 Murphy and the Assistant Director of Finance and Performance reviewed the performance of the Chairperson using the agreed National Audit Office best practice checklist on the 28 March 2023.</p> <p>The Assistant Director of Finance &amp; Performance 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>   |                 |   |

|                   |   |
|-------------------|---|
| <p>5.2</p>        | <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> |
| <p>5.3</p>        | <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><br/>Consultation not required.</p>                          |
| <p><b>6.0</b></p> | <p><b>Due regard to Rural Needs (please tick all that apply)</b></p>  |
| <p>6.1</p>        | <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>  |
| <p><b>7.0</b></p> | <p><b>Appendices</b></p>  |
|                   | <p>Appendix 1: Completed Checklist (approved by Cllr Declan Murphy and Gerard Byrne)</p>  |
| <p><b>8.0</b></p> | <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                                 |
|---|-------------------------------------|--------------------------|-------------------------------------|
| 1. 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"/>            |
| 2. 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"/>            |
| 3. 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>  |                                     |                          |                                     |
| 4. 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"/>            |
| 5. 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"/> |
| 6. 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>   |                                     |                          |                                     |
| 7. 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"/>            |
| 8. 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"/>            |
| 9. 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"/>            |
| 10. Does the Chair present an Annual Report to the committee?   | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/>            |
| 11. 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**

12. 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>                             | 4 April 2023   |
| <b>Subject:</b>                                     | Corporate Risk Register                                    |
| <b>Reporting Officer<br/>(Including Job Title):</b> | Josephine Kelly – Director of Corporate Services           |
| <b>Contact Officer<br/>(Including Job Title):</b>   | Gerard Byrne – Assistant Director of Finance & Performance |

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 28 March 2023. Quarter three Assurance Statements for 2022-23 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 11 corporate risks, 7 of which are red, 3 of which are Amber and 1 of which is a yellow level risk. 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 2023.</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.</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> <p>No further risk factors considered for this quarters update.</p>   |   |                 |  |
| 2.2        | <p><b>Directorate Risk Register – Corporate Services</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 Corporate Services (CS) Directorate is attached at Appendix 3. The Risk Register was reviewed and updated at a Departmental Team meeting on the 8 March 2023.</p>   |   |                 |  |
| 2.3        | Within the CS Directorate Risk Register, six risks have been identified, one of which is red, four of which are amber and one yellow. These risks cover a range of service areas and functions.  |   |                 |  |



|            |  |
|------------|--|
|            | The CS Risk Register will be updated on a regular basis and considered by the Audit Committee annually.  |
| <b>3.0</b> | <b>Recommendations</b>   |
| 3.1        | 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.<br><br>To note the revised Corporate Services Directorate Risk Register at Appendix 3.  |
| <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        | <b><i>General proposal with no clearly defined impact upon, or connection to, specific equality and good relations outcomes</i></b><br><br>It is not anticipated the proposal will have an adverse impact upon equality of opportunity or good relations <input checked="" type="checkbox"/>   |
| 5.2        | <b><i>Proposal relates to the introduction of a strategy, policy initiative or practice and / or sensitive or contentious decision</i></b><br><br>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/><br><br>If yes, please complete the following:<br><br>The policy (strategy, policy initiative or practice and / or decision) has been equality screened <input type="checkbox"/><br><br>The policy (strategy, policy initiative or practice and / or decision) will be subject to equality screening prior to implementation <input type="checkbox"/> |
| 5.3        | <b><i>Proposal initiating consultation</i></b><br><br>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"/><br><br>Consultation period will be 12 weeks <input type="checkbox"/><br><br>Consultation period will be less than 12 weeks (rationale to be provided) <input type="checkbox"/><br><br><i>Rationale:</i><br>Consultation not required.                           |
| <b>6.0</b> | <b>Due regard to Rural Needs (please tick all that apply)</b>  |

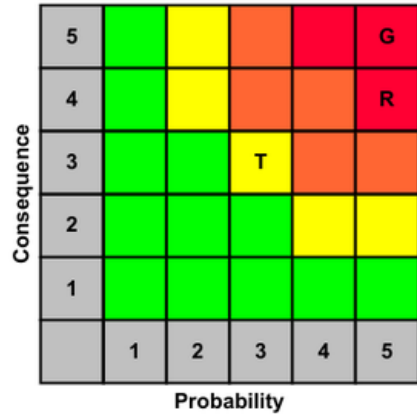
|            |  |
|------------|--|
| 6.1        | <p>Proposal relates to developing, adopting, implementing or revising a policy / strategy / plan / designing and/or delivering a public service</p> <p>Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p> <p>If yes, please complete 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 – March 2023</p> <p>Appendix 2: Corporate Risk Register – March 2023</p> <p>Appendix 3: Corporate Service Directorate Risk Register – March 2023</p>  |
| <b>8.0</b> | <b>Background Documents</b>  |
|            | None   |

## NMDDC Corporate Risk Register Cover Sheet - March 2023

| Risk | Description  | Risk Owner(s)                      | Gross Risk Score | Jan-23              | Mar-23                      |   | Comments   |
|------|--|------------------------------------|------------------|---------------------|-----------------------------|---|--|
|      |  |                                    |                  | Residual Risk Score | Revised Residual Risk Score |   |  |
| CR01 | Failure to develop and deliver the capital investment programme for the District   | SMT<br>Caolain Boyd                | 25               | 20                  | 20                          | ↔ | Risk score remains unchanged. Actions have been updated.   |
| CR02 | Non-compliance with legislative requirements, including procurement  | Josephine Kelly<br>Andrew Cassells | 25               | 20                  | 20                          | ↔ | Risk score remains unchanged. Actions have been updated. New action in relation to a completed external review. A revised Facilities Management Working Group is being established under the Chairmanship of the Directors of Corporate Services and Sustainability & Environment. Draft Terms of reference are currently under consideration. |
| CR03 | Failure to effectively manage waste  | Andrew Cassells                    | 25               | 20                  | 20                          | ↔ | Residual risk remains unchanged - actions have been updated  |
| CR04 | Failure to provide robust and timely planning decisions  | Conor Mallon                       | 25               | 16                  | 16                          | ↔ | Residual risk remains unchanged - actions have been updated  |
| CR05 | Failure to adequately plan for the future and deliver efficiencies and improvement   | Marie Ward<br>Josephine Kelly      | 20               | 16                  | 16                          | ↔ | Residual risk remains unchanged - actions have been updated  |
| CR06 | Failure to adequately react to a major incident which would minimise any negative consequences/impact  | Marie Ward<br>Caolain Boyd         | 25               | 8                   | 8                           | ↔ | Residual risk remains unchanged - actions have been updated  |
| 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<br>Conor Mallon         | 20               | 20                  | 20                          | ↔ | Risk Score remains unchanged and all actions now updated.  |
| CR08 | Failure to adequately manage sickness absence resulting in delays and an inability to deliver Council services.  | Senior<br>Management<br>Team       | 25               | 15                  | 15                          | ↔ | Risk Score remains unchanged and all actions now updated.  |
| CR09 | Risk that Council does not adequately react to the Economic Shocks facing 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<br>Management<br>Team       | 25               | 20                  |                             | ↔ | Risk score remains unchanged and actions now updated - new action in relation to monitoring market conditions and meeting with our Treasury Advisors in relation to our current Banking and Money Market arrangements and their exposure to a financial crisis.  |
| CR10 | Failure to effectively plan for and manage a cyber security attack.  | Josephine Kelly<br>Gavin Ringland  | 25               | 20                  | 20                          | ↔ | Residual risk remain unchanged - actions and controls updated.   |
| CR11 | Risk of Industrial Action leading to the failure to have necessary staffing structures and resourcing to deliver services.   | Senior<br>Management<br>Team       | 25               | 15                  | 20                          | ↑ | Risk score increased - TU now in dispute- engagement underway with LRA.  |

# 1. Corporate Risk Register NMDDC

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



**Risk Categories** Buildings / Engineering / Environment  
Business operational/reputational

**Risk Description** Failure to adequately resource the capital programme  
Failure to effectively manage capital contracts  
Capital programme does not sufficiently deliver on the Corporate Objectives

**Potential Root Cause** 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  
Impact of the pay award and inflation on the financial viability of the capital plan going forward

**Consequence** Impact on service delivery  
Financial impact - inflationary pressures / pay demands  
Legal challenge / Negative PR  
Impact on quality/cost of projects  
Future reduction on the capital budget  
Reputational damage

**Risk Owners** Caolain Boyd; Senior Management Team

**Gross/Inherent Risk** Red 25 **Last Review** 3/28/2023

**Residual Risk** Red 20 **Next Review** 6/28/2023

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

|   | Action Plan Description  | Action Plan Type | Action Plan Owner | Action Plan Action Date | Comments  |
|---|--|------------------|-------------------|-------------------------|---|
| 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      | 6/30/2023               | AD of finance received information for each project via detailed project plans/business cases. AD of finance will also met with Councils treasury advisor to discuss options for financing the capital programme over the next 8 years. Work is continuing on estimating the MRP/Loan payments over the life of our capital programme. New Capital Plan Procedure to go to SP&R in June 2023. |
| 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      | Caolain Boyd      | 4/1/2023                | 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      | 4/1/2023                | Council has already availed of a number of construction frameworks and other options are being actively pursued.  |



**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

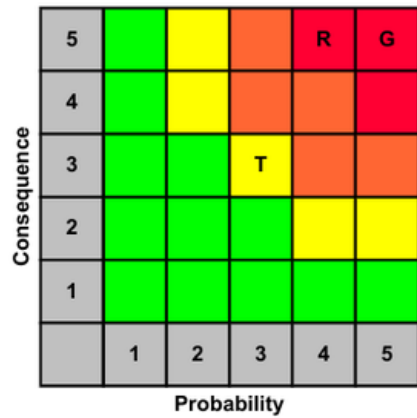
**Action Plans**

|  | Action Plan Description  | Action Plan Type | Action Plan Owner | Action Plan Action Date | Comments   |
|--|--|------------------|-------------------|-------------------------|--|
| 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    | 4/30/2023               | <p>The current level of risk regarding fire risks in our buildings is considered Low. The Fire Risk Management Policy has been approved and effective since 12th March 2020, however the associated Fire Safety Management Plan requires progressing. The priority is to seek agreement on a Fire Safety Management Plan which will guide future control of this risk.</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.</p> |

|  |  |             |                                   |           |   |
|--|--|-------------|-----------------------------------|-----------|---|
| Advisory Internal Audit Review - Health and Safety | Implement the 30 recommendations arising from the internal audit review of Health and Safety   | In Progress | Josephine Kelly<br>Kevin Scullion | 5/1/2023  | An external review (by AECOM) has been undertaken and a draft Report was issued in February 2023. A revised Facilities Management Working Group is being established under the Chairmanship of the Directors of Corporate Services and Sustainability & Environment. Draft Terms of reference are currently under consideration. Where appropriate updates from the Working Group will be provided to the Corporate Health and Safety Committee.                      |
| Asbestos Policy and Management Plans               | Implementation of Asbestos Policies and Management Plans   | In Progress | Kevin Scullion                    | 5/31/2023 | 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.<br>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. Current Contract to be reviewed and retendered. |
| E-Learning Training                                | E-Learning training to be promoted throughout the organisation as take up is low - this is particularly relevant to mandatory training sessions. | In Progress | Catrina Miskelly                  | 5/31/2023 | Promotion of eLearning was less in Q3 due to contract expiring on 25 December 2022, retender of contract and uncertainty of provider and materials. Not awarded and LCCC will be going out again on behalf of LGTG. Contract with existing provider being extended for 6-months to allow for this process.  |
| Insurance  | CMT to ensure that Council Properties and Vehicles are adequately covered and schedules are up to date   | In Progress | Caolain Boyd                      | 5/1/2023  | Work currently under to validate Councils Operators License against Councils fleet insurance schedule. CMT have completed an exercise to ensure are Property/Contents schedules are up to date. Consideration is being given by SMT of a Insurance Officer role.  |
| Legionella Policy and Management Plan              | Implementation of Legionella Policies and Management Plans   | In Progress | Kevin Scullion                    | 5/31/2023 | The current level of risk for legionella is considered Medium.<br>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. Current Contract to be reviewed and retendered.   |
| 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                      | 5/31/2023 | Legislation to be reviewed to determine if this is possible while adhering to Public Contract Regulations. Procurement team are liaising with the LG Procurement Working Group. Council is currently adhering to legislative requirements.  |



**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  
Unable to procure new contracts to process & dispose of our waste  
Operation of the ARC21 Corporate Body going forward  
Suppliers are requesting on CPI increases for almost all contracts within waste management

**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  
With CPI price increases the budget for waste management is likely to be insufficient for the 2022/23 year.

**Risk Owners** Andrew Cassells

**Gross/Inherent Risk** Red 25

**Last Review** 3/28/2023

**Residual Risk** Red 20

**Next Review** 6/28/2023

**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. 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

## 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>   |
|------------------------------|---|-------------------------|--------------------------|--------------------------------|---|
| arc21 Waste Management Group | Following the May 2022 refusal to grant arc21 planning permission for their residual waste project and the requirement to recycle 70% by 2030 as per the Climate Change Bill and the Circular Economy package coupled with governance and internal issues within arc21 the long term viability of the group is now very questionable. | In Progress             | Andrew Cassells          | 5/31/2023                      | SOLACE NI commissioned SIB to produce a Project Business Case entitled "Strategic Review of NI Council Waste Management Arrangements" which has now been approved by all of the 11 Councils. Since the changes that RPA wrought in 2015 the current NI Council waste management arrangements have been viewed as unsustainable and in serious need of overhaul. The project will now be progressed by the Council Waste Forum. It is also understood that arc21 are in the process of recruiting a permanent Chief Executive. |
| 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             | Andrew Cassells          | 5/31/2023                      | An action plan in relation to compliance to the Council's Operators license was presented to NS in October 2021. A further Audit was carried out by RHA in January 2022 with the action plan considered by Committee and the Transport Regulation Unit; implementation is ongoing. Staffing issues are being addressed and the Head of Cleansing has been seconded as interim Head of Fleet. Further operators license COTC holders trained/being trained.  |
| 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             | Andrew Cassells          | 5/31/2023                      | A review of the arc21 Waste Management Plan (which includes NMDDC) has been completed by WRAP on behalf of DAERA/NIEA. Technical expertise (RPS) has been procured to produce an Addendum for the Plan. It is understood that DAERA will be consulting on a draft Waste Management Strategy for NI by the end of 2023; the publication of which will better inform the Councils Waste Management Plans.   |

**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** 3/28/2023

**Next Review** 6/28/2023

**Risk Appetite** Risk Open

**Objectives**

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

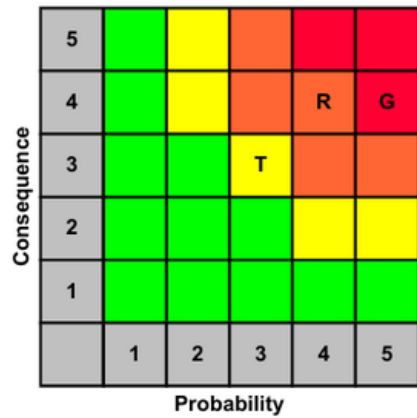
**Key Controls Identified**

- 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                | 5/31/2023               | <p>Live applications at 10-1-22 are 1,269 (September 2022 1,105).</p> <p>Average processing times for 2021/22 across Councils was 17.2 weeks with Newry, Mourne and Down at 18.8 weeks.</p> <p>During 2021/22, Newry, Mourne and Down received the highest number of applications at 1,744 (accounting for 12.8% of all applications received across NI).</p> <p>The number of decisions issued during 2021/22 was the highest</p> |
| 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<br>Conor Mallon | 7/31/2023               | This review will be the first Internal Audit Review to be carried out as part of the new 2023-2027 Internal Audit Plan.  |
| IT infrastructure                     | Upgrade of technical IT infrastructure (EPIC Replacement)  | In Progress      | Anthony Mckay                | 5/31/2023               | Went Live on the 5 December 2022 - Department still working on some go live improvements including accruals reports.   |
| Regional Planning Review              | The Public Accounts Committee issued a regional report on Planning in Northern Ireland on 24 March 2022  | In Progress      | Conor Mallon                 | 5/1/2023                | Actions are being progressed at both Solace and Dfl level and the first joint workshop taken place.  |

**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

**Potential Root Cause**  
 Difficulty recruiting key positions in Councils Management Team  
 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 overall affordability of the Councils long term plans considering COVID19 / Cost of Living Crisis / inflation / pay demands.

**Consequence**  
 Not promoting a single corporate identity  
 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**  
 Josephine Kelly; Marie Ward

**Gross/Inherent Risk**  
 Red 20

**Residual Risk**  
 Amber 16

**Target Risk Level**  
 Yellow 9

**Last Review**  
 3/28/2023

**Next Review**  
 6/28/2023

**Risk Appetite**  
 Risk Hungry

**Objectives**

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

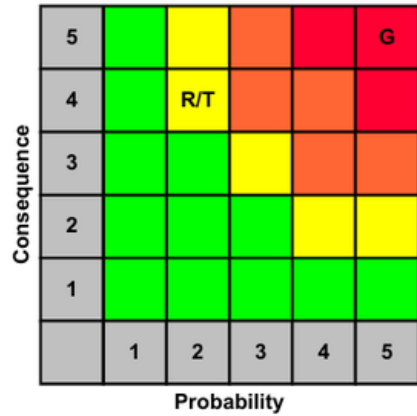
**Key Controls Identified**

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                    | 5/31/2023                      | This includes the Regional Approach in relation to the Talent Management Strategy which is overseen by the LG Staff Commission. NMDDC represented on and contributing to LGSC Regional Talent Management Group - currently reviewing the LGSC Code of Procedures to ensure they are more fit for purpose in today's market. Council recruited several Apprentices on the 1 September 2022 and are now part of the BRCD apprenticeship scheme going forward. Council have also approved an Agile working policy in July 2022. |
| New HR System                      | New Self Service Human Resource Management system to be procured  | In Progress             | Josephine Kelly<br>Catrina Miskelly | 6/30/2023                      | Working ongoing to develop the specification Council requires to drive efficiencies. Business Case to be finalised.  |
| 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              | 5/31/2023                      | Service reviews are progressing and discussion is ongoing with Trade Unions.   |
| Voluntary Severance Call           | Roll out of a voluntary severance call to communicated to staff   | In Progress             | Senior Management Team              | 7/31/2023                      | The Business Administration severance has been agreed and is currently being implemented between December 2022 and June 2023. The Tier 3 Business Case was approved in September 2022 and will be implemented between April and June 2023. Tier 3 Developmental Centre's held in March 2023.   |

**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** Caolain Boyd; Marie Ward

**Gross/Inherent Risk** Red 25

**Residual Risk** Yellow 8

**Target Risk Level** Yellow 8

**Last Review** 3/28/2023

**Next Review** 6/28/2023

**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             | Caolain Boyd             | 5/31/2023                      | Stage one of the work is now complete and was presented to SMT in June 2022 in relation to critical services and systems. Work is being led by the SHEP unit. |
| Northern Ireland Emergency Planning Structures | Officers will continue to attend and contribute to the NI Emergency Planning Structures. | In Progress             | Senior Management Team   | 5/31/2023                      | Council is represented at NIEPS were any upcoming incidents will be discussed.  |



**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**

|             |   |             |   |   |   |     |
|-------------|---|-------------|---|---|---|-----|
| Consequence | 5 |             |   |   |   |     |
|             | 4 |             |   |   |   | R/G |
|             | 3 |             |   | T |   |     |
|             | 2 |             |   |   |   |     |
|             | 1 |             |   |   |   |     |
|             |   | 1           | 2 | 3 | 4 | 5   |
|             |   | Probability |   |   |   |     |

**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)  
Inflationary pressures and cost of living crisis.  
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

**Risk Owners** Conor Mallon; Marie Ward

**Gross/Inherent Risk** Red 20

**Last Review** 3/28/2023

**Residual Risk** Red 20

**Next Review** 6/28/2023

**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

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### 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        | 5/31/2023               | The Head of Terms have been signed (March 2019). OBCs for NMD projects have been approved by BRCD Board and relevant Government Departments.<br>On the 15 December 2021, The Belfast Region City Deal was signed and unlocks £1 billion of transformative co-investment.<br>In December 2022 Contracts for funding and funding agreements have been shared.  |
| Full Fibre Network NI (FFNI) | Local Full Fibre Network to improve connectivity across all of Northern Ireland.   | In Progress      | Conor Mallon      | 6/30/2023               | FFNI has successfully secured £23.1m of UK DCMS Government funded investment to improve digital infrastructure across Northern Ireland.<br>Together as a Consortium FFNI has delivered next generation Gigabit Capable connectivity to 887 public sector sites, which will vastly improve the robustness, resilience, and speed of service.<br>A separate WAN (Wide area network) project is now underway and being delivered by ABC Council to lay services over the top of the FFNI funded fibre. Councils are currently migrating existing services on to the fibre and WAN and this is expected to be completed by June 2023 |
| Support local businesses     | 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      | 5/31/2023               | ERDF and ESF funded programmes will cease as of 31 March 2023, contingency plans are in place to continue support post that date and work is well advanced in developing new programmes to support businesses from inception through to growth under a range of funds such as Peace plus, Shared prosperity 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      | Eoin Devlin       | 5/31/2023               | Required checks are being completed at Warrenpoint Port on an on-going basis by trained and authorised staff.<br>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. Negotiations to commence in January 2022 around the FSA providing certainty of funding for a longer period.<br>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.**

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

**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** 3/28/2023

**Residual Risk** Amber 15      **Next Review** 6/28/2023

**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 Procedure
- 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

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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>   |
|---------------------------|---|-------------------------|--------------------------|--------------------------------|---|
| Return to Work interviews | The completion rate of RTW is very low presently.   | Proposed                | Catrina Miskelly         | 5/31/2023                      | SMT/CMT to follow up on RTW interviews and reiterate the importance of these being completed on a timely basis. |
| Training                  | All Managers must complete Managing Attendance training on the Councils e-learning platform | In Progress             | Catrina Miskelly         | 5/31/2023                      | In progress and regular reminders sent to staff to ensure their training records are up to date.                |

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**Key Controls Identified**

1. Monthly Management Accounts completed by Finance
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   |
|---------------------------|---|------------------|--|-------------------------|--|
| Management Accounts       | New procedure to be developed.  | In Progress      | Gerard Byrne                           | 6/30/2023               | ADs to provide variance analysis going forward on a quarterly basis on their own cost codes. This will feed into the Quarterly Management Accounts which are presented to SP&R. Now effective from Q2 2022/23. Quarterly budget meetings are to take place with Directorates, led by the DCS and AD of Finance & Performance. Commenced in March 2023.   |
| 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      | Gerard Byrne                           | 6/30/2023               | RSG allocations for 2022/23 were confirmed in December 2022. NMDDC's allocation for 2022/23 is £753,437. This is a huge impact on our management accounts position in year and on our rate for future years. The 2020/21 level was £1,473,859. SOLACE are lobbying the Department and AD of Finance & Performance is lobbying via the ALGFO Group Submission made by NMDDC along with all other Council to DfC in July 2022 - continued discussion with DfC to lobby for additional financial support. No confirmation of any available funding to date. |
| 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<br>Eoin Devlin            | 6/30/2023               |  |
| Treasury Advice - Banking | The fallout from Silicon Valley Bank has quickly sparked international concerns and more uncertainty arose after Credit Suisse also collapsed. The turmoil in global markets fuel fears that this could mark the start of the next financial crisis.  | In Progress      | Gerard Byrne<br>Josephine Kelly        | 4/30/2023               | While we closely monitor market conditions, we are meeting with our Treasury Advisors in relation to our current Banking and Money Market arrangements and their exposure to a financial crisis.   |
| Working Groups            | Multiple Officer groups discussing these financial concerns on a regular basis.   | In Progress      | Gerard Byrne<br>Senior Management Team | 6/30/2023               | CEO attends Solace and the AD of Finance & performance attends the Council wide Finance Working Group and ALGFO.<br>AD of Finance & Performance and the CEO have also met with our Treasury Advisors to get an overview of the economic situation on a global scale - i.e. interest rates / borrowing etc<br>Officers will continue to attend and input into the above groups.   |





**Key Controls Identified**

- 1. Agile working policy now in operation from 12 September 2022
- 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
- 2. National Cyber Security training
- 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<br>Gavin Ringland | 5/31/2023                      | 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                 | 5/31/2023                      | Event Scenarios and PlayBooks are being continually tested and refined where confidence of no-impact is high. Deep impact testing will be completed and as part of the IT Services project (currently being procured) |
| IT Strategy                               | Implement additional security tools including multifactor authentication, conditional access and modern authentication where possible and appropriate | In Progress             | Gavin Ringland                 | 5/31/2023                      | Remote access to LAN completely MFA. MFA and conditional access to Office 365 complete. MFA also enabled on many Line of Business Systems, including IDOX. Single Sign On (SSO) implemented on numerous systems.      |
| Training / Development Plans              | Training to increase User Resilience  | In Progress             | Gavin Ringland                 | 4/30/2023                      | In-person training is being delivered to All Staff over Q4 (2022-23) as part of Access to Information Training.   |

**Risk CR.11 - Risk of Industrial Action leading to the failure to have necessary staffing structures and resourcing to deliver services**

|   |   |   |   |   |   |
|---|---|---|---|---|---|
| 5 |   |   | T | R | G |
| 4 |   |   |   |   |   |
| 3 |   |   |   |   |   |
| 2 |   |   |   |   |   |
| 1 |   |   |   |   |   |
|   | 1 | 2 | 3 | 4 | 5 |

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

**Risk Description** Risk of Industrial Action leading to the failure to have necessary staffing structures and resourcing to deliver efficient and effective services

**Potential Root Cause** TU Demands in relation the current cost of living crisis  
Legacy Terms and Conditions impacting on future Council strategies

**Consequence** Low staff morale and increase in absenteeism  
Negative impact on service delivery and lost productivity  
Negative PR for the Council  
Financial implication for Council in meeting the TU demands and the recurring costs

**Risk Owners** Senior Management Team

**Gross/Inherent Risk** Red 25      **Last Review** 3/28/2023

**Residual Risk** Red 20      **Next Review** 6/28/2023

**Target Risk Level** Amber 15      **Risk Appetite** Risk Averse

**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**

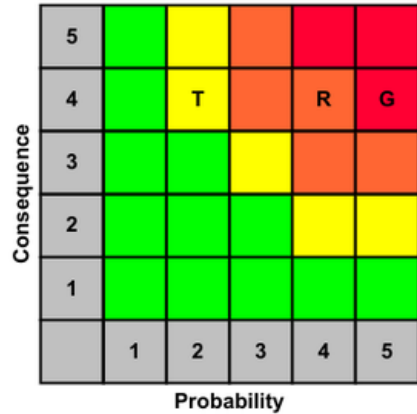
- 1. Detailed budgeting process in operation
- 1. Qualified HR, IT & Finance professionals in place
- 2. LCNF Meeting
- 2. SMT / Party Leaders Meetings
- 2. Solace Meeting

**Action Plans**

|                        | Action Plan Description                                | Action Plan Type | Action Plan Owner      | Action Plan Action Date | Comments   |
|------------------------|--|------------------|------------------------|-------------------------|--|
| Labour Relation Agency | Trade Unions are currently in dispute with Management. | In Progress      | Senior Management Team | 4/30/2023               | Management are seeking engagement via the Labour Relations Agency. |

# Corporate Services Directorate

## Risk 01. Risk of breaching Information Governance Rules and Regulations (eg. FOI / EIR / DPA / RM)



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

**Risk Description**  
 Potential to breach DPA/EIR/FOI and other associated standards and legislation by failing to:  
 -Effectively manage staff and corporate records  
 -Secure records and ICT equipment  
 -Manage information sharing appropriately  
 -Implement a data protection impact assessment process

**Potential Root Cause**  
 Staff unawareness of statutory obligations  
 Loss or theft  
 Cyber crime  
 Staff/Councillors not completing training  
 Accidental or deliberate non-compliance by staff/Councillors  
 Non compliance with statutory timeframes including breach reporting  
 Non compliance of data protection principles

**Consequence**  
 Loss of public confidence and negative PR for the Council  
 Non-compliance with legislative requirements which can lead to ICO penalties including monetary fines  
 Potential for complaints and claims

**Risk Owners**  
 Gavin Ringland; Alison Robb

**Gross/Inherent Risk**  
 Red 20

**Residual Risk**  
 Amber 16

**Target Risk Level**  
 Yellow 8

**Last Review**  
 3/8/2023

**Next Review**  
 6/8/2023

**Risk Appetite**  
 Risk Cautious

### Objectives

- Provide a Corporate Compliance Service
- Provide a secure IT network for Council services
- Provide accessible, high-quality and integrated services through continuous improvement

### Key Controls Identified

1. Compliance Team
2. Access to Information and Record Management Policies and Procedures
3. Access to Information and Records Management e-learning modules
4. Data Protection Impact Assessment and Data Sharing Agreement established, where appropriate
5. Breach review process
6. Data Cleanse project
7. Monitoring and evaluation systems created and reported to SP&R
8. Representation on the NI Planning Systems security working group

**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>  |
|---|---|-------------------------|--------------------------|--------------------------------|--|
| Employee and Elected Member Training      | Improve the completion rate of the e-learning module across all Directorates. | In Progress             | Alison Robb              | 8/1/2023                       | Training delivered to all staff during quarter 4 2022/23. Councillors training will be delivered following the election. Monitoring of IT Phishing test results will inform training requirements.   |
| Planning IT System Security Working Group | Represent all Councils on the Regional Planning IT System Security Group      | In Progress             | Alison Robb              | 8/1/2023                       | Ensure robust data protection governance structures are implemented for the new Planning IT System.  |
| Records Management                        | Complete the Corporate Data Cleanse   | In Progress             | Alison Robb              | 8/1/2023                       | The data cleanse continues to be implemented across the organisation, with the number of disposals reported at the year end. The Records Management Team are all supporting management with the Monaghan Row move. Council also submitted a revised Retention and Disposal Schedule to the Assembly and awaits Assembly approval |

**Risk 02. The Council may not prevent or detect fraud, bribery &/or corruption leading to financial loss & reputational damage**

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

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

**Risk Description** The Council may not prevent or detect fraud, bribery and/or corruption leading to financial loss and reputational damage

**Potential Root Cause** Transfer of planning powers gives more opportunity for fraud and bribery  
Major changes in organisational environment increasing fraud risk  
Changes in people and procedures resulting in inadequate systems and procedures  
Inadequate policies and procedures and failure to adhere to policies  
Lack of control of assets  
Unauthorised access to software systems and databases

**Consequence** Financial loss  
Reputational damage  
Opportunity cost  
Low Staff morale

**Risk Owners** Gerard Byrne

**Gross/Inherent Risk** Amber 16

**Residual Risk** Amber 12

**Target Risk Level** Green 6

**Last Review** 3/8/2023

**Next Review** 6/8/2023

**Risk Appetite** Risk Averse

**Objectives**

- Ensure appropriate risk management arrangements are in place
- Provide a Corporate Legal Support Service
- Provide accessible, high-quality and integrated services through continuous improvement

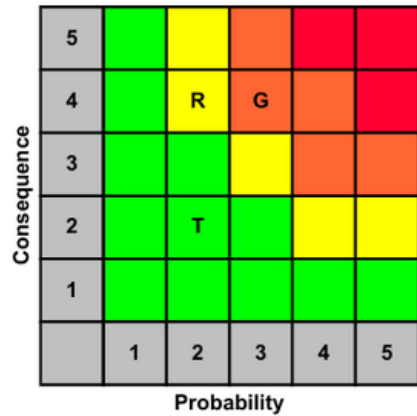
**Key Controls Identified**

1. Governance arrangements in place including:-
  - Audit Committee
  - Code of Conduct
  - Declarations of Interest
2. Dedicated staff member with responsibility for fraud and whistleblowing
3. Elected Members Register of Interests
4. Independent Internal Auditors
5. Corporate Policies in place
6. National Fraud Initiative (NFI)
7. Staff and Elected Member Codes of Conduct
8. Fraud and Whistleblowing Updates

**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>  |
|--------------------------------------|--|-------------------------|--------------------------|--------------------------------|--|
| Declarations of Interest             | Issue revised Conflicts of Interest Policy and Procedure (COIPP) to Junes SPRC         | In Progress             | Alison Robb              | 6/30/2023                      | The revised COIPP contains a list of high risk posts, a new electronic process, aligns with the National Fraud Initiative and contains new responsibilities for all staff and Councillors. It will aid accurate and efficient monitoring and evaluation. |
| Fraud Policy and Fraud Response Plan | Update Fraud Policy and Fraud Response Plan in line with the NIAO Internal Fraud Risks | In Progress             | Gerard Byrne             | 6/30/2023                      | To be completed in quarter 2 2023/24   |
| Gifts and Hospitality                | Review and align Gifts & Hospitality Policy and Procedure (GHPP) with COIPP            | In Progress             | Alison Robb              | 7/31/2023                      | To be completed in quarter 1 2023/24   |
| National Fraud Initiative (NFI)      | Complete the NFI Exercise 2022   | In Progress             | Gerard Byrne             | 9/30/2023                      | Complete the NFI Exercise 2022 and report to the Audit Committee in September 2023. Audit Committee briefed on the NFI matches Council received in April 2023.   |
| Whistleblowing Policy                | Update and adopt the Whistleblowing Policy   | In Progress             | Gerard Byrne             | 6/30/2023                      | Whistleblowing Policy to be updated to take into account the guidance issued by the NI Audit Office in the following document: Rising Concerns: A Good Practice Guide for the Northern Ireland Public Sector. Updated Whistleblowing Policy in June 2023 |

**Risk 03. Inappropriate communications on corporate media channels has a negative impact on service delivery and the reputation of the Council**



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

**Risk Description** Inappropriate communications on corporate media channels has a negative impact on service delivery and the reputation of the Council.

**Potential Root Cause** Failure to effectively engage the media  
Size of the organisation and District, as well as the geographical split (four main sites and mobile workers)  
Cultural change means not operating on corporate arrangements  
Not keeping abreast of growth and developments in communication and technologies

**Consequence** Negative PR  
Not providing a VFM service  
Ineffective channels of communication  
Residents and stakeholders are not kept informed about the work of the Council and delivery of essential and key services

**Risk Owners** Josephine Kelly

**Gross/Inherent Risk** Amber 12

**Residual Risk** Yellow 8

**Target Risk Level** Green 4

**Last Review** 3/8/2023

**Next Review** 6/8/2023

**Risk Appetite** Risk Open

**Objectives**

- Provide a Corporate Communications and Marketing Service
- Provide accessible, high-quality and integrated services through continuous improvement

**Key Controls Identified**

1. Communications Team and professional staff
2. Regular liaison with the local press
3. Regular Chief Executive briefings
4. Communications and Media Policies
5. NMD Social Media presence
6. IT strategy in place to improve IT systems

**Action Plans**

|   | Action Plan Description  | Action Plan Type | Action Plan Owner | Action Plan Action Date | Comments  |
|---|--|------------------|-------------------|-------------------------|---|
| Media Policy and Social Media Policy and Procedures | Communicate Media Policy and Social Media Policy and Procedures to new Council following AGM, June 2023. | In Progress      | Josephine Kelly   | 6/30/2023               | The Media Policy and Social Media and Acceptable Use Policy and Procedures have been approved by the Council. Training will be implemented for new employees and elected members as identified. |





### Key Controls Identified

1. Access NI checks for staff (regulated positions) and contractors as appropriate
10. Safeguarding Coordinator completes spots checks on Council schemes
11. Domestic Abuse Policy and Sexual Violence Policy for the workplace approved and available online
12. Safe Place locations to support staff/communities for advice in relation to Domestic Abuse
2. Registration booklet established for registering children/young people on all council activities/schemes.
3. Safeguarding Policy and associated procedures approved and available online.
4. Safeguarding Training
5. Internal and External working groups and direct information sharing referral mechanisms with PSNI and Social Services
6. Leisure Watch system in Leisure Facilities
7. Council Designated Safeguarding Officers in place together with Council Safeguarding Coordinator.
8. CCTV installed in relevant community and Leisure facilities
9. Safeguarding compliance embedded into procurement processes for contracted services

### Action Plans

Action Plan Description

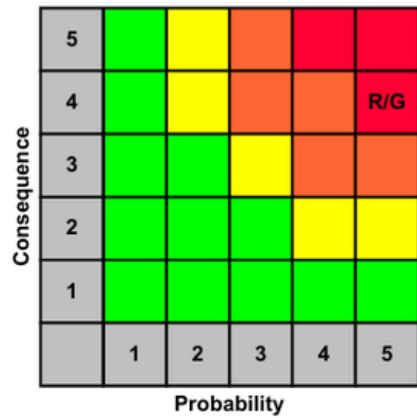
Action Plan  
Type

Action Plan Owner

Action Plan  
Action Date

Comments

**Risk 05. Breach of legislation / legislative challenge in relation to the procurement of goods and services and works**



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

**Risk Description**  
Breach of legislation / legislative challenge in relation to the procurement of goods and services and works

**Potential Root Cause**  
Lack of awareness of legislation  
Lack of compliance with the Council's Procurement Policy  
Lack of training for staff  
COVID19 - Pandemic leading to situations where procurement rules and procedures are bypassed to secure essential products and services

**Consequence**  
Negative PR  
Financial loss to the Council  
Litigation  
Inadequate compliance with Procurement Policy

**Risk Owners**  
Gerard Byrne

**Gross/Inherent Risk**  
Red 20

**Residual Risk**  
Red 20

**Target Risk Level**  
Yellow 8

**Last Review**  
3/8/2023

**Next Review**  
6/8/2023

**Risk Appetite**  
Risk Minimal

**Objectives**

- Provide an effective Procurement Service
- Provide appropriate IT to support transformational change

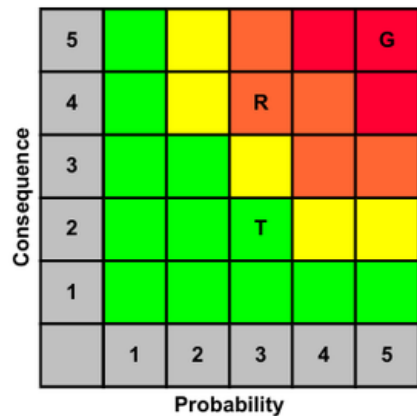
**Key Controls Identified**

1. Procurement Team
2. Financial Regulations and Procurement Policy
3. Regional and national frameworks
4. Specialist legal advice
5. Single Tender Actions reported to Audit Committee and SMT
6. Procurement training for staff
7. COVID19 - Regulation 32 purchases being utilised. Procurement holding list of expenditures bypassing normal rules
8. Procurement is a standing agenda item at Audit Committee

**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>  |
|---------------------------|---|-------------------------|--------------------------|--------------------------------|--|
| Advertising Tenders       | The team want to get the Council tenders communicated to as many suppliers as possible  | In Progress             | Gerard Byrne             | 8/31/2023                      | A punch out from the multi quote website to E - Tender NI / ROI equivalent<br>Tenders to be advertised on Council Social Media sites weeks<br>Procurement to attend ERT Meet the Buyer events.   |
| Business Case             | Business case procedure and relevant templates to be updated in line with best practice.  | In Progress             | Gerard Byrne             | 8/31/2023                      | Once procedures and templates are revised, training willing be rolled out for relevant staff.  |
| Procurement Action Plans  | Each Directorate has their own Procurement Action Plan which highlights were current spend needs to be regularised.                   | In Progress             | Gerard Byrne             | 7/31/2023                      | Procurement Action Plans are presented to the Audit Committee on a bi-annual basis. The latest version have been presented to the April 2023 Audit Committee.  |
| Procurement Policy        | Procurement Policy and associated templates to be revised in line with best practice.   | In Progress             | Gerard Byrne             | 8/31/2023                      | Once policy and templates are revised, training will be rolled out for the relevant staff.   |
| Social Procurement Policy | The Council to consider developing a Social Procurement Policy following the guidance issued by the Minister of Finance in June 2021. | In Progress             | Gerard Byrne             | 3/31/2023                      | Procurement Manager is attending NI Procurement group which has a focus on Social Value Procurement - under the LG Act, legislatively Council can not score tenders for non commercial criteria until the Department revise the legislation. |

**Risk 06. Lack of formal talent management and succession planning arrangements across the organisation may have an impact on effective service provision and innovation**



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

**Risk Description** Unable to attract and retain suitably skilled and talented individuals to achieve the Council's strategic objectives and successfully shape the future of our organisation, district and communities.

**Potential Root Cause** Unable to attract and/or retain talented employees  
The post-Covid-19 labour market has an impact on recruitment and employee expectations  
No framework in place to identify high achievers and harness their talent  
No formal career development scheme and succession planning arrangements  
Reluctance to move away from historic practices and arrangements  
Organisational uncertainty (e.g., restructuring, which can lead to talented employees moving elsewhere for career progression and greater stability)  
Prevalence of short-term temporary contracts  
Long hours culture in senior roles  
Working relationship with Trade Unions  
Skills gaps identified in specific industry sectors

**Consequence** Unavailability/willingness of talented individuals to apply for positions  
Reduced applicant numbers  
Unable to recruit to posts / staff shortages  
Negative PR for the Council  
Skills gaps across departments  
Low staff morale and high turnover  
Negative impact on innovation, service delivery and productivity

**Risk Owners** Catrina Miskelly

**Gross/Inherent Risk** Red 25      **Last Review** 3/8/2023

**Residual Risk** Amber 12      **Next Review** 6/8/2023

**Target Risk Level** Green 6      **Risk Appetite** Risk Open

**Objectives**

Contribute to the further development of future workforce skills

Provide a professional HR service on all employment matters, including employee relations, resourcing and development an

**Key Controls Identified**

1. Access to many and varied learning and development opportunities
2. People Perform Grow in place
3. Robust recruitment practices in place
4. Work experience / placement opportunities
5. Flexible working practices and approaches to work life balance
6. Programmes in place to create organisational stability

**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>  |
|--|--|-------------------------|--------------------------------------|--------------------------------|--|
| Council Apprenticeship Scheme  | Identify and explore potential apprenticeship opportunities in partnership with the Enterprise, Economy and Regeneration Department and local schools and colleges.                          | Completed               | Jonathan McGilly<br>Catrina Miskelly | 9/30/2022                      | Four apprentices have been recruited and have started their employment/training in 2022  |
| People Perform Grow (PPG)  | PPG has been introduced to recognise the contribution of employees in achieving the Council's strategic objectives, in line with the Business Planning and Performance Management Framework. | Proposed                | Catrina Miskelly                     | 6/30/2023                      | PPG will be further rolled out in the 2023-2024 year   |
| Planning for the Future  | The Planning for the Future exercise is underway to establish a more effective organisational structure.   | Proposed                | Marie Ward                           | 6/30/2023                      | PFF Tier 3 appointments process commences at the end of this month   |
| Promote the benefits of working at Newry, Mourne and Down District Council | Better promotion of the benefits for working at Newry, Mourne and Down District Council.   | Completed               | Catrina Miskelly                     | 6/30/2023                      | A new online 'Candidate Information' document has been developed and was introduced earlier this month, which incorporates the Benefits of working for NMDDC – a section not previously included |
| Staff on Temporary Contracts   | SMT is currently going through a process to ensure staff who are on temporary contracts for a significant period of time have job security if their role is required long term.              | In Progress             | Catrina Miskelly                     | 8/31/2023                      | that programme continues to roll with SMT  |
| Talent Management  | Work in relation to talent management has commenced at a regional level through the survey carried out in 2021 by the University of Ulster.  | In Progress             | Catrina Miskelly                     | 7/31/2023                      | NMDDC is part of the regional Talent Management Project Group, being led by the LGSC   |



|   |   |
|---|---|
| <b>Report to:</b>                                   | Audit Committee   |
| <b>Date of Meeting:</b>                             | 4 April 2023  |
| <b>Subject:</b>                                     | Prompt Payment Statistics – Quarter 2 & Quarter 3         |
| <b>Reporting Officer<br/>(Including Job Title):</b> | Gerard Byrne: Assistant Director of Finance & Performance |
| <b>Contact Officer<br/>(Including Job Title):</b>   | Gerard Byrne: Assistant Director of Finance & Performance |

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>'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  | In 2019/20 the Council paid 90% of invoices within the payment period of 30 calendar days, compared to 86% for 2020/21. In the 2021/22 year Council paid 88.5% of invoices within the 30 day period.  |                            |                                    |                            |                                    |                       |                    |      |      |      |       |                   |            |            |            |             |       |            |             |             |             |  |  |  |                             |  |
| 2.2  | <p><b>Quarter 1 - 1 April 2022 to 30 June 2022</b></p> <table border="1"> <thead> <tr> <th></th> <th><b>Paid within 10 days</b></th> <th><b>Paid within 30 days</b></th> <th><b>Paid outside payment period</b></th> <th><b>Total invoices</b></th> </tr> </thead> <tbody> <tr> <td>Number of Invoices</td> <td>1140</td> <td>2984</td> <td>1179</td> <td>4,163</td> </tr> <tr> <td><b>Percentage</b></td> <td><b>27%</b></td> <td><b>72%</b></td> <td><b>28%</b></td> <td><b>100%</b></td> </tr> <tr> <td>Value</td> <td>£2,907,312</td> <td>£10,044,705</td> <td>£11,179,379</td> <td>£21,224,083</td> </tr> <tr> <td colspan="3"><b>Average number of days to pay suppliers: 32</b></td> <td colspan="2"><b>Performance trend: ↓</b></td> </tr> </tbody> </table>  |                            | <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 | 1140 | 2984 | 1179 | 4,163 | <b>Percentage</b> | <b>27%</b> | <b>72%</b> | <b>28%</b> | <b>100%</b> | Value | £2,907,312 | £10,044,705 | £11,179,379 | £21,224,083 | <b>Average number of days to pay suppliers: 32</b> |  |  | <b>Performance trend: ↓</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                                 | 1140  | 2984                       | 1179                               | 4,163                      |                                    |                       |                    |      |      |      |       |                   |            |            |            |             |       |            |             |             |             |  |  |  |                             |  |
| <b>Percentage</b>                                  | <b>27%</b>  | <b>72%</b>                 | <b>28%</b>                         | <b>100%</b>                |                                    |                       |                    |      |      |      |       |                   |            |            |            |             |       |            |             |             |             |  |  |  |                             |  |
| Value  | £2,907,312  | £10,044,705                | £11,179,379                        | £21,224,083                |                                    |                       |                    |      |      |      |       |                   |            |            |            |             |       |            |             |             |             |  |  |  |                             |  |
| <b>Average number of days to pay suppliers: 32</b> |   |                            | <b>Performance trend: ↓</b>        |                            |                                    |                       |                    |      |      |      |       |                   |            |            |            |             |       |            |             |             |             |  |  |  |                             |  |



|   |   |                            |   |                       |
|---|---|----------------------------|---|-----------------------|
| <b>Quarter 2 - 1 July 2022 to 30 September 2022</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                                    | 1,673   | 3,506                      | 487   | 3,993                 |
| <b>Percentage</b>                                     | <b>42%</b>  | <b>88%</b>                 | <b>12%</b>  | <b>100%</b>           |
| Value   | £3,506,407  | £6,113,869                 | £3,185,822  | £9,299,691            |
| <b>Average number of days to pay suppliers: 26</b>    |   |                            | <b>Performance trend: </b> |                       |
| <b>Quarter 3 - 1 October 2022 to 31 December 2022</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                                    | 1,835   | 3,286                      | 321   | 3,607                 |
| <b>Percentage</b>                                     | <b>51%</b>  | <b>91%</b>                 | <b>9%</b>   | <b>100%</b>           |
| Value   | £4,662,166  | £14,236,507                | £1,298,148  | £15,534,655           |
| <b>Average number of days to pay suppliers: 26</b>    |   |                            | <b>Performance trend: </b> |                       |
| <b>3.0</b>  | <b>Recommendations</b>  |                            |   |                       |
| 31  | To note: <ul style="list-style-type: none"> <li>The Q2 and Q3 2022-23 Prompt Payment statistics.</li> </ul>   |                            |   |                       |
| <b>4.0</b>  | <b>Resource implications</b>  |                            |   |                       |
| 4.1   | The Accounts Payable Team provide statistics to the Department for Communities on a quarterly basis.  |                            |   |                       |
| <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 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> |
| 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>                             | 04 April 2023  |
| <b>Subject:</b>                                     | Draft Performance Improvement Objectives 2023-24                   |
| <b>Reporting Officer<br/>(Including Job Title):</b> | Gerard Byrne – Assistant Director of Finance and Performance       |
| <b>Contact Officer<br/>(Including Job Title):</b>   | Catherine Hughes – Head of Performance and Improvement<br>(Acting) |

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

| <b>For decision</b> | <b>For noting only</b>   | <b>X</b> |
|---------------------|--|----------|
| <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 2023-24</b>  |          |
| 2.1                 | <p>It is proposed that the Council carries forward three of the five performance improvement objectives 2022-23, which were developed within the context of the Corporate Plan 2021-23 and in response to the impact of the COVID-19 pandemic. One of the objectives has been amended to reflect improvements achieved and where improvements are now required while another has seen significant progress and is deemed to have been delivered and has therefore been replaced. These objectives are outlined in <b>Appendix 1</b>, and the 'supporting actions', 'measures of success' and targets have been developed and updated where appropriate and relevant.</p> <ol style="list-style-type: none"> <li>1. We will support the health and wellbeing of local people by improving our leisure facilities and services.</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 improve our sustainability and reduce our impacts in relation to climate change.</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 2022-23, the Northern Ireland Audit Office has confirmed that the 'Council has demonstrated that the 2022-23 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> |          |

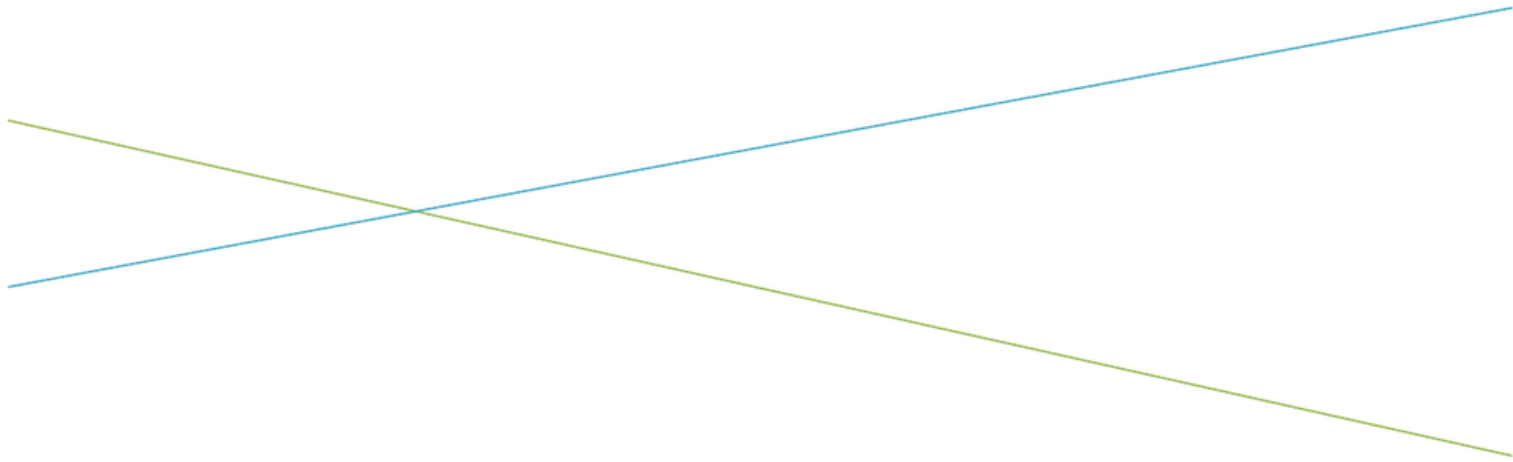
|     |   |
|-----|---|
|     | <p>On 16 March 2023, the Strategy, Policy and Resources Committee approved the draft performance improvement objectives 2023-24 which are currently out to an eight week consultation and engagement process.</p>   |
|     | <p><b>Legislative context</b></p>   |
| 2.2 | <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 20 March-15 May 2023 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 2,300 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 Section 75 groups, through Youth Voice and Older People's Forums</li> </ul> <p>Consultation feedback will inform the final objectives which will form part of the Performance Improvement Plan 2023-24. An overview of the overall approach to develop</p> |

|            |  |
|------------|--|
|            | and publish the Performance Improvement Plan by 30 June 2023, 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 2023-24, as outlined in Appendix 1</li> <li>The proposed approach and timetable for publishing the Performance Improvement Plan 2023-24, as outlined in Appendix 2, including approval to commence the consultation and engagement process on 20 March 2023</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 2023-24 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 2023-24 by 30 June 2023 is met.</p> <p>It should also be noted that the performance improvement objectives 2023-24 have been developed based on a robust and reliable quantitative and qualitative evidence base, including the COVID-19 consultation in 2020 and the Residents Survey 2022. 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 2023-24</li> <li>• <b>Appendix 2</b> – Approach and timetable for publishing the Performance Improvement Plan 2023-24</li> </ul>   |
| <b>8.0</b> | <b>Background Documents</b>  |
|            | Performance Improvement Plan 2022-23   |

# Newry, Mourne and Down District Council

Consultation on the  
draft Performance Improvement  
Objectives 2023-24



Comhairle Ceantair  
**an Iúir, Mhúrn  
agus an Dúin**  
**Newry, Mourne  
and Down**  
District Council

## 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.

Three of the draft performance improvement objectives 2023-24 for Newry, Mourne and Down District Council have been carried forward from 2022-23. One has been amended to reflect improvements achieved and where improvements are now required and one has seen significant progress and is deemed to have been delivered and has therefore been replaced with a new objective. 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

Once agreed, the performance improvement objectives 2023-24 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 2023-24

1. **We will support the health and wellbeing of local people by improving our leisure facilities and services**
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 improve our sustainability and reduce our impacts in relation to climate change.**
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 2022-23 in September 2023.



## 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 2023-24. 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 18 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.newrymournedown.org/consultations](http://www.newrymournedown.org/consultations)  
<https://speaknmd.commonplace.is/>

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: 15 May 2023.**








## Performance Improvement Objective 1

| We will support the health and wellbeing of local people by improving leisure facilities and services |   |   |  |   |   |   |  |   |   |   |  |
|---|---|---|--|---|---|---|--|---|---|---|--|
| <b>Why this matters</b>   | <p>You told us that:</p> <ul style="list-style-type: none"> <li>• One of the top priorities for improving your local area was 'Improving people's health and wellbeing (and reducing health inequalities)</li> <li>• 17% of our residents are not active for a single day each week.</li> <li>• The third most important health and wellbeing opportunity you would like to see more of was 'physical activity opportunities such as leisure centres, gyms and sports facilities'</li> <li>• Between 2018 and 2022 there has been an increase in the number of residents dissatisfied with the leisure centres across the District.</li> </ul> <p>We know that keeping fit and active can help improve a person's health and wellbeing both physically and mentally. Newry, Mourne and Down District Council plays a key role in helping local communities to live long and healthy lives. The Council remains committed to promoting physical, mental and emotional well-being and encouraging residents to make healthy and informed lifestyle choices and as part of this we need to always be striving to improve our leisure facilities and offerings.</p> |   |  |   |   |   |  |   |   |   |  |
| <b>Looking Back:</b><br>What we did between April 2022-March 2023                                     | <table border="1"> <tr> <td style="text-align: center;"></td> <td>800,000 paid attendances across the 6 leisure facilities</td> </tr> <tr> <td style="text-align: center;"></td> <td>Recorded 211,718 recorded visits across a total of 10 community trails.</td> </tr> <tr> <td style="text-align: center;"></td> <td>9,534 memberships across the indoor leisure facilities</td> </tr> <tr> <td style="text-align: center;"></td> <td>Progressed a number of new build and/or upgraded capital projects</td> </tr> <tr> <td style="text-align: center;"></td> <td>322 people participating in targeted health programmes</td> </tr> </table>   |  | 800,000 paid attendances across the 6 leisure facilities |  | Recorded 211,718 recorded visits across a total of 10 community trails. |  | 9,534 memberships across the indoor leisure facilities |  | Progressed a number of new build and/or upgraded capital projects |  | 322 people participating in targeted health programmes |
|                    | 800,000 paid attendances across the 6 leisure facilities  |   |  |   |   |   |  |   |   |   |  |
|                    | Recorded 211,718 recorded visits across a total of 10 community trails.   |   |  |   |   |   |  |   |   |   |  |
|                    | 9,534 memberships across the indoor leisure facilities  |   |  |   |   |   |  |   |   |   |  |
|                    | Progressed a number of new build and/or upgraded capital projects   |   |  |   |   |   |  |   |   |   |  |
|                    | 322 people participating in targeted health programmes  |   |  |   |   |   |  |   |   |   |  |
| <b>Looking Forward:</b> What we will do in 2023-24  | <ul style="list-style-type: none"> <li>• Increase the number of paid attendances at indoor leisure facilities through the Covid-19 recovery plan.</li> <li>• Continue to progress and implement the review of Leisure Services.</li> <li>• Deliver a range of targeted health programmes to encourage participation in physical activity.</li> <li>• Progress the leisure projects agreed within the Capital Programme</li> <li>• Maintain the number of recorded visits to Community Trails.</li> <li>• Implement a 'Mystery Visitor' Programme for indoor leisure.</li> </ul>   |   |  |   |   |   |  |   |   |   |  |

| How we will measure success                                  | 2019-20 Actual  | 2020-21 Actual  | 2021-22 Actual       | Status Trend | Q1/Q2 2022-23 Actual | 2023-24 Target |
|--|---|-----------------|----------------------|--------------|----------------------|----------------|
| Number of paid attendances recorded at:                      |   |                 |                      |              |                      | 850,000        |
| Newry Leisure Centre   | 864,190   | 27,253          | 183,224              | △            | 164,482              |                |
| Down Leisure Centre  | 377,842   | 30,199          | 177,496              | △            | 109,186              |                |
| Kilkeel Leisure Centre                                       | 40,219  | 10,367          | 66,987               | △            | 39,109               |                |
| St. Colmans Sports Complex                                   | 37,349  | 2,945           | 36,717               | △            | 16,745               |                |
| Newcastle Centre & Tropicana Outdoor Swimming Complex        | 284,230   | 2,778           | 33,801               | △            | 29,577               |                |
| Ballymote Sports and Wellbeing Centre                        | 38,993  | 1,754           | 10,309               | △            | 6,063                |                |
| Number of people participating in targeted health programmes | 10,793  | 2,270           | 322                  | ▽            | 136                  | 350            |
| Number of leisure centre memberships                         | New measure   |                 |                      | -            | -                    | 10,000         |
| Number of capital leisure projects progressed                | New measure   |                 |                      | -            | -                    | Not set        |
| Number of recorded visits at community trails                | 57,849  | 96,563          | 211,718              | △            | 109,433              | 211,000        |
| <b>What you will see by March 2024</b>                       | <ul style="list-style-type: none"> <li>• Increase in the number of paid attendances at our six leisure centres to 850,000 by end of 2023-24</li> <li>• Increase in the number of people participating in targeted health programmes to 350.</li> <li>• Increase in the number of memberships being taken out to 10,000.</li> <li>• 211,000 recorded visits to community trails.</li> <li>• A number of new build and/or upgraded capital leisure projects progressed</li> <li>• 'Mystery Visitor' Programme implemented and baseline established</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>• 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 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 | Service availability | Fairness     |                      |                |
| <b>Responsible Officer</b>                                   | <b>Director: Active and Healthy Communities</b>   |                 |                      |              |                      |                |
















## 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>• 'Improving skills, employability and job prospects' was your top priority for improving the local area in the 2022 residents survey</li> <li>• 'Supporting local businesses, attracting investment and jobs' is in your top three priorities for improvement</li> <li>• Investment to grow the economy, create jobs and attract tourists is the most important form of investment</li> <li>• 95% of respondents to our 2022-23 survey agreed with this objective</li> </ul> <p>As we continue to emerge and recover from the impacts of the Covid-19 pandemic, Newry, Mourne and Down has recorded increases in the number of VAT/PAYE registered businesses, employee jobs and the birth rate of new businesses in the past year. 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 2022-23, the Council awarded approximately £1m to assist local businesses in navigating the impact of the pandemic. Whilst much has been achieved, there is still more to do to rebuild and revitalise the local economy.</p> <p>For 2023-24 all NI Councils will be supporting businesses and job creation through an Entrepreneurship Support Service. This is to ensure better collaboration across Businesses, Councils and Government Departments. It will also ensure more consistency at a regional level. A funding application has been submitted to the Shared Prosperity Fund with a launch expected in September 2023. Through this Service, the Council will continue to deliver a range of business start-up and growth programmes to help new and established businesses to innovate, grow and expand.</p> |
| <b>Looking Back:</b><br>What we did between April-September 2022                     |  92 new business starts created and 92 new jobs promoted through business start activity   |
|  |  10 new social enterprise start-ups supported and 4 new social enterprise jobs created<br>  |
|  |  247 businesses supported and 467.5 mentoring days delivered through 'NMD Growth', 'Digital Growth', 'Tender for Growth' and 'Sales Accelerator' programmes.   |
|  |  'Make it Local' campaign delivered to stimulate footfall and the re-opening of businesses across the District   |
| <b>Looking Forward:</b>  | <ul style="list-style-type: none"> <li>• Roll-out the NMD 'Make it Local' campaign to support the revitalisation of our local economy</li> </ul>  |



|   |  |                 |                      |              |                      |                |
|---|--|-----------------|----------------------|--------------|----------------------|----------------|
| What we will do in 2023-24  | <ul style="list-style-type: none"> <li>Invest in the social economy through the Social Enterprise programme</li> <li>Support the growth of existing businesses and creation of new jobs through the Entrepreneurship Support Programme</li> <li>Support the establishment of new businesses through the Entrepreneurship Support Programme</li> <li>Continue to create opportunities for employability and skills through implementation of the LMP Action Plan.</li> </ul>  |                 |                      |              |                      |                |
| <b>How we will measure success</b>  | 2019-20 Actual   | 2020-21 Actual  | 2021-22 Actual       | Status Trend | Q1/Q2 2022-23 Actual | 2023-24 Target |
| Number of social enterprise start-ups supported                                   | 10   | 12              | 12                   | ▶            | 10                   | 12             |
| Number of social enterprise jobs created  | 12   | 14              | 13                   | ▶            | -                    | 12             |
| Number of business plans created for start-up businesses and employer enterprises | 298  | 266             | 358                  | △            | 154                  | 300            |
| Number of jobs promoted via business start-up activity                            | 194  | 199.5           | 404                  | △            | -                    | 155            |
| Number of new businesses & employer enterprises supported to start up             | 203  | 181             | 215                  | △            | 92                   | 190            |
| Number of existing businesses supported to progress growth and scaling ambitions  | 198  | 327             | 412                  | △            | 262                  | 200            |
| <b>What you will see by March 2024</b>  | <ul style="list-style-type: none"> <li>300 business plans created for Start-Up businesses and employer enterprises</li> <li>190 new Business / employer enterprises supported to start-up</li> <li>Support provided to 200 existing businesses to progress growth and scaling ambitions</li> <li>155 new jobs promoted via business start-up activity.</li> <li>12 social enterprise start-ups supported and 12 social enterprise jobs created</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>  |                 |                      |              |                      |                |

### 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 and rubbish or litter lying around are your top two perceived problems in your local area</li> <li>• 6% of the residents surveyed were dissatisfied with the cleansing service provided by the Council.</li> <li>• 91% of residents said recycling is important to them, an increase of 5% on the 2018 residents survey figure.</li> <li>• 89% of respondents to our 2022-23 survey agreed with this objective</li> </ul> <p>Since 2019-20, the LEAMS* score for the District has remained at 64, which falls below the current regional average of 66. 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><br>What we did between April-September 2022  | <table border="1"> <tr> <td style="text-align: center;"></td> <td>Issued 62 fixed penalty notices, 48 of which were paid</td> </tr> <tr> <td style="text-align: center;"></td> <td>Supported 31 community clean-ups</td> </tr> <tr> <td style="text-align: center;"></td> <td>10 environmental projects funded through the NI 'Live Here Love Here' Scheme</td> </tr> <tr> <td style="text-align: center;"></td> <td>Anti-littering and responsible dog ownership campaigns rolled out</td> </tr> <tr> <td style="text-align: center;"></td> <td>Increase in the rate of recycling, to 52.4%</td> </tr> </table>  |  | Issued 62 fixed penalty notices, 48 of which were paid |  | Supported 31 community clean-ups |  | 10 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 52.4% |
|                                    | Issued 62 fixed penalty notices, 48 of which were paid   |   |  |   |                                  |   |  |   |   |   |   |
|                                    | Supported 31 community clean-ups   |   |  |   |                                  |   |  |   |   |   |   |
|                                    | 10 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 52.4%  |   |  |   |                                  |   |  |   |   |   |   |
| <b>Looking Forward:</b> What we will do in 2023-24  | <p>Address issues around littering, illicit dumping and dog fouling by:</p> <ul style="list-style-type: none"> <li>• Continuing to implement 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>• Implementation of a Paint Re-Use Scheme at 7 Household Recycling Centres throughout the district.</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> </ul>  |   |  |   |                                  |   |  |   |   |   |   |












|   | <ul style="list-style-type: none"> <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   | 2019-20 Actual   | 2020-21 Actual       | 2021-22 Actual | Status Trend   | 2022-23 Q1/Q2 Actual | 2023-24 Target           |
| LEAMS score (Keep NI Beautiful Cleanliness Index)   | 64   | 64                   | 64             |                | -                    | 65                       |
| Number of fixed penalty notices issued  | 83   | 52                   | 118            |                | 62                   | 120                      |
| Number of fixed penalty notices paid  | 72   | 24                   | 100            |                | 48                   | 96                       |
| Number of community clean ups supported   | 94   | 33                   | 94             |                | 31                   | 100                      |
| Number of 'Live Here Love Here' environmental projects                                      | 34   | 24                   | 18             |                | 10                   | No target                |
| The percentage of household waste collected by District Councils that is sent for recycling | 53.7%  | 52.6%                | 49.1%          |                | 52.4%                | 65% by 2030              |
| The amount of biodegradable Local Authority Collected Municipal Waste that is landfilled    | 2,131t   | 2,494t               | 2,685t         |                | 1,108t               | <20,954 tonnes (2019-20) |
| The amount of Local Authority Collected Municipal Waste arisings                            | 84,610t  | 86,980t              | 87,336t        |                | 44,087t              | No target                |
| <b>What you will see by March 2024</b>  | <ul style="list-style-type: none"> <li>Increase in the number of fixed penalty notices issued.</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>Reduction in the disposal of paint from our Household Recycling Centre sites.</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: Active &amp; Healthy Communities / Director: Sustainable Environment</b>  |                      |                |                |                      |                          |

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

\*\*The Q1/Q2 2022-23 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 improve our sustainability and reduce our impacts in relation to climate change.</b> |   |   |  |   |   |   |   |
|---|---|---|--|---|---|---|---|
| <b>Why this matters</b>   | <p>You told us that:</p> <ul style="list-style-type: none"> <li>• Managing waste, reducing climate change, investing in renewable energy etc was important to you.</li> <li>• Green technology skills was the second most important training support needed to improve the growth of resident employability.</li> <li>• 91% of residents said recycling is important to them, an increase of 5% on the 2018 residents survey figure.</li> </ul> <p>Our climate is changing and we need to prepare. Greenhouse gas emissions cause the Earth’s atmosphere to hold more radiation from the sun which increases the overall temperature of the planet. This change in temperature is altering our climate and causing one of the greatest threats of our time. In October 2019 Newry, Mourne and Down District Council declared a ‘Climate Emergency’ and directed management to effect dramatic short – term changes in every area under its control. The Council also forms part of the Local Government Climate Action Network which is helping to deliver the NI Climate Change Adaptation Programme. This network will enable us to collaborate with other Councils and relevant statutory partners to develop a strategic approach for climate action.</p> <p>Just before the beginning of the COVID-19 pandemic the Council hosted a Climate Change Symposium ‘Our Climate – Our Challenge’ in March 2020. This event brought together a range of internationally renowned expert speakers as well as Councils and Community Organisations from across the UK and Ireland who have demonstrated best practice in dealing with climate change. The projects at this event are now being considered for the Council’s own Local Climate Adaption Plan.</p> <p>NMDDC is acutely aware of how intrinsic sustainability and care of our district is to its future. In order to protect our environment, environmental sustainability has become a key objective in the development of our capital projects, providing economic growth for the region in an inclusive and sustainable way. Newry, Mourne and Down District Council aims to embed the ethos of sustainability throughout its operations and to provide leadership for the community.</p> |   |  |   |   |   |   |
| <b>Looking Back:</b><br>What we did   | <table border="1"> <tr> <td style="text-align: center;"></td> <td>Declared a ‘Climate Emergency’ in October 2019</td> </tr> <tr> <td style="text-align: center;"></td> <td>Hosted a Climate Change Symposium ‘Our Climate – Our Challenge’ in March 2020</td> </tr> <tr> <td style="text-align: center;"></td> <td>Produced and Launched a 10 year active travel Masterplan for the District in 2021</td> </tr> </table>   |  | Declared a ‘Climate Emergency’ in October 2019 |  | Hosted a Climate Change Symposium ‘Our Climate – Our Challenge’ in March 2020 |  | Produced and Launched a 10 year active travel Masterplan for the District in 2021 |
|              | Declared a ‘Climate Emergency’ in October 2019  |   |  |   |   |   |   |
|              | Hosted a Climate Change Symposium ‘Our Climate – Our Challenge’ in March 2020   |   |  |   |   |   |   |
|              | Produced and Launched a 10 year active travel Masterplan for the District in 2021   |   |  |   |   |   |   |
| <b>Looking Forward:</b> What we will do in 2023-24  | <p>Address issues around climate change and sustainability by:</p> <ul style="list-style-type: none"> <li>• Developing a climate change and sustainable development strategy</li> </ul>   |   |  |   |   |   |   |

|  |   |                |                |                |                      |                |
|--|---|----------------|----------------|----------------|----------------------|----------------|
|  | <ul style="list-style-type: none"> <li>• Completing the development of the Climate Change Adaptation Plan</li> <li>• Developing a new biodiversity strategy 2023-28</li> <li>• Implementing the Council’s Tree Strategy</li> <li>• Installing new public drinking water fountains</li> <li>• Supporting the implementation of new Electric Vehicle (EV) charging points</li> <li>• Undertaking a baseline assessment of the Council’s carbon footprint</li> <li>• Implementing the Council’s fleet replacement programme</li> </ul>   |                |                |                |                      |                |
| <b>How we will measure success</b>   | 2019-20 Actual  | 2020-21 Actual | 2021-22 Actual | Status Trend   | 2022-23 Q1/Q2 Actual | 2023-24 Target |
| Carbon footprint of Council estate   | <b>To Be Established</b>  |                |                |                |                      |                |
| Percentage of Council fleet younger than 8 years                                 | New measure   |                |                | -              | -                    | 50%            |
| Number of vehicles within the Council fleet that have an alternative fuel source | New measure   |                |                | -              | -                    | 10             |
| Number of trees planted on Council managed estate                                | New measure   |                |                | -              | -                    | Not set        |
| Number of Council supported EV charging points                                   | New measure   |                |                | -              | -                    | 20             |
| <b>What you will see by March 2024</b>   | <ul style="list-style-type: none"> <li>• Development of a climate change and sustainable development strategy</li> <li>• Development of a climate change adaptation plan</li> <li>• Development of the new Newry, Mourne and Down Biodiversity Strategy (2023-2028)</li> <li>• New trees planted</li> <li>• Carbon footprint of Council estate established</li> <li>• 20 new Council supported EV charging points installed</li> <li>• Increase in the percentage of younger, less polluting vehicles within the Council fleet</li> <li>• 10 new electric vehicles ordered for use within the Council fleet.</li> <li>• 5 new public drinking water fountains erected.</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   | Efficiency     | Innovation     | Sustainability |                      |                |
| <b>Responsible Officer</b>   | <b>Director: Active and Healthy Communities /Director: Sustainability and Environment</b>   |                |                |                |                      |                |



## 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. 95% of respondents to our 2022-23 survey also agreed with this objective.</p> <p>The implementation of the Planning Service Improvement Programme is well underway with a new planning portal launched in December 2022 allowing customers to submit applications online and track live planning applications. This new system has been accompanied by the expected teething problems however it is operating, and the normal work of the planning department is ongoing.</p> <p>In January 2022, the Council carried out a Customer Satisfaction survey with key stakeholders to understand current perceptions of the service. Feedback from the survey highlights areas where users of the planning service are dissatisfied including with time taken to process applications; availability of officers to discuss applications; and clarity of information and guidance received. Satisfaction was registered however with reception service; helpfulness of officers; information and guidance received; and expertise and knowledge of planning officers. It is hoped that the implementation of this new system which makes it easier for users to engage with the planning process will assist in improving some of these areas of dissatisfaction.</p> <p>The 2022-23 processing times for planning applications reduced when compared to previous years, however, the Council has not yet achieved the statutory standards, but we remain committed to delivering further improvements and providing a high-quality service to all customers.</p> |   |   |   |  |   |  |   |  |
| <b>Looking Back:</b><br>What we did between April-September 2022  | <table border="1"> <tr> <td style="text-align: center;"></td> <td>Processed 51.7% of planning enforcement cases within 39 weeks, which is below the regional average of 73.4%</td> </tr> <tr> <td style="text-align: center;"></td> <td>Average processing time of 18.2 weeks for local planning applications, which is above the regional average of 15 weeks</td> </tr> <tr> <td style="text-align: center;"></td> <td>Average processing time of 67.4 weeks for major planning applications, which is below the regional average of 50.0 weeks</td> </tr> <tr> <td style="text-align: center;"></td> <td>Received 763 local planning applications, which is the highest across Northern Ireland</td> </tr> </table>   |  | Processed 51.7% of planning enforcement cases within 39 weeks, which is below the regional average of 73.4% |  | Average processing time of 18.2 weeks for local planning applications, which is above the regional average of 15 weeks |  | Average processing time of 67.4 weeks for major planning applications, which is below the regional average of 50.0 weeks |  | Received 763 local planning applications, which is the highest across Northern Ireland |
|    | Processed 51.7% of planning enforcement cases within 39 weeks, which is below the regional average of 73.4%  |   |   |   |  |   |  |   |  |
|    | Average processing time of 18.2 weeks for local planning applications, which is above the regional average of 15 weeks   |   |   |   |  |   |  |   |  |
|    | Average processing time of 67.4 weeks for major planning applications, which is below the regional average of 50.0 weeks   |   |   |   |  |   |  |   |  |
|    | Received 763 local planning applications, which is the highest across Northern Ireland   |   |   |   |  |   |  |   |  |
| <b>Looking Forward:</b><br>What we will do in 2023-24   | <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>   |   |   |   |  |   |  |   |  |

| How we will measure success   | 2019-20 Actual   | 2020-21 Actual       | 2021-22 Actual | Status Trend   | Q1/Q2 2022-23 Actual | 2023-24 Target |
|---|--|----------------------|----------------|--|----------------------|----------------|
| Average processing time for local planning applications (weeks)       | 20.6   | 19                   | 18.8           | <br> | 18.2                 | <15 weeks      |
| Average processing time of major planning applications (weeks)        | 94   | 64.6                 | 44.3           | <br> | 67.4                 | <30 weeks      |
| Percentage of planning enforcement cases progressed within 39 weeks   | 36.2%  | 40.9%                | 48.5%          | <br> | 51.7%                | 70%            |
| Number of planning applications in the system for 12 months or more** | 183  | 187                  | 187            |   | 228                  | 150            |
| Number of planning applications in the system for 12 months or less** | 685  | 788                  | 871            |   | 793                  | 700            |
| Number of enforcement cases in the system 12 months or more**         | 620  | 551                  | 472            |   | 483                  | 450            |
| <b>What you will see by March 2024</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 2023-24.

\*\*The 2023-24 targets have been carried forward from 2022-23 and will be reviewed prior to the publication of the Performance Improvement Plan 2023-24, in June 2023.

## 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 support the health and wellbeing of local people by improving our leisure facilities and services                                      | <p>Continue to improve the health and wellbeing of everyone in the District and reduce health inequalities</p> <p>Enable and support people to engage in inclusive and diverse activities in their communities</p> | <p>All people in Newry, Mourne and Down enjoy good health and wellbeing</p> <p>All people in Newry, Mourne and Down benefit from prosperous communities</p> | <p>Strategic effectiveness</p> <p>Service quality</p> <p>Service availability</p> <p>Fairness</p>   |
| 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  | <p>Strategic effectiveness</p> <p>Service quality</p> <p>Service availability</p> <p>Innovation</p> |
| 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  | <p>Strategic effectiveness</p> <p>Service availability</p> <p>Innovation</p> <p>Sustainability</p>  |
| We will improve our sustainability and reduce our impacts in relation to climate change  | Enhance, protect and promote our environment   | All people from Newry, Mourne and Down benefit from a clean, quality and sustainable environment  | <p>Strategic Effectiveness</p> <p>Efficiency</p> <p>Innovation</p> <p>Sustainability</p>            |
| 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  | <p>Strategic effectiveness</p> <p>Service availability</p> <p>Sustainability</p> <p>Efficiency</p>  |



## Consultation on the draft Performance Improvement Objectives 2023-24

|                         |   |  |
|-------------------------|---|--|
| <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 support the health and wellbeing of local people by improving our leisure facilities and services      | <input type="checkbox"/> | <input type="checkbox"/> |
| <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                                  | <input type="checkbox"/> | <input type="checkbox"/> |
| <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 | <input type="checkbox"/> | <input type="checkbox"/> |

|  |              |                 |
|--|--------------|-----------------|
| <b>Comments:</b>   |              |                 |
| <b>Performance Improvement Objective 4</b>   | <b>Agree</b> | <b>Disagree</b> |
| We will improve our sustainability and reduce our impacts in relation to climate change  |              |                 |
| <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 **15 May 2023** 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 2023-24

| 1   | Development of the Performance Improvement Plan 2023-24  | 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 2023   |
| 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 2023   |
| 1.3 | Consider and agree the: <ul style="list-style-type: none"> <li>• Draft performance improvement objectives 2023-24, supporting actions, measures of success</li> <li>• Overall approach and timetable for developing and publishing the Performance Improvement Plan 2023-24, ensuring compliance with the statutory Duty to Improve</li> </ul> | CMT: Mar 2023<br>SMT: Mar 2023<br>SPR: Mar 2023<br>Council: Apr 2023<br>AC: Apr 2023 |
| 1.4 | Carry out an equality screening and rural needs impact assessment of the draft performance improvement objectives 2023-24  | Feb 2023   |
| 2   | Consultation on the draft Performance Improvement Objectives 2023-24   | 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 through Speak NMD website, promoted through the Council website and social media channels, and circulated to internal and external stakeholders  | 20 Mar-15 May 2023   |
| 2.3 | Public Advertisements in local newspapers  | 20 Mar-15 May 2022   |
| 2.4 | Consultation and engagement on the draft performance improvement objectives 2023-24 with: <ul style="list-style-type: none"> <li>• Section 75 groups, including Youth Councils, Older People’s Forum, Ethnic Minority Support Centre and Cedar Foundation</li> </ul>   | 20 Mar-15 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 2023   |
| 3   | Design, approval and publication of the Performance Improvement Plan 2023-24   | Timetable  |
| 3.1 | Finalise the Performance Improvement Plan 2023-24  | May 2023   |
| 3.2 | Carry out an equality screening and rural needs impact assessment of the Performance Improvement Plan 2023-24  | May 2023   |
| 3.3 | Consider the Performance Improvement Plan 2023-24, with proposed amendments following the consultation process   | SMT: Jun 2023<br>SPR: Jun 2023   |

## Overall approach and timetable to develop and publish the Performance Improvement Plan 2023-24

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|          |  |   |
|----------|--|---|
|          |  | SPR: Jun 2023<br>(including request to publish the Performance Improvement Plan by 30 June 2023)<br>Council: Jul 2023<br>AC: Jul 2023 |
| 33.4     | Publish the Performance Improvement Plan on the Council's website and social media channels  | Jun 2023 (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 2023  |
| <b>4</b> | <b>Implementation of the Performance Improvement Plan 2023-24</b>  | <b>Timetable</b>  |
| 4.1      | Publish the annual Assessment of Performance 2022-23, in line with statutory requirements  | SMT: Sep 2023<br>SPR: Sep 2023<br>Council: Oct 2023<br>AC: Sep 2023   |
| 4.2      | Monitor and report progress in implementing the Performance Improvement Plan 2023-24 through the Mid Year Assessment   | SMT: Nov 2023<br>SPR: Nov 2023<br>Council: Dec 2023<br>AC: Jan 2024   |
| <b>5</b> | <b>Improvement Audit and Assessment 2023-24</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 2023  |

## Overall approach and timetable to develop and publish the Performance Improvement Plan 2023-24

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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 2023<br>Publication of report: Feb 2024        |
| 5.3 | Consider the s95 Improvement Audit and Assessment Report  | SMT: Dec 2023<br>SPR: Dec 2023<br>Council: Jan 2024<br>AC: Jan 2024 |



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

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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 07/23

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

Our reference: CO1/22/717991

Date: 10 February 2023

Dear Chief Executive

**ACCOUNTS DIRECTION 2022/23: 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 2022/23:

Cover letter – as per this document;

Annex A - Circular No LG 07/2023 Accounts Direction to Councils 2022/23;

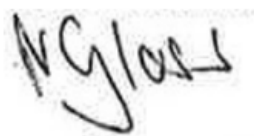
Annex B - Accounts Direction for 2022/23;

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 "G".

**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

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Department for

**Commonities**[www.communities-ni.gov.uk](http://www.communities-ni.gov.uk)

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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: CO1-22-718

25 January 2023

Dear Sir/Madam

**CIRCULAR LG 03/2023 - CONSOLIDATED COUNCILLOR ALLOWANCES CIRCULAR  
(UPDATED JANUARY 2023)**

This Local Government Circular provides a consolidated record of all councillor allowances and supersedes Local Government Circular 10/2022.

This consolidated circular is required to determine and reflect an increase in maximum rates for Basic and Special Responsibility Allowance from 1 April 2022 and an increase in Dependants' Carers' Allowance from 1 April 2023.

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 2022

| <b>Basic Allowance</b>         |
|--------------------------------|
| Maximum £16,394 per annum<br>≠ |

≠ (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 £1,154 from 1 April 2022.)

## 2. Dependants' Carers' Allowance

- valid from 1 April 2022 – 31 March 2023

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)

- valid from 1 April 2023

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                             | £10.42 <sup>^</sup> | £542                          |
| Specialist                           | £20.84              | £1,084                        |

<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 2022

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<br/>£</b> | <b>Maximum (1/5<sup>th</sup>) for individual councillor<br/>£</b> |
|------------------------------|---|---|
| Less than 120,000            | 57,720  | 11,544  |
| 120,000 to 199,000           | 80,809  | 16,162  |
| 200,000 +                    | 124,676   | 24,935  |

## 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<br>£ | London Rates<br>£ |
|--|--------------------------|-------------------|
| <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             |