



December 8th, 2023

Chairman: Councillor R McLernon

Vice-Chairman: Mr E Jardine, Independent Member

Aldermen: O Gawith and S P Porter

Councillors: D Bassett, P Burke, S Burns, D J Craig, A P Ewing J Gallen, A Givan, C Kemp, P Kennedy, S Lowry, M McKeever and A Martin

Ex Officio: The Right Worshipful the Mayor, Councillor A Gowan

Deputy Mayor, Councillor G McCleave

Notice Of Meeting

A meeting of the Governance and Audit Committee will be held on **Thursday, 14th December 2023** at **6:00 pm** for the transaction of the undernoted Agenda.

For those Members attending this meeting remotely, the Zoom details are included in the Outlook invitation that has been issued.

Food will be available in Lighters from 5.15 pm.

David Burns
Chief Executive

Agenda

1.0 APOLOGIES

2.0 DECLARATIONS OF MEMBERS' INTERESTS

- (i) conflict of interest on any matter before the meeting (Members to confirm the specific item)
- (ii) pecuniary or non-pecuniary interest (Member to complete disclosure of interest form)

3.0 REPORT BY HEAD OF FINANCE

3.1 Delegated Authority to Governance and Audit Committee for Annual Financial Statements

- ▢ *Item 3.1 Delegated authority request.pdf* *Page 1*

4.0 REPORT BY PERFORMANCE IMPROVEMENT OFFICER

4.1 Compliments and Complaints Report – Q2 2023/24

For Noting

- ▢ *Item 4.1 Complaints Report Q2.pdf* *Page 2*

- ▢ *Item 4.1 Appendix I Compliments Complaints Report Q2 (Addendum - Detail).pdf* *Page 4*

4.2 Performance Improvement Objectives, Case Studies & Associated KPIs – 2nd Quarter Review

For Noting

- ▢ *Item 4.2 PIO Casestudies KPIs Q2.pdf* *Page 15*

- ▢ *Item 4.2 Appendix I Quarter 2 monitoring MASTER.pdf* *Page 17*

- ▢ *Item 4.2 Appendix II Q2 Performance KPIs.pdf* *Page 36*

4.3 Service KPIs – Q2 2023/24 All Directorates

For Noting

- ▢ *Item 4.3 Service KPIs Q1 2023 2024 GA.pdf* *Page 40*

- ▢ *Item 4.3 Appendix I Environmental Services.pdf* *Page 42*

- ▢ *Item 4.3 Appendix II FCS.pdf* *Page 45*

- ▢ *Item 4.3 Appendix III Organisational Development Innovation.pdf* *Page 47*

Item 4.3 *Appendix IV Leisure Community Wellbeing.pdf* **Page 51**

Item 4.3 *Appendix V Regeneration Growth.pdf* **Page 56**

4.4 NI Audit Office - Audit and Assessment Report 2023/24

For Noting

Item 4.4 *NIAO S95 Report.pdf* **Page 60**

Item 4.4 *Appendix I LCCC S95 report 2023-24.pdf* **Page 62**

Item 4.4 *Appendix II 2023-24_PI_Audit Certificate_LCCC 301123.pdf* **Page 80**

5.0 REPORT BY ACTING EMERGENCY PLANNING, CORPORATE H&S, RISK & BUSINESS CONTINUITY MANAGER

5.1 Corporate Risk Register

For Noting

Item 5.1 *Corporate Risk Register Report Dec 23.pdf* **Page 83**

Item 5.1 *Appendix I Corporate Risk Dashboard.pdf* **Page 85**

Item 5.1 *Appendix II Environmental Services Risk Dashboard.pdf* **Page 86**

Item 5.1 *Appendix III Communities & Wellbeing Risk Dashboard.pdf* **Page 87**

Item 5.1 *Appendix IV Finance & Corporate Services Risk Dashboard.pdf* **Page 88**

Item 5.1 *Appendix V Organisation Development & Innovation Risk Dashboard.pdf* **Page 89**

Item 5.1 *Appendix VI Regeneration & Growth Risk Dashboard.pdf* **Page 90**

6.0 REPORT BY DIRECTOR OF REGENERATION AND GROWTH

6.1 LCCC Single Tender Actions Update

For Noting

Item 6.1 *STAs 27.11.23.pdf* **Page 91**

Item 6.1 *Appendix 1 Exclusions.pdf* **Page 94**

Item 6.1 *Appendix 2 STA Breakdown.pdf* **Page 95**

Item 6.1 *Appendix 3 Draft Guidance.pdf* **Page 96**

7.0 CONFIDENTIAL BUSINESS - "IN COMMITTEE"

All items are confidential due to containing information relating to the financial or business affairs of any particular person (including the Council holding that information)

7.1 REPORT BY INTERNAL AUDIT MANAGER

7.1.1 Internal Audit – Progress Report

For Noting

7.2 REPORT BY HEAD OF FINANCE

7.2.1 2022-2023 Final Report To Those Charged with Governance

For Noting

7.3 REPORT BY CHIEF EXECUTIVE

7.3.1 Chief Executive's Assurance Statement

For Noting

7.4 CLOSED SESSION FOR MEMBERS (Members, Internal Audit and NIAO only)

8.0 ANY OTHER BUSINESS

Committee:	Governance and Audit Committee
Date:	14 th December 2023
Report from:	Head of Finance

Item for:	Decision
Subject:	Delegated Authority to Governance & Audit Committee for Annual Financial Statements

1.0	<u>Background and Key Issues</u>	
	<ol style="list-style-type: none"> 1. The Governance and Audit Committee considers the Council's draft Annual Financial Statements in June prior to submission to the Northern Ireland Audit Office and approves the final Annual Financial Statements in September each year and publication. 2. Special Governance & Audit Committees will be held in June to consider the draft accounts and in September to consider and approve final accounts. 3. Delegated authority is sought from Council to consider the Council's Annual Financial Statements prior to submission to the Northern Ireland Audit Office, both in draft form in June and in Final form in September. 4. The above is requested going forward. 	
2.0	<u>Recommendation</u>	
	<p>It is recommended that approval be granted to delegate authority to special meetings of the Governance & Audit Committee for the purposes of:</p> <ul style="list-style-type: none"> • noting the Council's Draft Annual Financial Statements in June each year • approving the Council's final Annual Financial Statements in September each year. 	
3.0	<u>Finance and Resource Implications</u>	
	No implications	
4.0	<u>Equality/Good Relations and Rural Needs Impact Assessments</u>	
4.1	Has an equality and good relations screening been carried out?	No
4.2	Brief summary of the key issues identified and proposed mitigating actions or rationale why the screening was not carried out	Administrative arrangement.
4.3	Has a Rural Needs Impact Assessment (RNIA) been completed?	No
4.4	Brief summary of the key issues identified and proposed mitigating actions or rationale why the screening was not carried out.	Administrative arrangement.

Appendices: None

Committee:	Governance & Audit Committee
Date:	14th December 2023
Report from:	Performance Improvement Officer

Item for:	Noting
Subject:	Compliments and Complaints Report – Q2 2023/24

1.0	<u>Background and Key Issues:</u>	
1.1	Lisburn & Castlereagh City Council (LCCC) aims to provide an effective and efficient service to all its ratepayers and customers. If on occasions, the service is not as our customers would expect, the Council would like to know about it.	
1.2	LCCC has a Complaints Handling procedure which allows customers to make a complaint and details what happens to their complaint after it is received.	
1.3	Compliments and complaints are captured on the Council's Customer Care System and Complaints are dealt with through the Council's complaints handling procedure.	
1.4	Attached under Appendix I is a comparative report taken from the Customer Care System. This report provides more detail on the Council's Customer Care activity during Quarter 2 (July - September inclusive) of 2023/24.	
1.5	This report is presented for consideration and scrutiny as appropriate.	
2.0	<u>Recommendation</u>	
	It is recommended that Members note the appended report.	
3.0	<u>Finance and Resource Implications</u> N/A	
4.0	<u>Equality/Good Relations and Rural Needs Impact Assessments</u>	
4.1	Has an equality and good relations screening been carried out?	No
4.2	Brief summary of the key issues identified and proposed mitigating actions or rationale why the screening was not carried out	No – not applicable as this report is for noting and does not require decision.
4.3	Has a Rural Needs Impact Assessment (RNIA) been completed?	No
4.4	Brief summary of the key issues identified and proposed mitigating actions or rationale why the screening was not carried out.	No – not applicable as this report is for noting and does not require decision.

Appendices:	Appendix I – Detailed report showing Compliments & complaints during Q2 (July - September 2023 inclusive)
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Compliments & Complaints Report

Q2

1st July –
30th September
2023

Lisburn & Castlereagh City Council

1.0 Customer Care Analysis

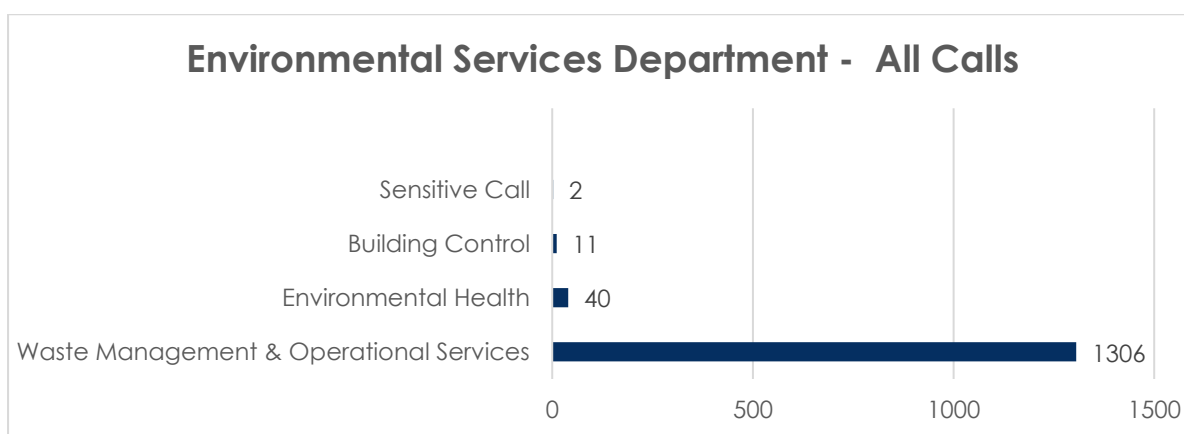
Call Type	Q2 2022-2023	Q3 2022-2023	Q4 2022-2023	Q1 2023-2024	Q2 2023-2024
Service Requests	670	698	598	628	1216
Complaints	179	166	181	233	212
Compliments	36	42	36	42	50
Comments	89	139	16	23	23
TOTAL CALLS	974	1045	831	926	1501

Customer Care calls increased from 926 in Q1 to **1501** in Q2, an increase of 575. There was however a **decrease** in Complaints of 21, from 233 in Q1 to **212** in Q2.

1.1 Analysis of Customer Care Calls in Q2 per Department

Department	Comments	Complaints	Compliments	Service Requests	TOTAL
C.E. Office	0	0	0	0	0
Environmental Services	13	119	15	1212	1359
Finance & Corporate Services	2	4	17	0	23
Leisure & Community	6	77	13	1	97
Organisation Development & Innovation	0	1	0	0	1
Regeneration & Growth	2	11	5	3	21
Non Council	-	-	-	-	64
TOTAL	23	212	50	1216	1565

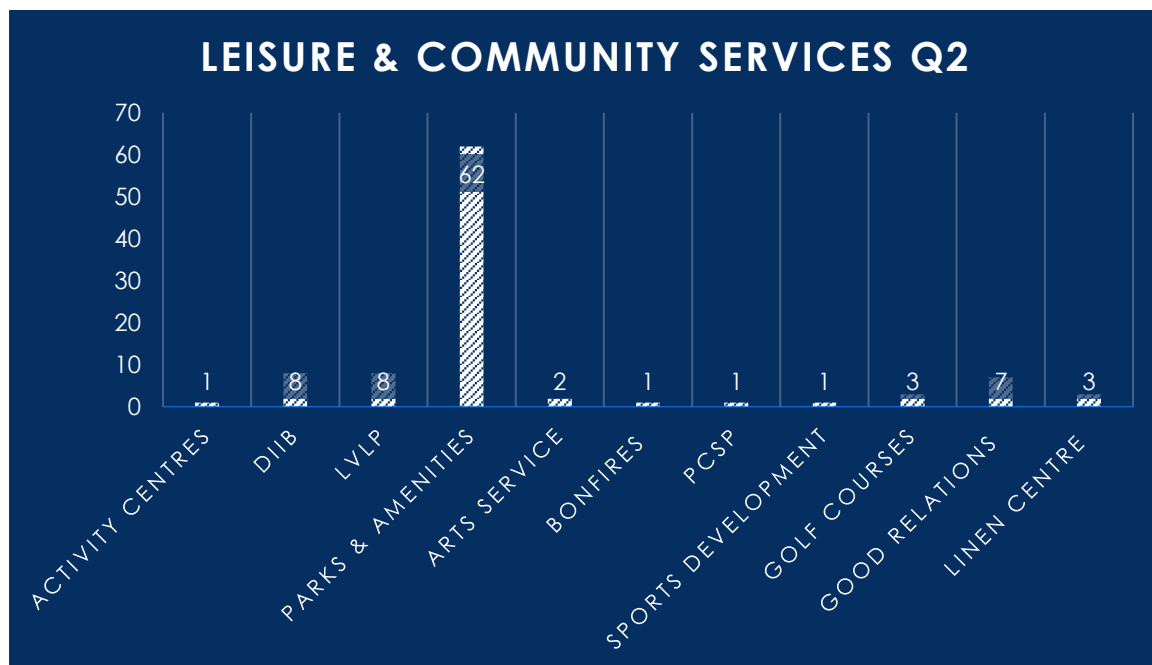
1.2 A breakdown of calls received for the Environmental Services Department is as follows:



Overall **1359** calls were logged to Environmental Services:

- **1306** Waste Management and Operational Services - The majority were missed bins/damaged bins and bins going missing.
- **40** Environmental Health – fly tipping and dog control issues continue to be the main reason for logged Service Requests. The majority of calls received for Environmental Health continue to be through the Reportall App.
- **11** Building Control – Street nameplate repairs/replacements and thanks for Customer Service
- **2** Sensitive Complaints

1.3 A breakdown of calls received for Leisure & Community Wellbeing is as follows:

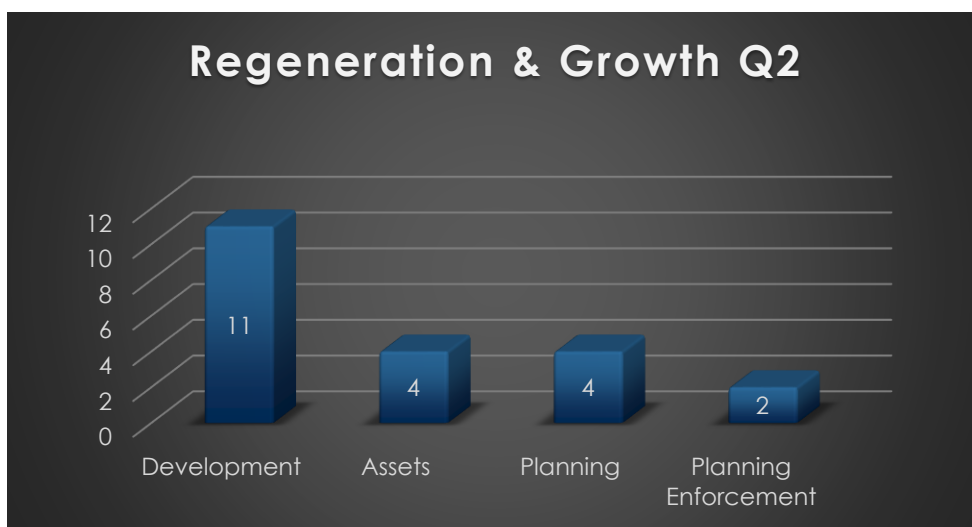


Overall **97** calls were logged to Leisure & Community Wellbeing:

- **62** Parks & Amenities - Wallace Park, playparks, Hillsborough Forest toilets, Hillsborough Forest, maintained open spaces, Cemeteries maintenance, Billy Neill, Lough Moss dog play area, Moat Park, ASB, bonfire clearing, car parking at Hydebank and The Brambles pitches. Nine calls were compliments.
- **8** DIIB – Ice Rink, bowling alley and the caravan park.
- **8** LVLP - Bookings, main pool, baby changing facilities and customer service.
- **7** Good Relations – Flags
- **3** Linen Centre – available facilities (Withdrawn) and 2 compliments
- **3** Golf Courses – Membership, Catering & Health & Safety at Aberdelghy

- 2 Arts Service – Event complaint & one compliment
- 1 Activity Centre – Grove
- 1 Bonfires – Moneyreagh
- 1 PCSP – ASB
- 1 Sports Development – Vehicle damage at an event

1.4 A breakdown of calls received for Service Transformation is as follows:



21 calls were logged under Regeneration & Growth:

- 11 Economic Development – 4 compliments, 5 complaints – fall in the city centre, Hillsborough Forest Car Park & toilet facilities, market selection criteria. 2 comments were also received.
- 4 Assets – radar keys, signage and thanks for assistance
- 2 Planning Enforcement
- 4 Planning

1.5 A breakdown of calls received for Finance & Corporate Services is as follows:

Q2					
Area	Comments	Complaints	Compliments	Service Requests	Total
Registration	0	0	10	0	10
Central Support	0	0	1	0	1
Centre Management	0	3	6	0	9
Comms	2	0	0	0	2
Member Services	0	1	0	0	1
TOTAL	2	4	17	0	23

4 complaints were received and were in relation to a booking for an event at LVI, marketing for an event, parking and dog fouling at LVI and accessibility issues for a person with a disability trying to attend a Planning meeting. The 17 compliments received were for Customer Service within Registration and thanks after recent events at LVI. Two comments received were in relation to a magazine publication and website information.

1.6 A breakdown of calls received for Organisation Development and Innovation is as follows:

One complaint was logged under Equality and was regarding the barriers faced contacting Council for those with a disability.

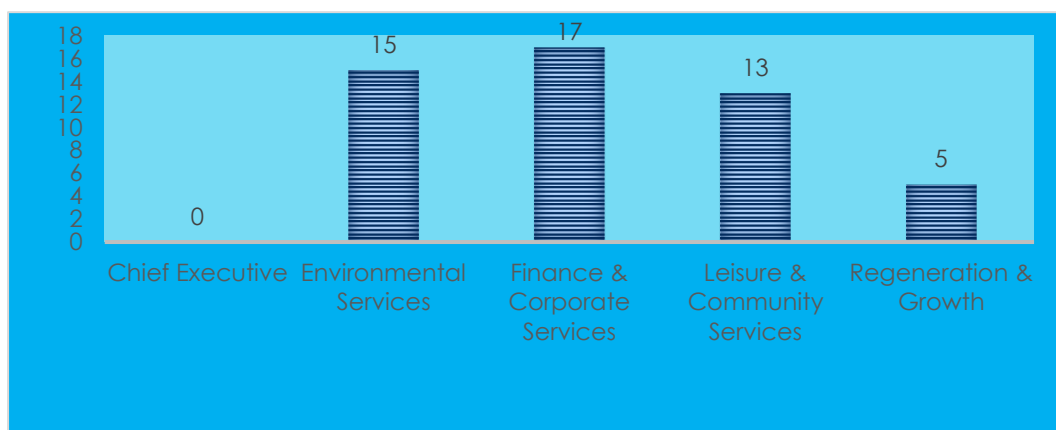
2.0 Complaints Analysis

	Q2 2022/2023	Q3 2022/2023	Q4 2022/2023	Q1 2023/2024	Q2 2023/2024
Chief Executive	0	0	0	0	0
Environmental Services	105	104	120	162	119
Finance & Corporate Services	4	8	4	3	4
Leisure & Community Wellbeing	55	40	44	63	77
Regeneration & Growth	15	14	13	5	11
Organisation Development & Innovation	-	-	-	-	1
LCCC Complaints Total	179	166	181	233	212
Non Council Complaints	43	23	47	48	64
Total inclusive of Non Council	222	189	228	281	276

There was a **decrease (21)** on the number of complaints received during Q2. The table below provides some examples of the comments and complaints received during this period.

	Directorate	Unit/Area	Issue
Comment	Environmental Services	Refuse Col Domestic Amenity Sites Waste Mgmt. E. Health	Parked cars preventing collection, waste collection, collection points HRC access Waste enquiry, litter bins and sticks Toilet provision, follow up
Comment	Leisure & Community Services	Parks & Amenities Golf Courses LVLP	Hillsborough Forest toilets, lost property, signage, Brambles pitches Membership Baby facilities
Comment	Finance & Corporate Services	Comms	Publications, website information
Comment	Regeneration & Growth	Economic Development	City Centre issues, motorhomes
Complaints	Environmental Services	Bulky Waste Refuse Collection Amenity Sites Waste Mgmt. Bryson House E. Health Street Cleansing	Collections Assisted lifts, bins not collected, bins not delivered, bins not returned properly, property damage, spillages, bags not delivered, vehicle spillages Access, customer service HRC opening hours Damaged boxes, staff conduct, collections Customer Service, Home Safety follow up Litter bins not being emptied
Complaints	Finance & Corporate Services	Centre Management Member Services	Events, grounds maintenance Accessibility for the disabled
Complaints	Leisure & Community Services	Parks & Amenities Good Relations DIIB Activity Centres LVLP Golf Courses	Playparks, Wallace Park, maintained open spaces, Hillsborough Forest, Bonfires, cemetery maintenance Billy Neill, Lough Moss, employee conduct, Moat Park, car parking at Hydebank Flags Ice Rink, caravan park, bowling alley Grove Bookings, main pool, customer service, gym Catering, Health & Safety
Complaints	Regeneration & Growth	Assets Econ. Dev. Planning	Radar Keys, signage Accident in the city centre, Hillsborough Forest toilets/car park, market selection, road crossing Planning queries
Complaints	Organisation Development & Innovation	Equality	Communication barriers

3.0 Compliments



There were **50** compliments received during Q2. The following table shows a breakdown of compliments by service area:

Directorate	Unit / Area	Compliment
Environmental Services	Operational Services Building Control E. Health	Thanks, customer service Customer service, street naming Returned questionnaire, friendly, helpful staff
Finance & Corporate Services	Centre Management Central Support Registration	Positive feedback after events Positive feedback after an event Customer service
Leisure & Community Wellbeing	Linen Centre & Museum Arts Service Parks & Amenities	Congratulations and thanks after a recent event Guess how much I love you trail feedback Thanks for picnic tables at Bells Lane, grass cutting, maintained open spaces, preparation for events, thanks received after a Bat Talk at Moat Park
Regeneration & Growth	Econ. Development Assets	Thanks for Council assistance and support, customer service at VIC Thanks for assistance

A few examples of the compliments received were as follows:

ENVIRONMENTAL SERVICES

I would like to thank you all for your Assisted Lift service. My husband has dementia and I have Fibromyalgia and I used to struggle to get bins down our drive, especially when there was ice. Great news about glass soon to be included in our recycling bins. You are very much appreciated!! 19/08/23

ENVIRONMENTAL SERVICES

We want to thank the Bulky Waste Team and squad who collected a mattress. A very convenient service to request online and the item was collected on the morning of date given - excellent Council service. Full marks. 12/09/23

FINANCE & CORPORATE SERVICES

Just wanted to feedback that our experiences last week were excellent. Brilliant venue and great support from all staff 03/07/23

FINANCE & CORPORATE SERVICES

The room we used was really lovely! It was great to have use of the outdoor space as well beside the room Carol was absolutely the best! She was so nice and kind and supportive and we both enjoyed our ceremony so very much. She went above and beyond to help us and give us information. She made the whole morning so fun and easy and really looked after us well. We are both so very very thankful for Carol. 15/08/23

LEISURE & COMMUNITY WELLBEING

Dear Paul I wanted to put on record my sincere thanks to you and your team for inviting Pauline and I to, and hosting us at, the opening of the British Museum Touring Exhibition Egyptian Hieroglyphs: unlock the Mystery at the Irish Linen Centre and Lisburn Museum on Wednesday 28 June 2023. As I wrote to Cllr Beckett, and as I am sure you are aware from the comments of all those who were fortunate to attend, it was an outstanding success and an absolutely wonderful evening. As highlighted by the British Museum Team on the night, the Lisburn Team did a simply remarkable job with the exhibits and with the opening night function. You are to be congratulated sincerely on so proudly representing the Museum and the City of Lisburn. On a personal note Paul, thank you also for the kindness that you extended to Pauline and myself, and for the courtesy that you extended to the role of High Sheriff throughout the evening. It was very much appreciated and I can honestly add that the evening was one of the great highlights of my year in Office. I will be writing separately to the British Museum Team, but please pass on my congratulations and thanks to your Lisburn Team, a number of whom I got to chat with as the night progressed. Kind regards, and my sincere thanks, and I hope that we meet up again 04/07/23

LEISURE & COMMUNITY WELLBEING

I attended a 'Bat Event' at Moat Park last night organised and run by the Council's Biodiversity Officer, Tracey Connelly. I would just like to pass on my thanks and congratulations to Tracey for such an excellent and engaging event. All 30 attendees, ranging from young children to adults and some with learning difficulties, thoroughly enjoyed it and were clearly having a good time whilst learning about our native species. Please ensure these remain on the Council's biodiversity event schedule. 21/09/23

REGENERATION & GROWTH

I visited the Lisburn Visitor Centre in the Linen Centre earlier today and had such a pleasant experience. I was in the shop just browsing and was attended to by one of the staff Lynda Murray. I ended by buying two lovely wooden candlestick holders and a wooden bowl. Lynda was so helpful showing me around the shop. She did a great job in promoting local crafts people and designers. She was very personable and had great customer service skills. It has been a difficult few years for the tourism industry in Northern Ireland. However, the enthusiasm Lynda displayed for her work and her diligence in promoting Northern Ireland tourism was clear to behold. I came out of the shop feeling very upbeat and I do feel that this was a reflection of the warm welcome I received from Lynda in the shop. Good customer service skills are hard to come-by and I feel that Lynda really deserves praise for all the she is doing in the promotion of local crafts people and tourism in Northern Ireland 08/09/23

REGENERATION & GROWTH

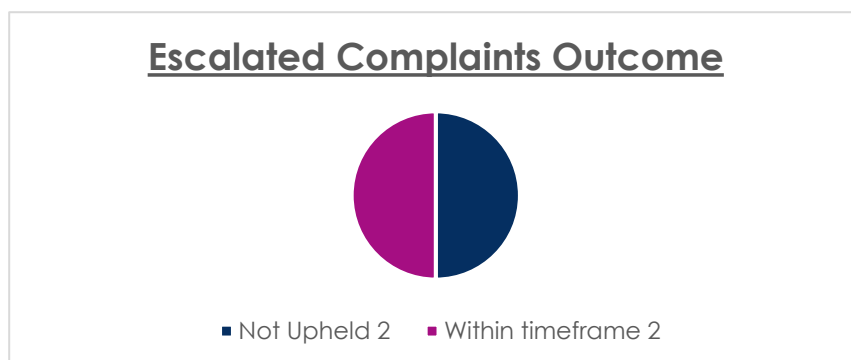
My dog took unwell in Wallace Park this morning and Ciaran (driving a van) went above the call of duty in helping me get him home so he could attend the vet. He could not have been more helpful or pleasant. Please pass on my thanks to him. As a general comment, the men who look after the park do a great job and keep the park so well and as a resident nearby it is much appreciated 07/09/23

4.0 REPORTALL APP

There were **94** calls reported to Customer Care through use of the ReportAll App. The most common reasons for reported incidents on the app continue to be fly tipping and dog fouling. Other calls received were in relation to animal welfare, stray dogs, litter bins needing emptied, street cleansing/sweeping, litter, reports of dead animals, anti-social behaviour, graffiti, noise pollution, facilities damaged, fly posting, Health & Safety and Non-Council issues. This continues to be a well-used method of communication for the public.

5.0 ESCALATED COMPLAINTS

There were **4** complaints escalated to Stage 2 – Director Level in Q2. **TWO** Stage 2 Complaints were closed, not upheld in Q2. The remaining **2** complaints are still within the timeframe for a response.



There has been 1 complaint escalated to Stage 3, NIPSO in Q2.

Reference	Date Escalated	Directorate	Complaint	Outcome
CC02	15 th August 2023	Regeneration & Growth	Planning	Awaiting Decision

There have been 2 complaints closed by NIPSO in Q2.

Reference	Date Escalated	Directorate	Complaint	Outcome
CC Ref. 047555	6 th December 2022	Service Transformation	Planning	No further action – 11 th September
CC Ref. 054015 (CC01)	3 rd May 2023	Leisure & Community Services	Incident at Castle Gardens	No further action – 27 th July 2023

6.0 CUSTOMER SATISFACTION SURVEY

Customer Satisfaction Surveys ask the customer to rate their communication with LCCC in relation to the handling of their complaint, it is not about the outcome of their complaint. During Q2 there were **50** surveys sent out with a return of **9**.

DEPARTMENT	EXCELLENT	GOOD	ACCEPTABLE	POOR	TOTAL
CHIEF EXECUTIVE	0	0	0	0	0
ENVIRONMENTAL SERVICES	3	0	2	1	6
LEISURE & COMMUNITY	3	0	0	0	3
REGENERATION & GROWTH	0	0	0	0	0
FINANCE & CORPORATE SERVICES	0	0	0	0	0
ODI	0	0	0	0	0
TOTAL (As a %)	6 (67%)	0 (0%)	2 (22%)	1 (11%)	9

When customers receive their Satisfaction surveys they are asked for a one word reply. Excellent, Good, Acceptable and Poor. As the above table shows, **89%** of those who returned their survey rated their correspondence as Acceptable or above. On occasion they will also provide a comment, see below some examples:



“My recent complaint regarding green bags was dealt with in an EXCELLENT manner.” 22/09/23



“I would rate the standard of communication as excellent. The response time was quick and those dealing with my complaint were very supportive and informative.” 25/09/23



“I was very impressed by the courtesy with which my complaint was handled” 25/09/23

Committee:	Governance & Audit Committee
Date:	14th December 2023
Report from:	Performance Improvement Officer

Item for:	Noting
Subject:	Performance Improvement Objectives, Case Studies & Associated KPIs – 2 nd Quarter Review

1.0	<u>Background and Key Issues:</u>
1.1	Council must produce an annual Performance Improvement Plan (PIP) to meet the requirements of the Local Government Act (NI) 2014.
1.2	This PIP details the Council's Performance Improvement Objectives for the year and how Council will deliver upon these objectives, being accountable and transparent in our activities.
1.3	As part of Council's performance management responsibilities, monitoring reports on all the projects that will demonstrate improvement against the Performance Improvement Objectives are reported on a quarterly basis to committee.
1.4	Attached under Appendix I , is a quarterly monitoring document on all the projects that will demonstrate improvement against the 2023/24 Performance Improvement Objectives, including the relevant Performance Improvement KPI. Please note the additional section within this report, which details case studies, photographs and customer feedback that have demonstrated improvement during Quarter 2. This report covers the period July - September 2023 inclusive.
1.5	Attached under Appendix II is a report from the 'Performance Management System' which details the Performance Improvement Key Performance Indicators (KPIs) results for the period July - September 2023 inclusive.
1.6	At this committee's September meeting, there was an action to review the frequency of measuring the KPIs.
1.7	Where possible these Performance KPIs have been adjusted to be measured quarterly and annual targets have been reset to reflect this.
1.8	There are four KPIs that cannot be measured until the end of the year because the project that they are associated with is not due to take place until Q3 and Q4.
1.9	There are 16 Performance Indicators for the 2023/24 financial year. Ten KPIs were achieved at the end of Q2, two KPIs were off target and the remaining four KPIs are on track to be achieved by the end of the financial year.
1.10	The two KPIs that were off target at the end of Q2 measure the CSAW programmes delivered and the number of participants. The numbers are lower than expected by the end of Q2 but with more programmes planned for the remainder of the financial year, the acting Head of Service has provided assurance that the KPIs will increase greatly in Q3 and Q4.
1.11	These reports are presented for consideration and scrutiny as appropriate.

2.0	<p><u>Recommendation</u></p> <p>It is recommended that Members note the appended reports.</p>	
3.0	<p><u>Finance and Resource Implications</u></p>	
4.0	<p><u>Equality/Good Relations and Rural Needs Impact Assessments</u></p>	
4.1	Has an equality and good relations screening been carried out?	No
4.2	Brief summary of the key issues identified and proposed mitigating actions <u>or</u> rationale why the screening was not carried out.	No – not applicable as the purpose of this report is to provide performance data.
4.3	Has a Rural Needs Impact Assessment (RNIA) been completed?	No
4.4	Brief summary of the key issues identified and proposed mitigating actions <u>or</u> rationale why the screening was not carried out.	No – not applicable as the purpose of this report is to provide performance data.

<p>Appendices:</p>	<p>Appendix I - a quarterly monitoring document including case studies of improvement for the period July - September 2023 inclusive. Appendix II details the KPI results for the period July - September 2023 inclusive.</p>
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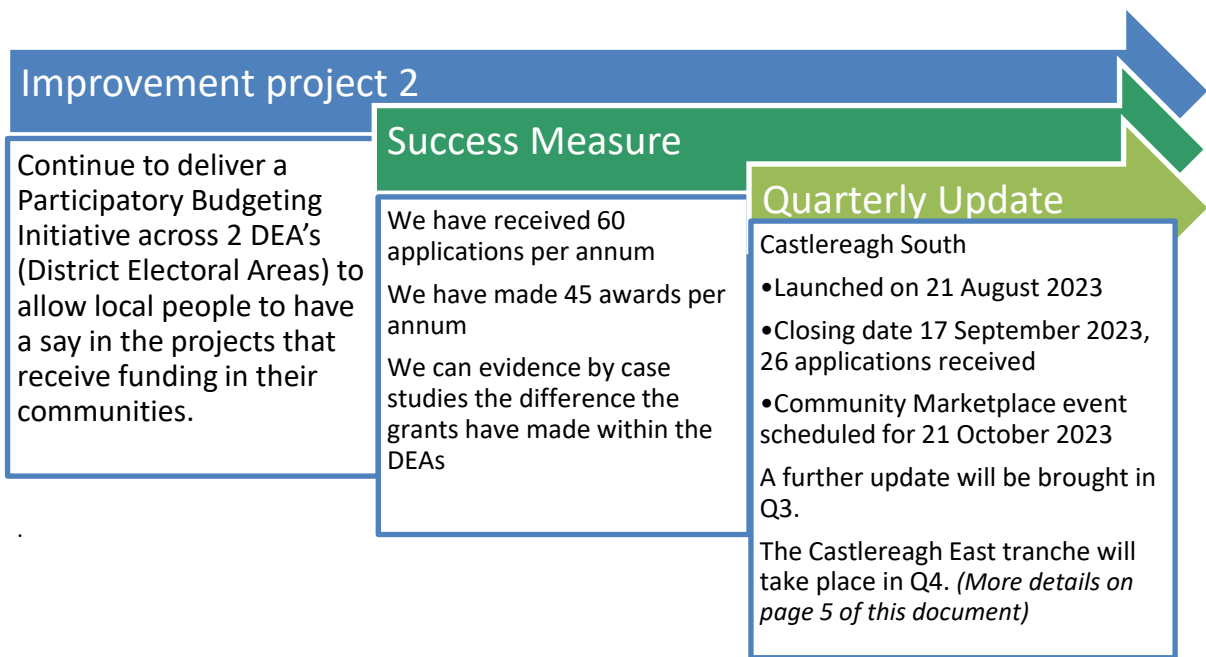
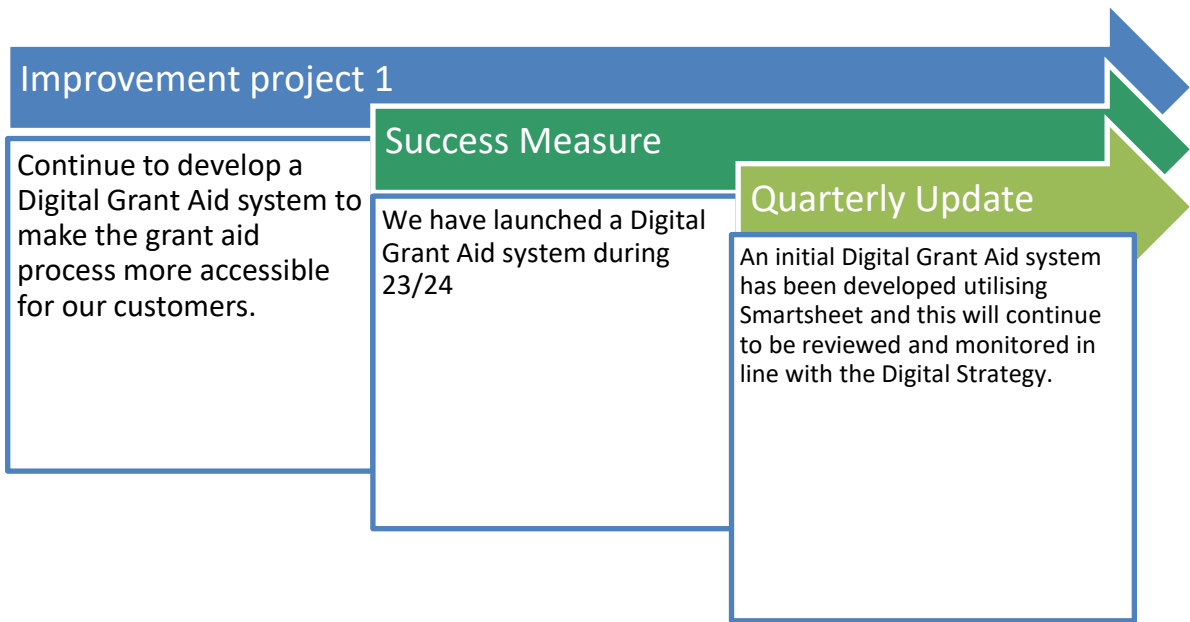
Performance Improvement Objectives 2023/24

Quarter 2, 2023/24



Performance Improvement Objective (1)

We will continue to improve our citizen engagement methods and ensure accessible processes for contacting the Council.



Improvement project 3

Continue to enable our citizens to influence decision making through community conversations in Drumbo, Killultagh and Castlereagh East

Success Measure

A village plan has been developed for Drumbo by the end of September 23 and for Killultagh and Castlereagh East by the end of March 24.

We can evidence by case studies the difference the community conversations have made.

Quarterly Update

Community engagements have been held in Drumbo and a Village Plan has been presented to the community for final consultation.

Work has begun on redrafting the Castlereagh East draft Locality Plan, for consultation so that the Plan can be developed by end of March 24. *(More details on page 5 of this document)*

Improvement project 4

Further develop the customer's experience when engaging with Council Services.

Success Measure

We have launched the new Customer Care system

We have launched the new Freedom of Information system

Quarterly Update

The new Customer Care system was launched in Q1.

The launch of the new Freedom of Information (FOI) system took place during Q2.

Objective 1 2023/24

We will continue to improve our citizen engagement methods and ensure accessible processes for contacting the council

Outcomes contributing to our Community Plan/Corporate Plan

- Public services are enhanced through co design and co-production
- Community ownership and management of local assets and facilities
- We feel a sense of belonging in our local neighbourhoods
- There is participation and volunteering in public and community life, arts, culture and sports by people of all backgrounds

What difference did we make?

Performance Improvement Project 1 Q2 outcomes	Feedback and Testimonials
Progress of the Digital Grant Aid system during 23/24	An initial Digital Grant Aid system has been developed utilising Smartsheet and this will continue to be reviewed and monitored in line with the Digital Strategy.

Performance Improvement Project 2 Q2 outcomes	Feedback and Testimonials
Dates have been confirmed for the Participatory Budgeting Initiatives in each of the following 2 DEA's: Castlereagh South and Castlereagh East	<p>The participatory budgeting initiative Grand Choice was launched in the Castlereagh South DEA on 21st August 2023. Twenty-six applications were received. The community marketplace event will take place on Saturday 21st October 2023 between 11am and 3pm in St Joseph's Parish Centre, Knockbracken Drive, Carryduff.</p> <p>The Castlereagh East tranche will launch in January 2024 and the community marketplace event will be held in March 2024 in the Castlereagh East DEA – venue to be confirmed.</p> <p><i>Case studies of the impact will be captured and reported upon later in the year.</i></p>

Performance Improvement Project 3 Q2 outcomes	Feedback and Testimonials
<p>The Village Plan for Drumbo</p> <p>The Community Conversation for Killultagh is currently being organised to take place in Q4.</p>	<p>Community engagements have been held in Drumbo in preparation for the development of the Village Plan. 'Place Game' interactive sessions with community involvement took place on Wednesday 20 September and Wednesday 27 September. There were approximately 50 people attended including partner organisations. Priorities were identified and a Village Plan has been presented to the community for final consultation. Several of the proposals identified through the process have been actioned e.g., environmental improvement works throughout the village and site meetings with DfI and NIHE.</p> <p><i>Case studies of the impact of this will be captured and reported upon later in the year.</i></p>

Performance Improvement Project 4 Q2 outcomes	Feedback and Testimonials
<p>Progress of launch of Customer care system and FOI system</p>	<p>The successful launch and implementation of the Customer Care System has enhanced the Council's ability to streamline service case management. Through automated email communications, customers now receive updates on their case resolution process, ensuring they remain informed and engaged throughout. Moreover, the system incorporates automated reminders for staff members assigned to specific cases, optimising task allocation and prompting timely actions. With the new system being accessibility-friendly and automated communication processes have led to improved service delivery and faster response times, ultimately boosting overall customer experience. This project serves as a clear demonstration of the council's dedication to delivering efficient and responsive services to its residents.</p> <p>The launch of the new Freedom of Information (FOI) system took place in Q2. The transition to an online submission format has streamlined the entire process, significantly reducing the administrative burden previously associated with monitoring incoming FOI requests via email, which enables more efficient handling and timely responses to information requests.</p>

Performance Improvement Objective (2)

We will continue to deliver Council led activities that seek to maintain and improve physical and mental wellbeing of our citizens

Improvement project 1

Success Measure

Improve the physical, mental and emotional wellbeing of our citizens through a number of programmes which include; developing skills in horticulture, physical wellbeing programmes and understanding the benefits of these.

We have provided 55 CSAW programmes with 1250 participants by the end of March 24.

We have provided 20 Woodland programmes and 20 Horticulture programmes with 1500 participants by the end of March 24.

We have provided 33 Biodiversity projects with 1420 participants by the end of March 24.

Quarterly Update

Summary C-Saw Project July- September 2023

Total C-SAW programmes	10
Total participants	165

Summary Woodland & Horticulture Programmes July- September 2023

Woodland Programmes	10
Horticulture Programmes	2
Total participants	236

Summary Biodiversity Projects July- September 2023

Total Biodiversity projects	7
Total participants	280

Improvement project 2

Success Measure

Respond to local labour market needs by working with our partners to provide funding to deliver a range of employability programmes. We aim to support residents within our Council area to achieve relevant qualifications that will enable them to gain employment.

Have supported 80 people within our Council area to achieve relevant qualifications that will enable them to gain employment.

Quarterly Update

8 Employability Initiatives have been fully recruited with a total of 124 participants enrolled on the various programmes. Currently 47 participants within our council area have completed their training/accreditation to date, giving them the opportunity to pursue new employment outcomes.

Objective 2 2023/24

We will continue to deliver Council led activities that seek to maintain and improve physical and mental wellbeing of our citizens

Outcomes contributing to our Community Plan / Corporate Plan

- We live healthy, fulfilling and long lives
- Good health will no longer be dependent on where we live or what income we have
- Older people age actively and more independently to stay well connected
- People of all ages are more physically active more often
- We enjoy good mental health

What difference did we make? Case Studies

Performance Improvement Project 1 Q2 outcomes	Feedback and Testimonials
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We have provided 10 CSAW programmes with 165 participants

Hillsborough Forest Park Walking Group

During quarter 2, we continued with our walking group at Hillsborough Forest Park. This is our original walking group. The walk takes place every Thursday



at 10.30am and once the walk is finished, we use the Hillsborough Village Centre for Tea, Coffee, Biscuits and a chat. The members of the group are great and come rain, hail or shine. The comments we have received from the members have included – *“this walk has allowed me to feel safe while walking as I wouldn’t walk round certain parts of the forest park on my own due to the darkness”* *“I look forward to the walk every week and really enjoy the social side to it”* *“The walk is great to have as part of my weekly routine”* *“The walk has allowed me to meet new friends”*.

Billy Neill Country Park Walking Group

This quarter we started a new walking group at Billy Neill Country Park. As we have a successful walking group at Hillsborough Forest Park, we wanted to set another one up at the other side of the council area. We meet every Wednesday at 10.30am outside the



pavilion in the park, we then use the pavilion for refreshments afterwards. Billy Neill Country Park is beautiful, and it was great to be able to showcase it by having this walking group. The comments received from attendees were *“It is fantastic to have something over this side of the council as at times it seems it gets forgot about”*

“I didn’t realise there was such a beautiful park here, I always thought it was just football pitches”

“This walking group was a great way to increase my activity level without feeling I was exercising”.

Rowan Centre Horticulture Programme

During this quarter we delivered an 8-week Horticulture programme for Rowan Day Centre. The day centres service users had various types of brain injuries. This was a really enjoyable group to work with. We did various different activities with the group which included pot painting, clay modelling, bug hotels and woodwork. We received some very nice comments from the management team at the centre as well as the service users –

“The programme was absolutely fantastic. The facilitators were able to engage clients with complex needs in a fun way. Clients talked about the sessions all week and were proud of their achievements. They got to try things that they would not normally get to do which give them a real sense of achievement. I can't speak highly enough about the programme.”

“Our service users have really looked forward to your weekly visit and enjoyed all the fun activities. All volunteers have been amazing, and we will be sad to see you guys go. Thank you so much.”

“Please come back again we loved it!”

“A great bunch of people thank you for your time.”

“We learnt so much and really appreciated this course”.



Stepping Stones Horticulture Programme

During this quarter we ran an 8-week horticulture programme for Stepping Stones youth service. Stepping Stones would have a horticulture programme with us every year and it’s always an enjoyable experience. Stepping Stones would have new service users every year, so the programme is being delivered to different people each time. One of the activities that we did with the group was a project to plant the garden wall at Bells Lane, which is pictured above, there was a lot of work in this which included



We have provided 10 Woodland programmes and 2 Horticulture programme with 236 participants

removing dead plants, selecting the appropriate plants, positioning them in the right area and planting them. A goal for Stepping Stones is to gain work experience so once the service users finish it will help them gain employment so a project like the garden wall worked well. Other activities that we did with the group included planting and harvesting of fruit and vegetables as well as woodwork. Some of the nice comments we received from the group included *“It has helped in continuing my horticultural skills.”* *“It helped me get out of the house and meet new people and learn a few new skills.”* *“The programme helped me to socialise better than before.”*

Other activities – Baby Massage and Movers classes & Ten Pin Bowling

Woodland programmes

Two local companies chose to have a volunteer day with us both at Glenmore Parkland.

The first was GE Vernova who attended with members of their office team and took part in clearance of Cherry Laurel at



Glenmore Parkland. The team spent the morning clearing over 300 whips and in the range of 400 woodland bulbs while having good fun. The company really enjoyed the experience and are very keen to volunteer in the future. 22/09/2023 (12 participants).



The second company was Sedgwick International UK, a large international company, who attended Glenmore Parkland for invasive species clearance, in this instance Cherry Laurel. Again, this was another successful day out

for a local company who were delighted with the atmosphere and the feel-good factor involved 29/09/2023 (12 participants).

One volunteer session, from our volunteer network, which involved the removal of baby oaks from an area which was due for grass cutting. These oaks were removed from a site near Kilmakee to be transplanted to our nursery for future planting in more suitable location. This was attended by six volunteers and was widely felt to be a very successful enjoyable event. 28/07/2023 (6 participants).

Seven summer scheme events were organised and attended by local summer scheme groups within the Council area and these events were hosted at three locations. The children were all below the age of



14 and mix of boys and girls. The event involved the planting of native tree seed and a leaf Identification session in which the children got to learn about the native trees within our areas. Five events were held at Loughmoss on the following dates: 19/07, 26/07, 02/08, 09/08 & 16/08 with the number of

participants being 25, 30, 24, 21 and 21 respectively. One event was held at Glenmore Activity Centre on the 26/07 with 26 in attendance and one event was held at Grove Activity Centre on the 27/07 with 23 in attendance. (Total participants 170).

The total number of participants is 200



Horticultural programmes

A wildflower seed sowing event was held at Loughmoss with the local community group, the Carryduff regeneration forum, in which an area of wildflower was sowed to enhance the biodiversity of the area.

There were 22 members of the community in attendance and the event was enjoyed by all (22 participants).




A winter hanging basket session for a group from the Public Health Agency was organised at Loughmoss and




attended by 14 participants of all ages. The group really enjoyed the event and were delighted with the knowledge and skills gained during the session (14 participants).



The total number of participants is 36



We have provided 7 Biodiversity projects with 280 participants


Please refer to pages 13-20 of this document to review


Performance Improvement Project 2 Q2 outcomes	Feedback and Testimonials
<p>Have supported 47 people within our Council area to achieve relevant qualifications that will enable them to gain employment.</p>	<p>8 Employability Initiatives have been fully recruited with a total of 124 participants enrolled on the various programmes. Currently 47 participants within our council area have completed their training/accreditation to date, giving them the opportunity to pursue new employment outcomes.</p> <p><u>Case Study from the HGV Transport Academy</u> Michael recently completed the Lisburn and Castlereagh HGV Academy, as he had a keen interest in securing employment within the industry. Michael was economically inactive due to long term caring responsibilities and found it difficult securing employment because of the barriers associated with long-term unemployment. Michael was therefore delighted to access this fully funded training course via the Lisburn Castlereagh LMP which provided him with a HGV license. Michael has recently accepted a driving post with Bryson Recycling.</p> 

Biodiversity Events	Date	Venue	Visitor Numbers	Brief Description
1. Park Life event	29th July 2023	Moat Park	Approximately 100 participants	<p>The Biodiversity Officer made bird feeders with the children at the event 'Park Life' held in Moat Park</p> 
2. Glenmore Summer scheme	1st August 2023	Glenmore Activity Centre	Approximately 30 children	<p>The Biodiversity Officer and the Waste and Communications Officer worked on a cross departmental project to promote biodiversity and recycling to the children at Glenmore Activity Centre Summer Scheme. The project involved making bird feeders and recycling games.</p>  

<p>3. Walk along the Lagan public</p>	<p>4th August 2023</p>	<p>Lagan Towpath, Lisburn</p>	<p>Approximately 30</p>	<p>The Biodiversity Officer organised a nature walk and talk along the River Lagan and around Glenmore Parkland trail with Deliotte Staff as a trial for businesses to take part in environmental awareness training.</p>   <p>Feedback</p> <ul style="list-style-type: none"> • <i>It was fab – great way to enter the weekend after a long week and feel like the team at the council went above beyond to get us experts on the different wildlife and trees as well as snacks!</i> • <i>It was a really lovely walk. All the knowledge shared was super interesting. The people accompanying us were amazing.</i> • <i>I genuinely don't have any negative feedback. It was such a nice day and such a pleasant surprise to have the guides! It was interactive and interesting. Really enjoyed it 😊</i> • <i>Was a fun and informative day out.</i>
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<p>4. Walk along the Lagan public</p>	<p>17th August 2023</p>	<p>Lagan Towpath, Lisburn</p>	<p>Approximately 30</p>	<p>The Biodiversity Officer promoted and delivered a free nature walk and talk to members of the public. The event was enjoyed by all ages.</p>  <p>Feedback : <i>The biodiversity walk along the River Lagan was a truly interesting and enlightening experience for me and my daughter Eloise. The expert's deep dive into the silent struggles of native trees against fungal infections offered a poignant look into the unobserved challenges within our serene landscapes. The discussion around invasive species illuminated the subtle yet substantial shifts within our local ecosystems and led to discussions around the impact of climate change, pollution and other environmental pressures. This event was not merely an educational walk, but a vivid reminder of our</i></p> 

				<p><i>responsibility towards preserving our environment. My heartfelt thanks to the organisers for an engaging, insightful adventure, marrying nature's beauty with ecological awareness.</i></p>
<p>5. Bat Event Lough Moss</p>	<p>Tuesday 12th September</p>	<p>Lough Moss</p>	<p>Approximately 30</p>	<p>The Biodiversity Officer organized a bat walk and talk around the Lough Moss site. The event was enjoyed by all ages.</p>  <p><i>Feedback</i></p> <p><i>“My husband and daughter loved the experience and my daughter wants to know when she can go again! I heard all about the different bats and now have to find bat programmes on National Geographic!” Maura</i></p> <p><i>“Was a really enjoyable evening. Our teenage daughter got dragged along but she could have stayed all night I think in the end. Both of the kids loved it. Thanks for arranging.” Mark</i></p> <p><i>“Hi Tracey, just word of mouth from a few folk on the way around. Really positive, everyone enjoyed doing something different & interesting. Really glad there were a few bats about to be seen & heard as that kept the kids happy ... well that & Margaret’s top hats! Thank you very much for arranging. Much</i></p>

				<p><i>appreciated.” Una</i></p>  <p><i>“My feedback is good. A very educational event, who knew there were eight bat species in Northern Ireland. And the bats that were there to look at also amazed me at how small they were. I always imagined bats as bigger creatures when I saw them flying round our land. The walk was also fantastic and we all saw many bats flying quite close to us. The detectors helped me to look where the pips were coming from. I enjoyed the whole experience so much I went home and ordered a bat detector lol. I sadly had to leave early as my back was playing havoc after the walk reached the far corner. Thank you again for organizing the event and I will be sure to try and get to one next March if possible. I work a shift pattern of four on, four off and attending will always depend as to whether I am on nights.” Steve Ramsey.</i></p>
<p>6. Bat Event Moira</p>	<p>26th September</p>	<p>Moira Demesne</p>	<p>Approximately 30</p>	

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The Biodiversity Officer organized a bat walk and talk around Moira Demesne. The event was



enjoyed by all ages. Feedback "It was really good and found the girl very easy to understand. She was very good at explaining about the bats. The pipistrelle was his favourite and he liked holding the long brown eared bat even though it was preserved. He liked being in the park at night because it felt different to the day. The bat detector was super fun to use, and he might ask Santa for one for Christmas as there are bats out the back of our house." Zach



<p>7. Bat Event Moat Park</p>	<p>Wednesday 20th September</p>	<p>Pavilion Moat Park</p>	<p>Approximately 30</p>	<p>The Biodiversity Officer organized a bat walk and talk around Moira Demesne. The event was enjoyed by all</p>   <p>ages.</p> <p>“Fantastic night at the Bat Walk! Interesting and brilliant facts. Thanks for organising.” Olivia Walker</p> <p>“Thanks so much for the bat talk and walk tonight, we thoroughly enjoyed it and hadn't realised how lovely Moat Park is (despite living up the road from it!). Please keep putting these events on as they are excellent and provide something different and interesting for local residents.” Nikki</p> 
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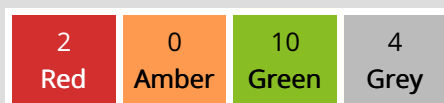
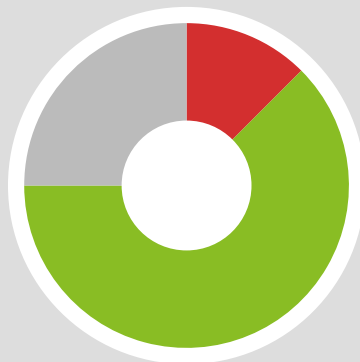
Cancelled event details				
Park Life Moat Park	22 nd July	Moat Park	Approximately 100	Event was cancelled due to inclement weather
Bat Event	19 th October 2023	Glenmore Park Land Trail	Approximately 30	Event was cancelled due to inclement weather
July – September 2023				
Total of 7 projects Total Biodiversity participants - 280				

Performance Summary

All

(Type = 'Performance Improvement')

Tuesday 5th of December 2023



Red = Target missed or Measure overdue
 Amber = Measure fallen slightly short/behind
 Green = Target met or exceeded
 Grey = Measure not yet due

Economic Development	1 Green
Parks & Amenities	2 (R) 5 Green
Arts, Culture and Community Services	2 Green 4 Grey
IT & Commercialisation	2 Green

IT & COMMERCIALISATION			DUE 1ST APR 24
225 : Digital systems New systems provided to develop customer experience: Launch of the new Customer Care System	TARGET Yes	ACTUAL Yes	STATUS Green
Notes: The new Customer Care system was launched in Q1 of 2023/24			

IT & COMMERCIALISATION			DUE 1ST APR 24
225 : Digital systems New systems provided to develop customer experience: Launch of the new FOI system	TARGET Yes	ACTUAL Yes	STATUS Green
Notes: The new FOI system was launched in Q2 of 2023/24			

ECONOMIC DEVELOPMENT			DUE 1ST OCT 2023
226 : Labour Market Partnership programme Participants: Number of participants in the Labour Market Partnership programme	TARGET 40	ACTUAL 47	STATUS Green
Notes: 47 participants have successfully completed the programme at end of Qtr 2			

PARKS & AMENITIES			DUE 1ST OCT 23
187 : Biodiversity Projects Number of biodiversity projects delivered during 2023/24: Number of biodiversity projects delivered during 2023/24	TARGET 5	ACTUAL 7	STATUS Green
Notes: 7 programmes delivered during Q2, these KPIs will increase in Q3 and Q4.			

PARKS & AMENITIES			DUE 1ST OCT 23
187 : Biodiversity Projects Number of biodiversity projects delivered during 2023/24: Number of participants in the biodiversity projects	TARGET 250	ACTUAL 280	STATUS Green
Notes: 280 participants during Q2, with more programmes planned for the remainder of the financial year the number of participants will increase in Q3 and Q4.			

PARKS & AMENITIES			DUE 1ST OCT 23
189 : CSAW programmes CSAW programme KPIs: Number of CSAW programmes delivered during 2023/24	TARGET 15	ACTUAL 10	STATUS Red
Notes: 10 programmes in Q2, with more programmes planned for the remainder of the financial year, these KPIs will increase in Q3 and Q4.			

PARKS & AMENITIES			DUE 1ST OCT 23
189 : CSAW programmes CSAW programme KPIs: Number of CSAW programme participants during 2023/24	TARGET 310	ACTUAL 165	STATUS Red
<p>Notes: 165 participants in Q2, with more programmes planned for the remainder of the financial year, the number of participants will increase in Q3 and Q4.</p>			

PARKS & AMENITIES			DUE 1ST OCT 23
213 : Sustainability Projects Woodland & Horticulture programmes: Number of woodland programmes	TARGET 8	ACTUAL 10	STATUS Green
<p>Notes: 10 programmes delivered during Q2, the number of programmes will increase in Q3 and Q4.</p>			

PARKS & AMENITIES			DUE 1ST OCT 23
213 : Sustainability Projects Woodland & Horticulture programmes: Number of horticulture programmes	TARGET 2	ACTUAL 2	STATUS Green
<p>Notes: 2 programmes delivered during Q2, the number of programmes will increase in Q3 and Q4.</p>			

PARKS & AMENITIES			DUE 1ST OCT 23
213 : Sustainability Projects Woodland & Horticulture programmes: Number of participants	TARGET 200	ACTUAL 236	STATUS Green
<p>Notes: 337 participants by end of Q2, with more programmes planned for the remainder of the financial year the number of participants will increase in Q3 and Q4.</p>			

ARTS, CULTURE AND COMMUNITY SERVICES			DUE 1ST APR 24
190 : Participatory Budgeting Participatory Budgeting initiative across 2 DEAs during 2023/24: Number of applications received	TARGET 60	ACTUAL	STATUS Grey
<p>Notes: PB initiatives are scheduled to take place in October 23 and January 24. Closing date for the first PB Initiative was on the 17th September 2023, 26 applications were received. The Community Marketplace event is scheduled for 21 October 2023. A further update on the number of awards made will be brought in Q3. (Updates on the total number of applications received and the number of awards made will be provided at the end of the financial year.)</p>			

ARTS, CULTURE AND COMMUNITY SERVICES			DUE 1ST APR 24
190 : Participatory Budgeting Participatory Budgeting initiative across 2 DEAs during 2023/24: Number of awards made	TARGET 45	ACTUAL	STATUS Grey
<p>Notes: PB initiatives are scheduled to take place in October 23 and January 24. The Community Marketplace event is scheduled for 21 October 2023. A further update on the number of awards made will be brought in Q3. (Updates on the total number of applications received and the number of awards made will be provided at the end of the financial year.)</p>			

ARTS, CULTURE AND COMMUNITY SERVICES

DUE 1ST APR 24

218 : Grant Aid Digital Grant Aid System: **A digital grant aid system has been developed**

TARGET
Yes

ACTUAL
Yes

STATUS
Green

Notes: An initial Digital Grant Aid system has been developed utilising Smartsheet and this will continue to be reviewed and monitored in line with the Digital Strategy.

ARTS, CULTURE AND COMMUNITY SERVICES

DUE 1ST APR 24

219 : Community Conversations In Drumbo, Killultagh & Castlereaigh East: **Village plan developed for Drumbo by end of September 23**

TARGET
Yes

ACTUAL
Yes

STATUS
Green

Notes: Village Plan has been developed and presented to the community for final consultation.

ARTS, CULTURE AND COMMUNITY SERVICES

DUE 1ST APR 24

219 : Community Conversations In Drumbo, Killultagh & Castlereaigh East: **Village plan developed for Killultagh**

TARGET
Yes

ACTUAL

STATUS
Grey

Notes: This is due for completion by the end of Q4

ARTS, CULTURE AND COMMUNITY SERVICES

DUE 1ST APR 24

219 : Community Conversations In Drumbo, Killultagh & Castlereaigh East: **Village plan developed for Castlereaigh East**

TARGET
Yes

ACTUAL

STATUS
Grey

Notes: This is due for completion by end of Q4

Committee:	Governance & Audit Committee
Date:	14th December 2023
Report from:	Performance Improvement Officer

Item for:	Noting
Subject:	Service KPIs – Q2 2023/24 All Directorates

1.0	<p><u>Background and Key Issues:</u></p> <p>1.1 As part of the Council's performance management responsibilities, key performance indicators (KPIs) are reported on a quarterly basis to committee, to ensure accountability and transparency.</p> <p>1.2</p> <p>1.3 Each directorate is responsible for their service KPIs.</p> <p>1.4 As part of the Council's governance responsibilities this committee will receive quarterly KPI reports for all directorates.</p> <p>1.5 The purpose of this report is to present this committee with the Q2 KPIs for the period July - September 2023 inclusive.</p> <p>1.6 At the September meeting, there was an action to review the frequency of measuring the KPIs. Where possible the service KPIs for all directorates have been adjusted to be measured quarterly and annual targets have been reset to reflect this.</p> <p>1.7 Attached under Appendix I is a report detailing the Q2 2023/24 KPIs for the Environmental Services Directorate. There are 10 Key Performance Indicators; five KPIs were on target, one KPI was not on target and the remaining four are not due to be measured until later in the financial year. Narratives have been included beside each KPI explaining reasons for these results.</p> <p>1.8 The 4 KPIs that are not due to be measured until later in the financial year relate to Operational Services. These KPIs cannot be measured more frequently than annual due to their reliance on data being pulled from the Waste Data Flow and the data is always a quarter in arrears. In the interim unvalidated data has been provided for Q1 2023/24.</p> <p>1.9 Attached under Appendix II is a report detailing the Q2 2023/24 KPIs for the Finance & Corporate Services Directorate. There are three Key Performance Indicators; one KPI was on target and two KPIs were not on target at the end of Q2. Narratives have been included beside each KPI explaining reasons for these results.</p> <p>1.10 Attached under Appendix III is a report detailing the Q2 2023/24 KPIs for the Organisational Development & Innovation Directorate. There are 12 Key Performance Indicators; 9 KPIs were on target at the end of Q2 and 3 KPIs did not meet the target. Narratives have been included beside each KPI explaining reasons for these results.</p> <p>1.11 Attached under Appendix IV is a report detailing the Q2 2023/24 KPIs for the Leisure & Community Wellbeing Directorate. There are 20 Key Performance Indicators; 18 KPIs were on target at the end of Q2 and two KPIs did not meet the target. Narratives have been included beside each KPI explaining reasons for these results.</p>
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1.12	Attached under Appendix V is a report detailing the Q2 2023/24 KPIs for the Regeneration & Growth Directorate. There are 12 Key Performance Indicators; six KPIs were on target at the end of Q2, two KPIs did not meet the target, and the remaining four will be measured later in the financial year. Narratives have been included beside each KPI explaining reasons for these results.	
1.13	The four KPIs that are not due to be measured until later in the financial year relate to Economic Development. These KPIs cannot be measured more frequently than annual, in the interim unvalidated data in relation to the KPI or a project update has been provided in the notes section.	
1.14	These reports are presented for consideration and scrutiny as appropriate.	
2.0	<u>Recommendation</u>	
	It is recommended that Members note the appended report.	
3.0	<u>Finance and Resource Implications</u>	
	N/A	
4.0	<u>Equality/Good Relations and Rural Needs Impact Assessments</u>	
4.1	Has an equality and good relations screening been carried out?	No
4.2	Brief summary of the key issues identified and proposed mitigating actions or rationale why the screening was not carried out	No – not applicable as the purpose of this report is to provide performance data.
4.3	Has a Rural Needs Impact Assessment (RNIA) been completed?	No
4.4	Brief summary of the key issues identified and proposed mitigating actions or rationale why the screening was not carried out.	No – not applicable as the purpose of this report is to provide performance data.

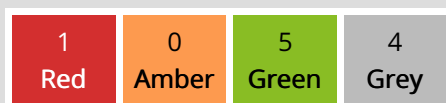
Appendices:	<p>Appendix I details the Q2 2023/24 KPIs for the Environmental Services Directorate.</p> <p>Appendix II details the Q2 2023/24 KPIs for the Finance & Corporate Services Directorate.</p> <p>Appendix III details the Q2 2023/24 KPIs for the Organisational Development & Innovation Directorate.</p> <p>Appendix IV details the Q2 2023/24 KPIs for the Leisure & Community Wellbeing Directorate.</p> <p>Appendix V details the Q2 2023/24 KPIs for the Service Transformation Directorate.</p>
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Performance Summary

Environmental Services

(Type = 'Service')

Tuesday 5th of December 2023



Red = Target missed or Measure overdue
 Amber = Measure fallen slightly short/behind
 Green = Target met or exceeded
 Grey = Measure not yet due

Environmental Health, Risk & Emergency Planning	1 (R)	4 Green
Operational Services	1 (G)	4 Grey

ENVIRONMENTAL HEALTH, RISK & EMERGENCY PLANNING			DUE 1ST OCT 23
	TARGET	ACTUAL	STATUS
101 : Planning Consultation % of general planning consultations responded to as a statutory consultee : % responded to within 15 working days of receipt by Environmental Health	90%	85%	Red
<p>Notes: Total number of Planning Consultations received by EHSU = 123. Total responded to within 15 working days = 104 = 85%. Responses could not be provided to all consultations within the required timescales with the current resource available. EHO undertaking additional duties, so unable to meet target. Currently building capacity within the section.</p>			

ENVIRONMENTAL HEALTH, RISK & EMERGENCY PLANNING			DUE 1ST OCT 23
	TARGET	ACTUAL	STATUS
102 : Health & Safety Inspections review: Carry out a review of the Corporate Health & Safety function and the service it provides to the Council	No	No	Green
<p>Notes: Q2 - Review of the Corporate Health and Safety function is still ongoing, due to be completed by end of March 2024.</p>			

ENVIRONMENTAL HEALTH, RISK & EMERGENCY PLANNING			DUE 1ST OCT 23
	TARGET	ACTUAL	STATUS
102 : Health & Safety Inspections review: Adoption of recommendations of the review to improve the Corporate H&S function	No	No	Green
<p>Notes: Review of the Corporate Health and Safety function is still ongoing, due to be completed by end of March 2024. Recommendations to be implemented as required following review of the Corporate Health and Safety function.</p>			

ENVIRONMENTAL HEALTH, RISK & EMERGENCY PLANNING			DUE 1ST OCT 2023
	TARGET	ACTUAL	STATUS
205 : Cemeteries - Implementation of the Cemetery Strategy: Works completed for Blaris Phase 1 cemetery extension (approximately 140 burial plots)	No	No	Green
<p>Notes: Tender process was completed in December 2022 for Phase 1a. Work on Phase 1A has continued throughout Q1 & Q2. It is anticipated the burial plots will be available from November 2023.</p>			

ENVIRONMENTAL HEALTH, RISK & EMERGENCY PLANNING			DUE 1ST OCT 2023
	TARGET	ACTUAL	STATUS
205 : Cemeteries - Implementation of the Cemetery Strategy: Planning application for Phase 1b cemetery extension to be submitted (approximately 480 burial plots)	No	No	Green
<p>Notes: Phase 1b of Lisburn New Cemetery Extension is with the IDT for full design. Once this has been approved, a Planning Application will be submitted. It is hoped that the Planning Application will be submitted in Autumn 2023.</p>			

OPERATIONAL SERVICES			DUE 1ST APR 24
165 : Recycling % of household waste collected by District Councils that is sent for recycling : % of household waste collected by District Councils that is sent for recycling	TARGET 50%	ACTUAL	STATUS Grey
<p>Notes: Q4 2022/23 - 45.2% (Q4 2021/22 - 45.1%) Q1 2023/24 - 54.46% (Q1 - 2022/23 - 54.2%) (the Q1 2023/24 figure is draft and has not yet been verified so is subject to amendment) NB: Quarterly recycling rates are impacted by the seasonality of waste arisings which is why 2022/23 and 2023/24 figures have been provided. (ie garden waste). Please note waste data is always a quarter in arrears due to the availability of data from waste data flow.</p>			

OPERATIONAL SERVICES			DUE 1ST APR 24
214 : Waste Collection LCCC collected municipal waste contribution to municipal waste recycling target: 55% recycling by 2025 (incremental targets set over next 3 years)	TARGET 53%	ACTUAL	STATUS Grey
<p>Notes: Q1 2023/2024 – 55.02% (this figure is draft and has not yet been verified so is subject to amendment). Please note waste data is always a quarter in arrears due to the availability of data from waste data flow. Recycling rates are seasonal and traditionally higher in summer months when, for example, the growing season results in higher volumes of materials collected for composting. The quarterly figure is a snapshot and should not be used to predict a ‘year end’ recycling rate. The L&CCC recycled figure of municipal waste for 2022/23 has not yet been received but for comparable purposes in 2021/22 L&CCC recycled 52% of municipal waste (down slightly from 52.1% in 2020/21).</p>			

OPERATIONAL SERVICES			DUE 1ST APR 24
215 : Waste Landfill Rate LCCC collected municipal waste contribution to municipal waste landfill target: Reduced to 10% or less of the total amount of municipal waste generated by 2035 (incremental targets set over next 12 years)	TARGET 36%	ACTUAL	STATUS Grey
<p>Notes: Q1 2023/24 - 34.7% (this figure is draft and has not yet been verified so is subject to amendment). Please note waste data is always a quarter in arrears due to the availability of data from waste data flow.</p>			

OPERATIONAL SERVICES			DUE 1ST OCT 2023
204 : Waste Kerbside model for collection, treatment, and disposal of household waste: Finalise the Outline Business Case for the kerbside model and progress Full Business Case for final approval	TARGET Yes	ACTUAL Yes	STATUS Green
<p>Notes: Full Business Case approved by Council on 24 January 2023. Equality consultation carried out during Q2, report on the updated position of the kerbside model review will be presented by the end of March 2024.</p>			

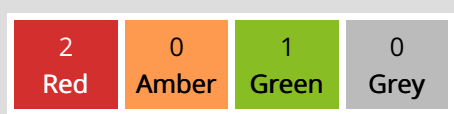
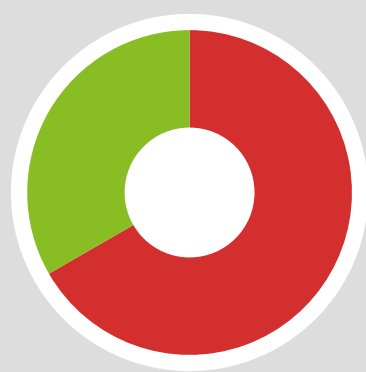
OPERATIONAL SERVICES			DUE 1ST APR 24
58 : Landfill The amount (Tonnage) of biodegradable Local Authority Collected Municipal Waste that is landfilled: Tonnage of biodegradable waste landfilled.	TARGET 16,444	ACTUAL	STATUS Grey
<p>Notes: Q1 2023/24 - 3151.8 tonnes (this figure is draft and has not yet been verified so is subject to amendment). Please note waste data is always a quarter in arrears due to the availability of data from waste data flow.</p>			

Performance Summary

Finance & Corporate Services

(Type = 'Service')

Tuesday 5th of December 2023



Red = Target missed or Measure overdue
 Amber = Measure fallen slightly short/behind
 Green = Target met or exceeded
 Grey = Measure not yet due

Facilities Management	1 Green
Finance	2 Red

FACILITIES MANAGEMENT			DUE 1ST OCT 23
199 : Customer Experience Rating - Customer satisfaction levels in relation to a number of LVI service offerings such as weddings/registration, and conferencing : Customer Satisfaction	TARGET 85%	ACTUAL 97%	STATUS Green
Notes:			

FINANCE			DUE 1ST OCT 23
16 : Finance Prompt Payment Indicators : Percentage supplier invoices paid within 30 Days	TARGET 100%	ACTUAL 87.04%	STATUS Red
Notes: This target will remain challenging until the introduction of a new finance system. The new system is in implementation stage and is expected to go live in the 2023/2024 financial year. The average across NI Councils for quarter 2 is 88%. The figures are slightly below the average due to summer annual leave across the Council. October shows a slight increase in this KPI.			

FINANCE			DUE 1ST OCT 23
16 : Finance Prompt Payment Indicators : Percentage supplier invoices paid within 10 days	TARGET 90%	ACTUAL 61.49%	STATUS Red
Notes: This target will be challenging until the introduction of a new finance system. The new system is in implementation stage and is expected to go live in the 2023/24 financial year. The average across all 11 NI Councils for quarter 2 is 69%. The figures are slightly below the average due to summer annual leave across the Council. October shows a slight increase in this KPI.			

Performance Summary

Organisational Development & Innovation

(Type = 'Service')

Thursday 30th of November 2023



Red = Target missed or Measure overdue
 Amber = Measure fallen slightly short/behind
 Green = Target met or exceeded
 Grey = Measure not yet due

Organisational Development & Innovation	2 Red
HR&OD	1 (R) Green
IT & Commercialisation	4 Green

HR&OD		DUE 1ST OCT 23		
14 : Employee Training Number of hours of off the job training per employee: Number of Hours	TARGET 6	ACTUAL 7.11	STATUS Green	
<p>Notes: There was a significant amount of technical and health & safety refreshers training due in August/September. As a result a lot of additional training was delivered in this area, such as manual handling, legionella and banksman.</p>				

HR&OD		DUE 1ST OCT 23		
15 : Elected Member Training Total number of hours of training per elected member: Number of Hours	TARGET 4	ACTUAL 7.95	STATUS Green	
<p>Notes: The increase in training hours is due to the newly elected members and significant induction programme.</p>				

HR&OD		DUE 1ST OCT 23		
221 : Apprentices Number of apprentices : Number of apprentices recruited and in post	TARGET 6	ACTUAL 19	STATUS Green	
<p>Notes: Our overall KPI in respect of our apprenticeship programme was to achieve a minimum of 18 apprentices. Our current compliment rests at 19 and it is likely we'll appoint a further HR Apprentice following interviews on the 11th October taking our total compliment to 20 Apprentices. We have retained in our numbers, those who have moved to fixed term or permanent posts within the Council but who remain on the course of study when first appointed as an apprentice. We have achieved our target in this regard.</p>				

HR&OD		DUE 1ST OCT 23		
222 : HR System Implementation of HR system: Implementation of ESS System	TARGET Yes	ACTUAL No	STATUS Red	
<p>Notes: The ESS was not implemented by the end of September, but will be in place by the end of the next quarter in December. The reason for delay for the ESS was the availability of a consultant to apply the Multi-factor authentication functionality .</p>				

HR&OD		DUE 1ST OCT 23		
222 : HR System Implementation of HR system: Full Implementation of HR System	TARGET No	ACTUAL No	STATUS Green	
<p>Notes: The delay is due to Payroll BACS template issues caused by the delay in implementation of the new PTX BACS payment system in Finance, as well as the later application of multi-factor authentication (due to consultant availability from the provider).</p>				

HR&OD			DUE 1ST OCT 2023
209 : Health & Wellbeing Health & Wellbeing Initiatives : The number and type of Health & Wellbeing Initiatives delivered during 2023/24	TARGET 6	ACTUAL 11	STATUS Green
<p>Notes: In the first quarter (April – June 2023) we had 11 Health & Wellbeing initiatives; • April wellbeing focus was on Mental Health - Managing Stress to coincide with National Stress Awareness Month • May wellbeing focus was on Physical Activity to coincide with National Walking Month • Mental Health Awareness Week: Putting the spotlight on Anxiety webinar • Parents Emotional Health workshop • Preventing Skin Cancer • Active Travel Challenge • Promoting Health Lifestyles workshop • Men’s Health Week • Nutrition in the workplace: best brain foods webinar • Caring for our Carers • Summer Strive programme for Employees & Members in conjunction with Parks & Amenities</p>			

IT & COMMERCIALISATION			DUE 1ST OCT 2023
180 : SMARTsheet Delivery of Business Solutions: Number of new Business Solutions developed using Smartsheets to develop a new system or replace legacy systems	TARGET 3	ACTUAL 4	STATUS Green
<p>Notes: CMT 23/24, Contracts Register, YouGov Notify Questionnaire Dashboard, Members IT Resources</p>			

IT & COMMERCIALISATION			DUE 1ST OCT 2023
182 : Digital & Innovation Strategy Delivery of Phase 2 of the Digital & Innovation Strategy : Number of projects delivered during Phase 2 of the Digital & Innovation Strategy	TARGET 5	ACTUAL 8	STATUS Green
<p>Notes: 8 by end of Q2: Customer Care System, FOI System, Waste & Operational Services System, Bulky Waste Booking Management System, Case Management, Use of QR Codes for vCards, Gov Notify SMS Service, New Digital Signage</p>			

IT & COMMERCIALISATION			DUE 1ST OCT 2023
183 : Full Fibre NI Council Sites connected to FFTP via FFNI : Number of Council Sites connected to FFTP via FFNI	TARGET 18	ACTUAL 23	STATUS Green
<p>Notes:</p>			

IT & COMMERCIALISATION			DUE 1ST OCT 23
195 : Telephony Telephony Performance: Telephony availability (%)	TARGET 99%	ACTUAL 99.95%	STATUS Green
<p>Notes: Telephony system not available for 1 hour during Q2</p>			

ORGANISATIONAL DEVELOPMENT & INNOVATION			DUE 1ST OCT 23
211 : Organisational Absence LCCC Organisation - The average number of working days lost due to absences reduced: Actual absence	TARGET 4	ACTUAL 4.21	STATUS Red
<p>Notes: The main reasons for absence are: Stress/Depression/Mental Health, Other Musculo-Skeletal Problems, Stomach/Liver/Kidney/Digestive, Chest and Respiratory and Other. A detailed report has been issued to the Corporate Services Committee and we have an officer dedicated to reducing absence.</p>			

ORGANISATIONAL DEVELOPMENT & INNOVATION

DUE 1ST OCT 23

211 : Organisational Absence LCCC Organisation - The average number of working days lost due to absences reduced: **Rolling Year Absence**

TARGET
14

ACTUAL
15.96

STATUS
Red

50

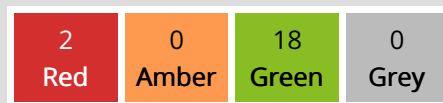
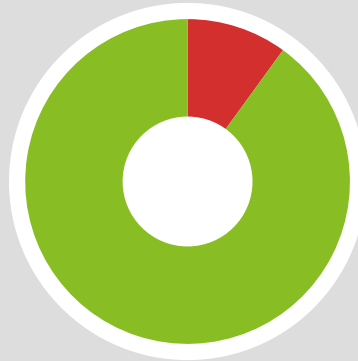
Notes: The main reasons for absence are: Stress/Depression/Mental Health, Other Musculo-Skeletal Problems, Stomach/Liver/Kidney/Digestive, Chest and Respiratory and Other. A detailed report has been issued to the Corporate Services Committee and we have an officer dedicated to reducing absence.

Performance Summary

Community Health & Wellbeing

(Type = 'Service')

Wednesday 6th of December 2023



Red = Target missed or Measure overdue
 Amber = Measure fallen slightly short/behind
 Green = Target met or exceeded
 Grey = Measure not yet due

Parks & Amenities	2 (R)	9 Green
Sports Services		5 Green
Arts, Culture and Community Services		4 Green

PARKS & AMENITIES			DUE 1ST APR 24
120 : Community Projects Number of new community benefit projects delivered per annum: Number of new community benefit projects delivered per annum	TARGET 3	ACTUAL 4	STATUS Green
<p>Notes: 1. Moira Community group received plants and bulbs. 2. Seymourhill Men's Shed received horticultural materials as well as assistance and plant material to rebuild planters at entrance to Seymourhill. 3. Drumbo Men's Shed received assistance to install picnic bench and base. 4. Annahilt Community group received horticultural materials.</p>			

PARKS & AMENITIES			DUE 1ST OCT 2023
201 : Park users Number of park users in key sites across the Council area. Measured by Access Counters. : Wallace Park	TARGET 325,000	ACTUAL 515,172	STATUS Green
<p>Notes:</p>			

PARKS & AMENITIES			DUE 1ST OCT 2023
201 : Park users Number of park users in key sites across the Council area. Measured by Access Counters. : Moira Demesne	TARGET 240,000	ACTUAL 290,298	STATUS Green
<p>Notes:</p>			

PARKS & AMENITIES			DUE 1ST OCT 2023
201 : Park users Number of park users in key sites across the Council area. Measured by Access Counters. : Moat Park	TARGET 175,000	ACTUAL 164,674	STATUS Red
<p>Notes: Historically footfall was increased in this park by Ulster Hospital users as they walked through the park to access the hospital site, they now have a designated onsite car park.</p>			

PARKS & AMENITIES			DUE 1ST OCT 2023
201 : Park users Number of park users in key sites across the Council area. Measured by Access Counters. : Castle Gardens	TARGET 60,000	ACTUAL 71,686	STATUS Green
<p>Notes:</p>			

PARKS & AMENITIES			DUE 1ST OCT 2023
201 : Park users Number of park users in key sites across the Council area. Measured by Access Counters. : Comber Greenway	TARGET 62,500	ACTUAL 89,423	STATUS Green
<p>Notes:</p>			

PARKS & AMENITIES			DUE 1ST OCT 2023
201 : Park users Number of park users in key sites across the Council area. Measured by Access Counters. : Mclroy Park	TARGET 87,500	ACTUAL 94,270	STATUS Green
Notes:			

PARKS & AMENITIES			DUE 1ST OCT 2023
201 : Park users Number of park users in key sites across the Council area. Measured by Access Counters. : Lagan Towpath	TARGET 82,500	ACTUAL 88,662	STATUS Green
Notes:			

PARKS & AMENITIES			DUE 1ST OCT 2023
201 : Park users Number of park users in key sites across the Council area. Measured by Access Counters. : Billy Neill	TARGET 175,000	ACTUAL 214,281	STATUS Green
Notes:			

PARKS & AMENITIES			DUE 1ST OCT 2023
201 : Park users Number of park users in key sites across the Council area. Measured by Access Counters. : Glenmore Parkland Trail	TARGET 22,500	ACTUAL 14,560	STATUS Red
Notes: New facility that continues to be developed. Footfall likely to rise Q3 and Q4			

PARKS & AMENITIES			DUE 1ST OCT 2023
201 : Park users Number of park users in key sites across the Council area. Measured by Access Counters. : Hillsborough Forest Park	TARGET 245,000	ACTUAL 283,220	STATUS Green
Notes:			

SPORTS SERVICES			DUE 1ST APR 24
151 : Vitality membership Annual target of Vitality members per year: Maintain the annual target of 12,500 members of our leisure facilities	TARGET 12,500	ACTUAL 16,032	STATUS Green
Notes: 2nd October 2023 current memberships sits at 16,032			

SPORTS SERVICES			DUE 1ST OCT 2023
152 : Footfall of all Leisure facilities Number of people attending our leisure facilities: Maintain the footfall within our leisure facilities above the benchmark of 950,000 per annum	TARGET 425,000	ACTUAL 716,998	STATUS Green
Notes: across indoor sites 637,485 + DIIB Bowl 79,513			

SPORTS SERVICES			DUE 1ST OCT 23
176 : Vitality Programme Number of classes : Number of classes available as part of the Vitality Programme	TARGET 1650	ACTUAL 1975	STATUS Green
Notes: LVL P-983, LM-476, DIIB-18, BN-54 (taken from previous report), Activity Centres 444			

SPORTS SERVICES			DUE 1ST APR 24
200 : Sports Development Number and type of engagements : Number of Sports Development engagements	TARGET 4	ACTUAL 4	STATUS Green
Notes: So far there has been the following Sports Development engagements in Q1 &2: June Lisburn Half Marathon, 10k and family fun run Mens Health over 50 event July & August Sports Summer Camps Sept/Oct - Introduction to woman's Health			

SPORTS SERVICES			DUE 1ST OCT 23
217 : Vitality Household Membership Impact of Vitality Household Membership: Maintain membership retention levels above 90%	TARGET 90%	ACTUAL 92%	STATUS Green
Notes: 8% of membership was lost during Q2 (ave 482/month) / increase in new membership alongside this means total figure is 100.5% from Q1s figure			

ARTS, CULTURE AND COMMUNITY SERVICES			DUE 1ST OCT 23
171 : Engagements Number of physical engagements by unit. (Footfall in facilities): Footfall in Community Centres	TARGET 23,000	ACTUAL 30,951	STATUS Green
Notes:			

ARTS, CULTURE AND COMMUNITY SERVICES			DUE 1ST OCT 23
171 : Engagements Number of physical engagements by unit. (Footfall in facilities): Footfall in the Island Arts Centre	TARGET 2,000	ACTUAL 2,302	STATUS Green
Notes:			

ARTS, CULTURE AND COMMUNITY SERVICES			DUE 1ST OCT 23
171 : Engagements Number of physical engagements by unit. (Footfall in facilities): Footfall in the Irish Linen Centre Lisburn Museum	TARGET 27,000	ACTUAL 49,491	STATUS Green
Notes: Footfall in the Irish Linen Centre Lisburn Museum was particularly high in Q2 due to the popularity of the Egyptian Hieroglyphs Exhibition.			

ARTS, CULTURE AND COMMUNITY SERVICES

DUE 1ST OCT 23

202 : Youth Council Youth Council engagements and collaborative projects delivered: **Number of Youth Council engagements and type of collaborative projects delivered**

TARGET

3

ACTUAL

6

STATUS

Green

55

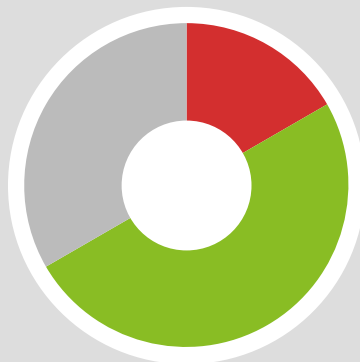
Notes: 4 recruitment & engagement events for the new cohort. 2 collaborative sessions with EANI and LCCC, to start to co-design their programme of activities.

Performance Summary

Regeneration & Growth

(Type = 'Service')

Tuesday 5th of December 2023



Red = Target missed or Measure overdue
 Amber = Measure fallen slightly short/behind
 Green = Target met or exceeded
 Grey = Measure not yet due

Planning & Capital Development	2 Red	2 Green
Assets and Technical Services	1 Green	
Economic Development	3 Green	4 Grey

PLANNING & CAPITAL DEVELOPMENT

DUE 1ST OCT 23

228 : Capital Programme Expenditure measured against Budget:
Cumulative % Expenditure against budget

TARGET
40%

ACTUAL
17.2%

STATUS
Red

57

Notes: The anticipated 23/24 spend, per estimates is £29,929,762. Total spend in Q2 is £5,146,718, this is 17.2%. Target was not met in Q2 as the decision in relation to future capital expenditure for Dundonald International Ice Bowl was only agreed this quarter. This will have a bearing on the future expenditure of the entire capital programme and expenditure will increase during the remainder of this financial year.

PLANNING & CAPITAL DEVELOPMENT

DUE 1ST OCT 23

27 : Major Applications Average processing time for major planning applications. (Processed from date valid to decision issued or withdrawn within an average of 30 weeks): **Major planning applications processed within an average of 30 weeks.**

TARGET
30

ACTUAL
25.6

STATUS
Green

Notes:

PLANNING & CAPITAL DEVELOPMENT

DUE 1ST OCT 23

28 : Local Applications Average processing time for local planning applications. (Processed from date valid to decision issued or withdrawn within an average of 15 weeks): **Local planning applications processed within an average of 15 weeks.**

TARGET
15

ACTUAL
41

STATUS
Red

Notes: Our continued focus on reducing the number of older applications from 2019, 2020 and 2021 means it is unlikely that the Council will return to good performance for local applications in the short term but the implementation of a structural review and improvement plan should see an overall improvement against this target by the end of the financial year. It is important to note that legal challenges, changes in our reporting requirements, the introduction of a new IT system, and other resource constraints have cumulatively impacted on our ability to improve performance in relation to local applications.

PLANNING & CAPITAL DEVELOPMENT

DUE 1ST OCT 23

29 : Enforcement Cases Enforcement cases processed to a target conclusion within 39 weeks of receipt of complaint: **Enforcement cases processed within 39 weeks**

TARGET
70%

ACTUAL
90%

STATUS
Green

Notes: A caution should be included that these are unvalidated statistics that have been calculated internally and are subject to change depending on publication of official stats.

ASSETS AND TECHNICAL SERVICES

DUE 1ST OCT 2023

212 : Assets Rental from the Council's leased assets: **% Lettable floor space within the Council's leased assets**

TARGET
90%

ACTUAL
95%

STATUS
Green

Notes: This has reduced from 97% when last measured in March 2023. The Neurology Inquiry has closed and they have vacated the space rented in Bradford Court. NILGA however have renewed their lease for a further 2 years. Our agent is in discussion with several interested parties for the remainder of the space.

ECONOMIC DEVELOPMENT

DUE 1ST APR 24

115 : Tourism - Integrated Marketing Campaign Deliver an Integrated Marketing Campaign: **Deliver Integrated Marketing Campaign during 23/24**

TARGET
Yes

ACTUAL
Yes

STATUS
Green

58

Notes: Continues to be successfully delivered during 23/24 with the next campaign being Christmas 2023.

ECONOMIC DEVELOPMENT

DUE 1ST APR 24

178 : Regeneration - Covid-19 Small Settlements Programme Delivery of the Covid-19 Small Settlements Programme: **Delivery of the Covid-19 Small Settlements Programme by end of March 2024**

TARGET
Yes

ACTUAL

STATUS
Grey

Notes: 80% Delivery of the Covid-19 Small Settlements Programme by end of March 2023 - Not on Target. Challenging delivery timeframe recognised by funders - Letter of Offer therefore extended until March 2024, with some further project extensions anticipated into 2024-25 to complete capital projects requiring statutory approvals. 6 projects now complete, 11 projects ongoing. Rural Investment Fund - 23 businesses issued with a letter of offer; Heritage Shopfront Scheme- 49 businesses issued with a letter of offer; proposals include Annahilt Environment Improvement scheme, Path at Navigation house, Maghaberry Pedestrian crossing, Moneyreagh landscaping works.

ECONOMIC DEVELOPMENT

DUE 1ST OCT 2023

184 : Belfast Regional City Deal (BRCD) Workstreams: **Number of workstreams being progressed under BRCD**

TARGET
2

ACTUAL
3

STATUS
Green

Notes: Three currently being progressed under BRCD the end of Q2 - Destination Royal Hillsborough, Digital Transformation Flexible Fund, and Employability and Skills Programme. Further update will be progressed later in the financial year.

ECONOMIC DEVELOPMENT

DUE 1ST APR 24

38 : New Jobs Number of new jobs per annum: **Number of new jobs linked to business start activity and new investment**

TARGET
116

ACTUAL

STATUS
Grey

Notes: Running Total of 55 jobs created to 2nd Qtr

ECONOMIC DEVELOPMENT

DUE 1ST OCT 2023

39 : Business Solutions - New Business conversion Conversion of local businesses attending Council led business development events through to direct business support interventions : **Introduction and successful roll out of new entrepreneurship support service**

TARGET
No

ACTUAL
No

STATUS
Green

Notes: NI-ESS in tender phase - due to be rolled out in November 2023

ECONOMIC DEVELOPMENT

DUE 1ST APR 24

44 : Rural Development Planned Programmes Rural Investment:**Planned**
TRPSI rural business programme investment

TARGET
TBC

ACTUAL

STATUS
Grey

59

Notes: No Change at end of 1st Qtr & 2nd Qtrs

ECONOMIC DEVELOPMENT

DUE 1ST APR 24

44 : Rural Development Planned Programmes Rural Investment:**Number**
of businesses and public sector organisation supported

TARGET
TBC

ACTUAL

STATUS
Grey

Notes: No Change at end of 1st Qtr & 2nd Qtrs

Committee:	Governance & Audit Committee
Date:	14th December 2023
Report from:	Performance Improvement Officer

Item for:	Noting
Subject:	NI Audit Office - Audit and Assessment Report 2023/24

1.0	<u>Background and Key Issues:</u>	
1.1	The Local Government Auditor carried out a Performance Improvement Audit of the Council during October 2023 in order to meet the requirements of the Local Government Act (NI) 2014. We have now received feedback and have achieved an unqualified audit.	
1.2	Attached under Appendices 1 and 2 is a final report and certificate of compliance recently issued by the NI Audit Office. This assessment is for the financial year 2022/23.	
1.3	The NIAO did not identify any issues requiring formal recommendation and they did not make any proposals for improvement in their Audit and Assessment Report 2023-24.	
1.4	However they did make some observations and suggestions on the thematic areas of the audit. These are detailed in annex B of Appendix 1.	
1.5	This report is presented for consideration and scrutiny as appropriate.	
2.0	<u>Recommendation</u>	
	It is recommended that Members note the appended report.	
3.0	<u>Finance and Resource Implications</u>	
	N/A	
4.0	<u>Equality/Good Relations and Rural Needs Impact Assessments</u>	
4.1	Has an equality and good relations screening been carried out?	No
4.2	Brief summary of the key issues identified and proposed mitigating actions or rationale why the screening was not carried out	No – not applicable as this report is for noting and does not require decision.
4.3	Has a Rural Needs Impact Assessment (RNIA) been completed?	No
4.4	Brief summary of the key issues identified and proposed mitigating actions or rationale why the screening was not carried out.	No – not applicable as this report is for noting and does not require decision.

Appendices:	Appendix 1 – Audit and Assessment Report 2023-24 Appendix 2 - Certificate of Compliance from NIAO
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Audit and Assessment Report 2023-24

Report to the Council and the Department for Communities under Section 95 of the Local Government (Northern Ireland) Act 2014

Lisburn and Castlereagh City Council
30 November 2023

Contents

1. KEY MESSAGES.....	1
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3. AUDIT FINDINGS.....	6
4. ANNEXES.....	8

We have prepared this report for Lisburn and Castlereagh City Council's sole use. You must not disclose it to any third party, quote or refer to it, without our written consent and we assume no responsibility to any other person.

1. Key Messages

Summary of the audit

Audit outcome	Status
Audit opinion	Unqualified opinion
Audit assessment	The LGA has concluded that the Council is likely to comply with Part 12 of the Local Government Act (Northern Ireland) 2014 (the Act) during 2023-24.
Statutory recommendations	The LGA made no statutory recommendations.
Proposals for improvement	The LGA made no new proposals for improvement.

This report summarises the work of the Local Government Auditor (LGA) on the 2023-24 performance improvement audit and assessment undertaken on Lisburn and Castlereagh City Council (LCCC). We would like to thank the Chief Executive and his staff, particularly the Performance Improvement Officer, for their assistance during this work.

We consider that we comply with the Financial Reporting Council (FRC) ethical standards and that, in our professional judgment, we are independent and our objectivity is not compromised.

Audit Opinion

The LGA has certified the performance arrangements with an unqualified audit opinion, without modification. She certifies an improvement audit and improvement assessment has been conducted. The LGA also states that, as a result, she believes that LCCC (the Council) has discharged its performance improvement and reporting duties, including its assessment of performance for 2022-23 and its 2023-24 improvement plan, and has acted in accordance with the Guidance.

Audit Assessment

The LGA has assessed whether the Council is likely to comply with its performance improvement responsibilities under Part 12 of the Local Government Act (Northern Ireland) 2014 (the Act). This is called the 'improvement assessment'.

In her opinion, the Council is likely to discharge its duties in respect of Part 12 of the Act during 2023-24 and has demonstrated a track record of improvement. The LGA did not exercise her discretion to assess and report whether the Council is likely to comply with these arrangements in future years.

Audit Findings

During the audit and assessment we identified no issues requiring a formal recommendation under the Act. We made no new proposals for improvement (see Section 3). Detailed observations on thematic areas are provided in Annex B.

Status of the Audit

The LGA's audit and assessment work on the Council's performance improvement arrangements is now concluded. By 31 March 2024 she will publish an Annual Improvement Report on the Council on the NIAO website, making it publicly available. This will summarise the key outcomes in this report.

The LGA did not undertake any Special Inspections under the Act in the current year.

Management of information and personal data

During the course of our audit we have access to personal data to support our audit testing. We have established processes to hold this data securely within encrypted files and to destroy it where relevant at the conclusion of our audit. We can confirm that we have discharged those responsibilities communicated to you in accordance with the requirements of the General Data Protection Regulations (GDPR) and the Data Protection Act 2018.

Other matters

Sustainability and Climate Change

Councils have begun to address the issue of climate change and sustainability, with individual councils at varying stages of progress. If councils are to link climate change and sustainable action to their performance objectives or even as part of their wider continuous improvement arrangements in future years, it will be necessary to consider arrangements to improve, including ensuring adequate resourcing and gathering of accurate data.

Benchmarking

The issue of benchmarking with other councils has been part of the work plan for the Performance Improvement Working Group (PIWG) for several years and limited progress has been made on this matter. Progress on this issue would allow a broader range of functions to be compared to support councils with their General Duty to Improve, in accordance with section 84 of the Local Government (Northern Ireland) Act 2014. We acknowledge that delays to this process were faced because of the COVID-19 pandemic.

2. Audit Scope

Part 12 of the Act provides all councils with a general duty to make arrangements to secure continuous improvement in the exercise of their functions. It sets out:

- a number of council responsibilities under a performance framework; and
- key responsibilities for the LGA.

The Department for Communities (the Department) has published 'Guidance for Local Government Performance Improvement 2016' (the Guidance) which the Act requires councils and the LGA to follow. Further guidance to clarify the requirements of the general duty to improve was issued by the Department during 2019.

The improvement audit and assessment work is planned and conducted in accordance with the Audit Strategy issued to the Council, the LGA's Code of Audit Practice for Local Government Bodies in Northern Ireland and the Statement of Responsibilities.

The improvement audit

Each year the LGA has to report whether each council has discharged its duties in relation to improvement planning, the publication of improvement information and the extent to which each council has acted in accordance with the Department's Guidance. The procedures conducted in undertaking this work are referred to as an "improvement audit". During the course of this work the LGA may make statutory recommendations under section 95 of the Act.

The improvement assessment

The LGA also has to assess annually whether a council is likely to comply with the requirements of Part 12 of the Act, including consideration of the arrangements to secure continuous improvement in that year. This is called the 'improvement assessment'. She also has the discretion to assess and report whether a council is likely to comply with these arrangements in future years.

The annual improvement report on the Council

The Act requires the LGA to summarise all of her work (in relation to her responsibilities under the Act) at the Council, in an 'annual improvement report'. This will be published on the NIAO website by 31 March 2024, making it publicly available.

Special inspections

The LGA may also, in some circumstances, carry out special inspections which will be reported to the Council and the Department, and which she may publish.

3. Audit Findings

During the audit and assessment no issues were identified that required a formal recommendation under the Act. There were also no issues identified requiring a Proposal for Improvement, which represents good practice to assist the Council in meeting its responsibilities for performance improvement.

Our procedures were limited to those considered necessary for the effective performance of the audit and assessment. Therefore, the LGA's observations should not be regarded as a comprehensive statement of all weaknesses which exist, or all improvements which could be made.

Detailed observations for the thematic areas can be found at Annex B.

4. Annexes

Annex A – Audit and Assessment Certificate

Audit and assessment of Lisburn and Castlereagh City Council's performance improvement arrangements

Certificate of Compliance

I certify that I have audited Lisburn and Castlereagh City Council's (the Council) assessment of its performance for 2022-23 and its improvement plan for 2023-24 in accordance with section 93 of the Local Government Act (Northern Ireland) 2014 (the Act) and the Code of Audit Practice for local government bodies.

I also certify that I have performed an improvement assessment for 2023-24 at the Council in accordance with Section 94 of the Act and the Code of Audit Practice.

This is a report to comply with the requirement of section 95(2) of the Act.

Respective responsibilities of the Council and the Local Government Auditor

Under the Act, the Council has a general duty to make arrangements to secure continuous improvement in the exercise of its functions and to set improvement objectives for each financial year. The Council is required to gather information to assess improvements in its services and to issue a report annually on its performance against indicators and standards which it has set itself or which have been set for it by Government departments.

The Act requires the Council to publish a self-assessment before 30 September in the financial year following that to which the information relates, or by any other such date as the Department for Communities (the Department) may specify by order. The Act also requires that the Council has regard to any guidance issued by the Department in publishing its assessment.

As the Council's auditor, I am required by the Act to determine and report each year on whether:

- The Council has discharged its duties in relation to improvement planning, published the required improvement information and the extent to which the Council has acted in accordance with the Department's guidance in relation to those duties; and

- The Council is likely to comply with the requirements of Part 12 of the Act.

Scope of the audit and assessment

For the audit I am not required to form a view on the completeness or accuracy of information or whether the improvement plan published by the Council can be achieved. My audits of the Council's improvement plan and assessment of performance, therefore, comprised a review of the Council's publications to ascertain whether they included elements prescribed in legislation. I also assessed whether the arrangements for publishing the documents complied with the requirements of the legislation, and that the Council had regard to statutory guidance in preparing and publishing them.

For the improvement assessment I am required to form a view on whether the Council is likely to comply with the requirements of Part 12 of the Act, informed by:

- a forward looking assessment of the Council's likelihood to comply with its duty to make arrangements to secure continuous improvement; and
- a retrospective assessment of whether the Council has achieved its planned improvements to inform a view as to its track record of improvement.

My assessment of the Council's improvement responsibilities and arrangements, therefore, comprised a review of certain improvement arrangements within the Council, along with information gathered from my improvement audit.

The work I have carried out in order to report and make recommendations in accordance with sections 93 to 95 of the Act cannot solely be relied upon to identify all weaknesses or opportunities for improvement.

Audit opinion

Improvement planning and publication of improvement information

As a result of my audit, I believe the Council has discharged its duties in connection with (1) improvement planning and (2) publication of improvement information in accordance with section 92 of the Act and has acted in accordance with the Department for Communities' guidance sufficiently.

Improvement assessment

As a result of my assessment, I believe the Council has discharged its duties under Part 12 of the Act and has acted in accordance with the Department for Communities' guidance sufficiently.

In my opinion, the Council has demonstrated a track record of ongoing improvement and I believe that the Council is likely to comply with Part 12 of the Act during 2023-24.

I have not conducted an assessment to determine whether the Council is likely to comply with the requirements of Part 12 of the Act in subsequent years. I will keep the need for this under review.

Other matters

I have no recommendations to make under section 95(2) of the Local Government (Northern Ireland) Act 2014.

I am not minded to carry out a special inspection under section 95(2) of the Act.



Colette Kane
Local Government Auditor
Northern Ireland Audit Office
106 University Street
BELFAST
BT7 1EU

30th November 2023

Annex B – Detailed observations

Thematic area	Observations
General duty to improve	<p>The Council has demonstrated that it has complied with S84 of the Local Government Act (Northern Ireland) 2014 and has established a system to secure continuous improvement in the exercise of its functions.</p> <p>The Council has considered objectives in line with the corporate plan and has identified specific projects and outcomes to measure success. The objectives are monitored using key performance indicator (KPI) quarterly reports. The arrangements are linked to the seven aspects of improvement in the statutory guidance and to the corporate plan.</p> <p>The Council published its Performance Improvement Plan 2023-24 in June 2023 following approval by the Governance and Audit Committee. The plan outlines the Council's arrangements to secure continuous improvement in the exercise of its functions, including the overall objectives, related projects, and self-imposed indicators.</p> <p>KPIs for functions and services across the Council are in place, monitored and reported on, and continue to be developed. The Council has an established performance management system software with an onscreen dashboard available to all Heads of Service and Directors to monitor their function and departmental performance in-year. KPIs across all functions and services are regularly reported on a quarterly basis. Performance against specific improvement objectives, KPIs and measures supporting them, are reported on regularly.</p> <p>The Council has developed a suite of indicators which enables it to track trends over time.</p>

Thematic area	Observations
Governance arrangements	<p>The Council has adequate governance and scrutiny arrangements in place. The Council has a Performance Improvement (PI) manager who regularly engages with delivery officers for projects and reports to members at every Audit and Governance (A&G) Committee with a full monitoring pack.</p> <p>The A&G Committee has performance improvement as a standing item on the agenda and findings are brought to the full Council for ratification. The Council Management Team (CMT) team also have oversight and input into the plan and each director will receive updates on the projects that fall under their remit.</p> <p>As part of audit fieldwork, we met with a sample of the Senior Responsible Officer's (SRO's) of the projects and reviewed their team structure, record keeping and arrangements for updating the Performance Improvement manager and performance improvement management system.</p> <p>Inquiries were also made with the Internal Audit department to assess if Performance Improvement works featured in their work programme. There is one advisory audit currently taking place and NIAO will review the findings.</p> <p>Additionally statutory indicators are verified independently.</p> <p>These arrangements are operating effectively.</p>
Improvement objectives	<p>Each improvement objective sets out:</p> <ul style="list-style-type: none"> - why it was selected; - the projects needed to achieve the objective; - links to the Corporate Plan and the seven criteria laid out in legislation; - what success will look like for each project, including measurable outcomes; and - overall desired outcomes from delivering each objective.

Thematic area	Observations
	<p>Arrangements are in place to aim to secure achievement of its improvement objectives. Council has a performance management system to collect and report on data and information specific to each overall objective and the Performance Improvement Officer also gathers qualitative data on a quarterly basis. Progress to date is reported to the Governance and Audit Committee each quarter in the form of both a KPI report and a more qualitative report detailing progress to date and shows a section on, "what difference did we make?" detailing feedback received and positive stories of community outcomes arising from the projects.</p> <p>The improvement objectives are legitimate as LCCC sees itself as a service provider and so it has focused its objectives on service. The objectives are simple and clear and linked to the Council's corporate plan and DfC guidance.</p> <p>We reviewed each of the objective's links to the seven areas or pillars of improvement and find they are appropriately mapped. The pillars are spread and captured evenly by the objectives and their associated projects.</p> <p>Additionally, the analysis of prior years has shown Vitality, the Council's flagship leisure membership scheme, is very successful and well thought of, the Council therefore elected to stop including it under the PI regime. It has instead looked at efforts in supporting local employment as a reaction to current circumstances. I believe this demonstrates positive, thought out and proportionate reaction into truly achieving continuous improvement.</p> <p>The consultation arrangements comply with the requirements of the Act and the Council's own policy on consultation.</p>

Thematic area	Observations
Consultation	<p>The consultation process in itself is effective. It allows a mix of online and in person events to gather a range of opinions on the proposed objectives. The process is open for six weeks and feedback can be submitted via multiple means any time of the year.</p> <p>The Council has made efforts in increasing participation, and this was rewarded with improved numbers. The staff category has been removed in this year but I would remind the council that the legislation encourages all stakeholders to have an opportunity to contribute, including those who live outside the Council boundary but may have interests within it.</p> <p>The increased participation number has also seen lowered support for the projects, in part as they are harder to explain via online survey and this broader range of feedback shows the importance of wider group participation as this adds varying perspectives.</p> <p>The mix of online and in person events is welcome and the PI manager acknowledges that there are still improvements to be made in the way the survey is structured. This is in relation to digestibility and explaining the objectives and projects in a brief way, that the public can understand.</p> <p>The Council is fulfilling its obligations in an open and transparent consultation. The Council may want to consider liaising with other Councils to identify aspects of the consultation exercise it can improve on.</p>
Improvement plan	<p>The improvement plan has complied with the relevant sections of the legislation and taken into consideration, and also applies, DfC guidance to the plan.</p> <p>The structure and content of the plan is appropriate, with all the required elements included. The statutory indicators have been agreed to verified data, where available. There was an opportunity for citizens to contribute and feed into the plan and there is an ongoing feedback mechanism to allow comments throughout the year. The plan was</p>

Thematic area	Observations
	<p>published in June and although it had no new objectives this year it included new and revised projects set out to deliver the objectives.</p>
<p>Arrangements to improve</p>	<p>The Council is required to establish arrangements to deliver on its improvement objectives each year. The Department for Communities' guidance states that the Council should be able to understand and demonstrate the impact of its arrangements for continuous improvement on the outcomes for citizens.</p> <p>The Council continues to make progress putting arrangements in place to secure continuous improvement in the exercise of its functions to achieve its General Duty to Improve as well as its improvement objectives in 2023-24 and has made arrangements to secure achievement of improvement in each of its improvement objectives.</p> <p>Projects are assigned to Senior Responsible Officers who are staff at Head of Service level within the Council. They are responsible for reporting to the Performance Improvement Officer on a regular basis and providing both qualitative and quantitative information to inform the reports taken to meetings and committees. Progress towards achievement of the objectives and underlying projects is monitored by the Corporate Management Team, and ultimate scrutiny and monitoring responsibility lies with the Governance & Audit Committee, who meet quarterly. It is regularly supplied with documentation to support the performance improvement items on the agenda, including a status report on KPIs and a qualitative report on progress to date, which assists it in performing its monitoring function.</p> <p>The Council's Performance Improvement guidance policy has been updated in year. As part of the changes, it will now be reviewed on a triannual basis which helps to ensure it remains relevant.</p>

Thematic area	Observations
<p>Collection, use and publication of performance information</p>	<p>In the prior year, we made several observations relating to improvements that could be made to the Council’s processes for collecting, using and publishing performance information and these have been acted on.</p> <p>This included monitoring a suite of KPI's over the year and for long term trend analysis. The Council has a range of KPI’s, statutory indicators and self-imposed KPI’s. The range and depth of analysis is sufficient and collected and monitored within the Performance Improvement management software.</p> <p>Additionally, in the prior year, we included an observation point relating to comparison of data with other councils and the Council has made progress in this area.</p> <p>The Council’s collection of figures has been tested by tracing to sources held by SRO’s. How the Council uses those figures to track performance and report to members has been reviewed. The Council publish the data for the public to have access to.</p>
<p>Demonstrating a track record of improvement</p>	<p>The Council has reported on the achievement of outcomes in the Self-Assessment Report.</p> <p>Outcomes (Performance Improvement Plan 2022-23) The Council has continued with the same two objectives for the 2023-24 plan and this helps connect them to the ten year Community Plan which will assist in the long term in demonstrating a track record of improvement. To ensure the success of the first objective there were five supporting projects. Completion was a mix of three fully completed and two partially completed with the unfinished projects being carried forward. Not abandoning projects at year end is important as it shows commitment to the plan.</p>

Thematic area	Observations
	<p>The second objective had two supporting projects with both fully completed.</p> <p>The inclusion of case studies assists in demonstrating the impact the projects make beyond the numbers.</p> <p>Indicators (Statutory) The council achieved four of the seven statutory indicators in the prior year and the journey continues for the three to continue to improve.</p> <ul style="list-style-type: none"> • Four achieved (ED1, P3, W2 & W3) • Three not met (P1, P2 & W1) <p>Indicators (Self-imposed) The Council had 41 internal KPI's during 2022/23 divided into 27 Performance Improvement and 14 self-imposed KPI's.</p> <p>The Council achieved 93% of their Performance Improvement KPI's and 71% of their self-imposed KPI's.</p> <p>One aspect we have raised previously is a trackable suite of KPI's demonstrating improvement over years.</p> <p>The Council has begun to address this, and more long-term metrics are being included, amending recording and working practices with the aim of future achievement.</p> <p>Therefore, as well as achievement information for the 2022-23 year, the Council includes trend information, where available, as far back as 2020/21 (for statutory indicators on pages 34-38, from 2018/19 for prompt payments on pages 47-48 and from 2019/20 for absenteeism on page 42). The use of tables, graphs and figures is clear in showing a progression which, excluding a slight deviation for some targets during pandemic periods, demonstrates a trend of ongoing improvement.</p>

Audit and assessment of Lisburn and Castlereagh City Council's performance improvement arrangements

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I also certify that I have performed an improvement assessment for 2023-24 at the Council in accordance with Section 94 of the Act and the Code of Audit Practice.

This is a report to comply with the requirement of section 95(2) of the Act.

Respective responsibilities of the Council and the Local Government Auditor

Under the Act, the Council has a general duty to make arrangements to secure continuous improvement in the exercise of its functions and to set improvement objectives for each financial year. The Council is required to gather information to assess improvements in its services and to issue a report annually on its performance against indicators and standards which it has set itself or which have been set for it by Government departments.

The Act requires the Council to publish a self-assessment before 30 September in the financial year following that to which the information relates, or by any other such date as the Department for Communities (the Department) may specify by order. The Act also requires that the Council has regard to any guidance issued by the Department in publishing its assessment.

As the Council's auditor, I am required by the Act to determine and report each year on whether:

- The Council has discharged its duties in relation to improvement planning, published the required improvement information and the extent to which the Council has acted in accordance with the Department's guidance in relation to those duties; and
- The Council is likely to comply with the requirements of Part 12 of the Act.

Scope of the audit and assessment

For the audit I am not required to form a view on the completeness or accuracy of information or whether the improvement plan published by the Council can be achieved. My audits of the Council's improvement plan and assessment of performance, therefore, comprised a review of the Council's publications to ascertain whether they included elements prescribed in legislation. I also assessed whether the arrangements for publishing the documents complied with the requirements of the legislation, and that the Council had regard to statutory guidance in preparing and publishing them.

For the improvement assessment I am required to form a view on whether the Council is likely to comply with the requirements of Part 12 of the Act, informed by:

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The work I have carried out in order to report and make recommendations in accordance with sections 93 to 95 of the Act cannot solely be relied upon to identify all weaknesses or opportunities for improvement.

Audit opinion

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As a result of my audit, I believe the Council has discharged its duties in connection with (1) improvement planning and (2) publication of improvement information in accordance with section 92 of the Act and has acted in accordance with the Department for Communities' guidance sufficiently.

Improvement assessment

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In my opinion, the Council has demonstrated a track record of ongoing improvement and I believe that the Council is likely to comply with Part 12 of the Act during 2023-24.

I have not conducted an assessment to determine whether the Council is likely to comply with the requirements of Part 12 of the Act in subsequent years. I will keep the need for this under review.

Other matters

I have no recommendations to make under section 95(2) of the Local Government (Northern Ireland) Act 2014.

I am not minded to carry out a special inspection under section 95(2) of the Act.



Colette Kane
Local Government Auditor
Northern Ireland Audit Office
106 University Street
BELFAST
BT7 1EU

30th November 2023

Committee:	Governance & Audit
Date:	14 th December 2023
Report from:	Samantha Rice

Item for:	Noting
Subject:	Corporate Risk Register

1.0	<p><u>Background and Key Issues</u></p> <p>This report represents the quarterly review of the Corporate Risk Register, which has been updated by Heads of Service and considered and agreed by CMT.</p> <p>The Council's risks continue to be monitored and managed (Appendix I), with 2 existing high risks:</p> <ul style="list-style-type: none"> • CRR 6 Cyber Security – due to increased cyber security threat factors. • CRR 11 Burial Grounds – due to burial ground capacity within the Council area. <p>and one new corporate high risk:</p> <ul style="list-style-type: none"> • CRR 12 DIIB – raised from Communities and Wellbeing Directorate Risk Register given the position of DIIB and the percentage it represents on the overall programme. Requirement to deliver this project will challenge the organisational capacity and require continued monitoring. In terms of process, assurance was tested through both internal and NIAO reviews. These reviews concluded that the Capital Programme processes were found to be satisfactory from a governance, cost and change controls perspective. <p>Additional fluctuations since last quarter include:</p> <ul style="list-style-type: none"> • CRR 1 Serious Injury / Fatality – Increased from medium 6 to medium 8 due to vacant corporate health & safety posts. Ongoing process in place to fill posts, with current EHO cover x 1 post. • CRR 7 Financial Sustainability – Reduced from high 12 to medium 9 due to clarity around funding and current stage of financial year. <p>Directorate Risk Registers (Appendix II to VI) are also presented bi-annually at June and December Committee in accordance with the Council's Risk Management Strategy reporting schedule.</p>
2.0	<p><u>Recommendation</u></p> <p>It is recommended that Members:</p> <ol style="list-style-type: none"> 1. Note the Corporate Risk Register (Appendix I). 2. Note the Directorate Risk Registers (Appendix II to Appendix VI).
3.0	<p><u>Finance and Resource Implications</u></p> <p>N/A</p>
4.0	<p><u>Equality/Good Relations and Rural Needs Impact Assessments</u></p>

4.1	Has an equality and good relations screening been carried out?	No
4.2	Brief summary of the key issues identified and proposed mitigating actions or rationale why the screening was not carried out	N/A
4.3	Has a Rural Needs Impact Assessment (RNIA) been completed?	No
4.4	Brief summary of the key issues identified and proposed mitigating actions or rationale why the screening was not carried out.	N/A

Appendices:	<ul style="list-style-type: none"> Appendix I Corporate Risk Register Dashboard Appendix II Environmental Services Appendix III Communities & Wellbeing Appendix IV Finance & Corporate Services Appendix V Organisation Development & Innovation Appendix VI Regeneration & Growth
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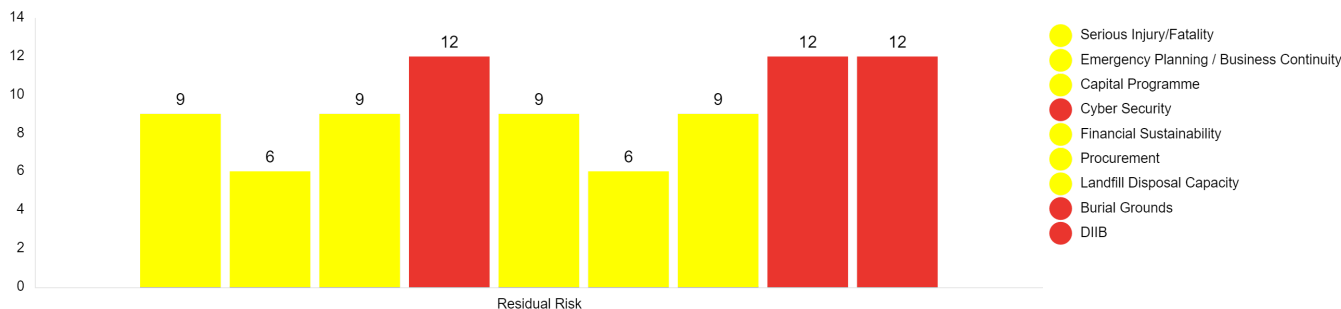


LCCC CORPORATE RISK LIVE DASHBOARD

Risk Matrix				
Likelihood	Minor	Moderate	Major	Catastrophic
Very Likely	4	8	12	16
Likely	3	6	9	12
Unlikely	2	4	6	8
Very Unlikely	1	2	3	4
	Minor	Moderate	Major	Catastrophic

CORPORATE SUMMARY

Corporate Risk Summary



- Serious Injury/Fatality
- Emergency Planning / Business Continuity
- Capital Programme
- Cyber Security
- Financial Sustainability
- Procurement
- Landfill Disposal Capacity
- Burial Grounds
- DIIB

CORPORATE RISK REGISTER

Corporate Risks

High Risk	Ref.	Risk	Inherent Risk	Risk Description	Risk Owner	Current Controls / Additional Actions	Residual Risk	Fluctuation since last review	Rationale
⚠	CRR 001	Serious Injury/Fatality	12	Breach in internal H&S arrangements resulting in injuries / loss of life / illness.	HOS Environmental Health, Risk & Emergency Planning	CRR 1 Serious Injury / Fatality	9	↑	Increased from medium 6 to medium 9 due to vacant corporate health & safety posts. Ongoing process in place to fill posts with current EHO cover x 1 post.
⚠	CRR 002	Emergency Planning / Business Continuity	12	Inability to respond to Command, Control & Coordination arrangements or concurrent emergencies due to increased strain on current resources resulting in impact on resilience.	HOS Environmental Health, Risk & Emergency Planning	CRR 2 Emergency Planning / Business Continuity	6	↔	
⚠	CRR 004	Capital Programme	12	Potential failure to deliver the agreed outcomes of the capital programme as a result of affordability or changes in third party funding arrangements.	HOS Planning	CRR 4 Capital Programme	9	↔	
🚩	CRR 006	Cyber Security	16	Cyber attack resulting in significant outage or data loss.	Director Organisation Development & Innovation	CRR 6 Cyber Security	12	↔	
⚠	CRR 007	Financial Sustainability	16	Failure to deliver balanced budget 2023/24 and longer term financial resilience and sustainability.	HOS Finance	CRR 7 Financial Sustainability	9	↓	Reduced from high to medium risk due to due to clarity around funding and current stage of financial year.
⚠	CRR 009	Procurement	9	Non compliance with procurement and contract regulations, policies and processes resulting in reputation/financial loss and risk of litigation.	HOS Assets	CRR 9 Procurement	6	↔	
⚠	CRR 010	Landfill Disposal Capacity	16	Uncertainty going forward in relation to the arc21 municipal waste disposal contract. Interim residual waste treatment contract to be established. Potential associated increase in costs.	HOS Operations	CRR 10 Landfill Disposal	9	↔	
🚩	CRR 011	Burial Grounds	12	Risk of insufficient LCCC burial ground capacity within the Council area.	HOS Environmental Health, Risk & Emergency Planning	CRR 011 Burial Grounds	12	↔	
🚩	CRR 012	DIIB	12	Potential failure to deliver the DIIB project as a result of affordability or changes in third party funding arrangements.	Director of Leisure & Comm Wellbeing	CRR 012 DIIB	12	*	Escalated from Departmental Risk Register due to the percentage it represents on the overall programme. Resource requirement to deliver this project will challenge the organisational capacity and require continued monitoring.

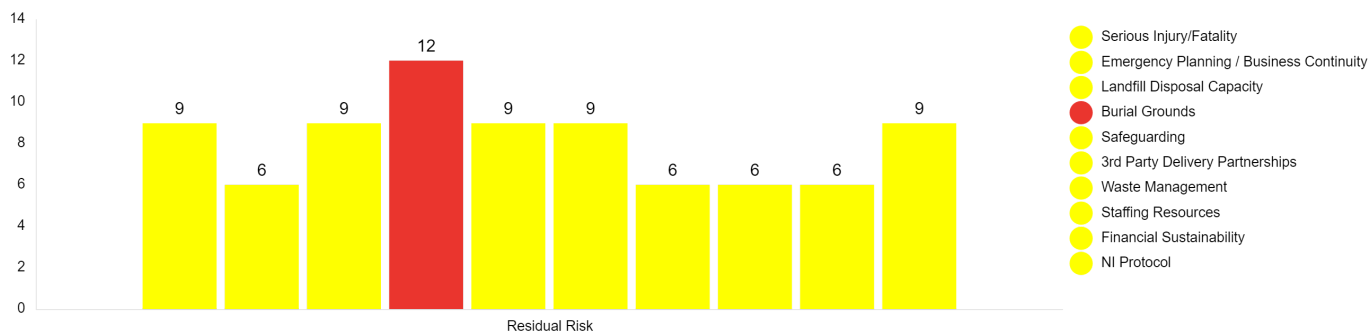


**ENVIRONMENTAL SERVICES
DEPARTMENTAL RISK
LIVE DASHBOARD**

Risk Matrix				
Likelihood	Minor	Moderate	Major	Catastrophic
Very Likely	4	8	12	16
Likely	3	6	9	12
Unlikely	2	4	6	8
Very Unlikely	1	2	3	4
	Minor	Moderate	Major	Catastrophic

ENVIRONMENTAL SERVICES RISK SUMMARY

Environmental Services Departmental Risks



ENVIRONMENTAL SERVICES DEPARTMENTAL RISK REGISTER

Environmental Services Risk Register

Ref.	High Risk	Risk	Risk Description	Risk Owner	Inherent Risk	Current Controls / Additional Actions	Residual Risk	Fluctuation since last review	Rationale
CRR 001	⚠	Serious Injury/Fatality	Breach in internal H&S arrangements resulting in injuries / loss of life / illness.	HOS Environmental Health, Risk & Emergency Planning	12	CRR 1 Serious Injury / Fatality	9	↑	Increased from medium 6 to medium 9 due to vacant corporate health & safety posts. Ongoing process in place to fill posts with current EHO cover x 1 post.
CRR 002	⚠	Emergency Planning / Business Continuity	Inability to respond to Command, Control & Coordination arrangements or concurrent emergencies due to increased strain on current resources resulting in impact on resilience.	HOS Environmental Health, Risk & Emergency Planning	12	CRR 2 Emergency Planning / Business Continuity	6	↔	
CRR 010	⚠	Landfill Disposal Capacity	Uncertainty going forward in relation to the arc21 municipal waste disposal contract. Interim residual waste treatment contract to be established. Potential associated increase in costs.	HOS Operations	16	CRR 10 Landfill Disposal	9	↔	
CRR 011	🚩	Burial Grounds	Risk of insufficient LCCC burial ground capacity within the Council area.	HOS Environmental Health, Risk & Emergency Planning	12	CRR 011 Burial Grounds	12	↔	
ES 1	⚠	Safeguarding	Failure to adequately safeguard vulnerable groups due to insufficient controls in place resulting in harm to vulnerable person (s).	HOS Environmental Health, Risk & Emergency Planning	16	ES 1 Safeguarding	9	↔	As of 20.09.23 - Regulated staff training currently 50%. LMS training 28%. DV training is ongoing and further KS L2 training for Regulated posts requested.
ES 2	⚠	3rd Party Delivery Partnerships	Failure of key partnerships due to under resource/financial support resulting in failure to deliver expected benefits, service improvements and targets (Contractors, delivery partners - ARC21 and Funders)	Director Environmental Services	12	ES 2 3rd Party Delivery Partnerships	9	↔	
ES 3	⚠	Waste Management	LCCC provides waste collection & disposal services within a legislative context. Failure to deliver these services in part or in full, or failure to meet targets set out in legislation would place the Council in a default position regarding statutory obligations, which brings a legal, financial and reputational risk.	HOS Operations	9	ES 3 Waste Management	6	↔	
ES 4	⚠	Staffing Resources	Insufficient staffing resources due to competing priorities: Absenteeism, concurrent emergencies, skills shortages etc.	Director Environmental Services	16	ES 4 Staffing Resources	6	↔	
ES 5	⚠	Financial Sustainability	Failure to deliver balanced budget 2023/24 and longer term financial resilience and sustainability.	Director Environmental Services	16	ES 5 Financial Sustainability	6	↔	
ES 6	⚠	NI Protocol	Changes in UK laws with the potential to misalign NI with EU food and animal welfare requirements, with potential implications for Council involvement in SPS rules and checks, and associated general economic implications for the LCCC business community.	Director Environmental Services	12	ES 6 NI Protocol	9	★	Removed from Corporate Risk Register to be managed at Departmental level by Environmental Services due to operational performance over the past few years with no financial detriment. Continue to be managed within operational climate.

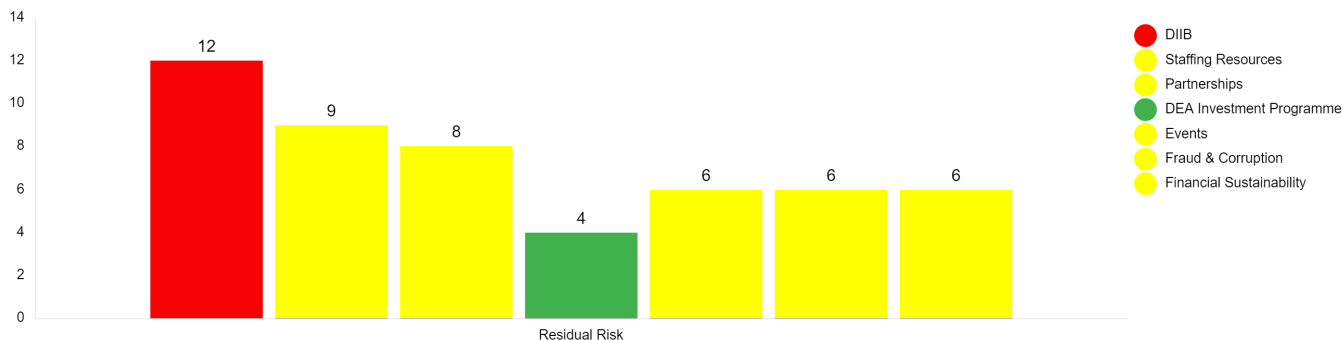


COMMUNITIES & WELLBEING DEPARTMENTAL RISK LIVE DASHBOARD

Risk Matrix				
Likelihood	Minor	Moderate	Major	Catastrophic
Very Likely	4	8	12	16
Likely	3	6	9	12
Unlikely	2	4	6	8
Very Unlikely	1	2	3	4
	Minor	Moderate	Major	Catastrophic

COMMUNITIES & WELLBEING RISK SUMMARY

Communities & Wellbeing Departmental Risks



COMMUNITIES & WELLBEING DEPART RISK REGISTER

Communities & Wellbeing Risk Register

Ref.	High Risk	Risk	Risk Description	Risk Owner	Inherent Risk	Current Controls / Additional Actions	Residual Risk	Fluctuation since last review	Rationale
CRR 012	🚩	DIIB	Potential failure to deliver the DIIB project as a result of affordability or changes in third party funding arrangements.	Director of Leisure & Comm Wellbeing	12	CRR 012 DIIB	12	★	Escalated from Departmental Risk Register due to the percentage it represents on the overall programme. Resource requirement to deliver this project will challenge the organisational capacity and require continued monitoring.
LCW 1	🚩	Staffing Resources	Insufficient staffing resources due to volume of turnover.	Director of Leisure & Comm Wellbeing	16	LCW 1 Staffing	9	↓	Reduced from high to medium risk departmentally due to filling of posts. Continue to be monitored at high risk level on Sports Services Service Unit Risk Register due to volume of agency cover.
LCW 2	🚩	Partnerships	Risk of failure of key partnerships to deliver expected benefits, service improvements and targets.	Director of Leisure & Comm Wellbeing	12	LCW 2 Partnerships	8	↔	
LCW 4	🚩	DEA Investment Programme	Failure to deliver the DEA Investment Programme in time and within budget due to resourcing/governance arrangements.	Director of Leisure & Comm Wellbeing	12	LCW 4 DEA Investment Programme	4	↓	Reduced from medium to low risk due to governance procedures in place and implementation at this phase.
LCW 5	🚩	Events	Staging, facilitating or cancellation of large scale events.	Director of Leisure & Comm Wellbeing	9	LCW 5 Events	6	↔	
LCW 6	🚩	Fraud & Corruption	Risk of fraud and bribery due to staff vulnerability in relation to procurement, invoicing, cash handling, bookings and fees etc. resulting in potential litigation.	Director of Leisure & Comm Wellbeing	9	LCW 6 Fraud & Corruption	6	↔	
LCW 7	🚩	Financial Sustainability	Failure to deliver within budget due to increased operating costs. (eg. materials, utilities etc.)	Director of Leisure & Comm Wellbeing	16	LCW 7 Financial Sustainability	6	↔	

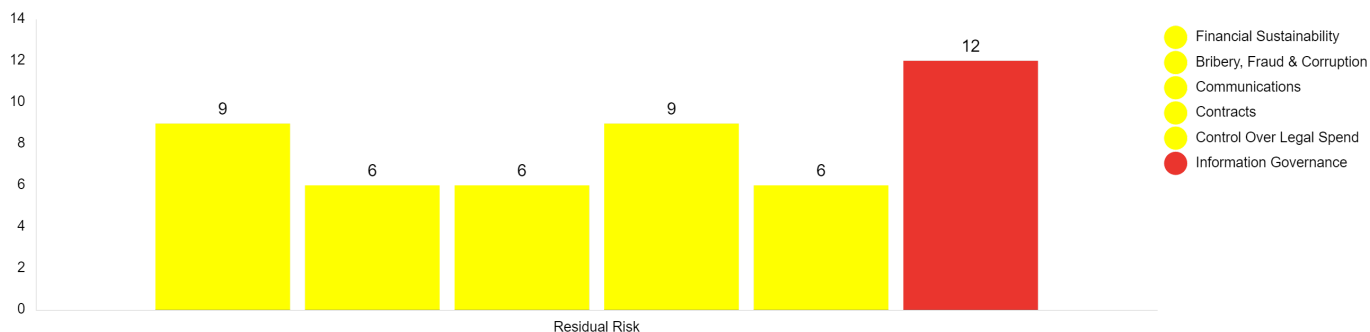


**FINANCE & CORPORATE SERVICES
DEPARTMENTAL RISK LIVE DASHBOARD**

Risk Matrix				
Likelihood	Minor	Moderate	Major	Catastrophic
Very Likely	4	8	12	16
Likely	3	6	9	12
Unlikely	2	4	6	8
Very Unlikely	1	2	3	4
	Minor	Moderate	Major	Catastrophic

FINANCE & CORPORATE SERVICES RISK SUMMARY

Finance & Corporate Services Departmental Risks



FINANCE & CORPORATE SERVICES RISK REGISTER

Finance & Corporate Services Risk Register

Ref.	High Risk	Risk	Risk Description	Risk Owner	Inherent Risk	Current Controls / Additional Actions	Residual Risk	Fluctuation since last review	Rationale
CRR 007	☐	Financial Sustainability	Failure to deliver balanced budget 2023/24 and longer term financial resilience and sustainability.	HOS Finance	16	CRR 7 Financial Sustainability	9	↓	Reduced from high to medium risk due to due to clarity around funding and current stage of financial year.
FCS 1	☐	Bribery, Fraud & Corruption	Lack of effective internal control and governance framework, resulting in internal control failure, increased risk of bribery, fraud and/or corruption.	Director of Finance & Corporate Services	9	FCS 1 Bribery Fraud Corruption	6	↔	
FCS 2	☐	Communications	The risk of inadequate, delayed or inaccurate information and/or communications resulting in operational delays or reputational damage as a result of under resource and/or lack of coordination.	Director of Finance & Corporate Services	9	FCS 2 Communications	6	↔	
FCS 3	☐	Contracts	Mismanagement of contracts due to lack of central oversight/management resulting in financial inefficiencies and potential contract procurement breaches.	Director of Finance & Corporate Services	12	FCS 3 Contracts	9	↔	
FCS 4	☐	Control Over Legal Spend	Overspend on Legal Costs	Director of Finance & Corporate Services	8	FCS 4 Legal Spend	6	↔	
FCS 5	☑	Information Governance	Inadequate controls relating to information governance leading to non compliance.	Director of Finance & Corporate Services	16	FCS 5 Information Governance	12	↔	

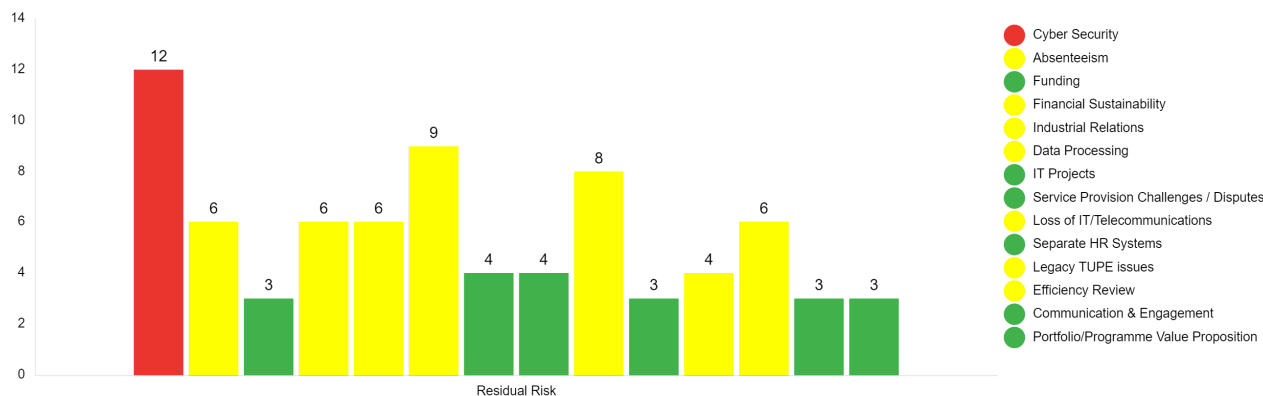


ORGANISATION DEVELOPMENT & INNOVATION DEPARTMENTAL RISK LIVE DASHBOARD

Risk Matrix				
Likelihood	Minor	Moderate	Major	Catastrophic
Very Likely	4	8	12	16
Likely	3	6	9	12
Unlikely	2	4	6	8
Very Unlikely	1	2	3	4
	Minor	Moderate	Major	Catastrophic

ORGANISATION DEV & INNOVATION RISK SUMMARY

Organisation Dev & Innovation Departmental Risks



ORGANISATION DEV & INNOVATION RISK REGISTER

Organisation Dev & Innovation Risk Register

Ref.	High Risk	Risk	Risk Description	Risk Owner	Inherent Risk	Current Controls	Residual Risk	Fluctuation since last review	Rationale
CRR 006	High	Cyber Security	Cyber attack resulting in significant outage or data loss.	Director Organisation Development & Innovation	16	CRR 6 IT / Cyber Security	12	↔	
ODI 001	Medium	Absenteeism	Risk of insufficient staffing resources due to high levels of absenteeism within the Council impacting on service delivery and over-reliance on agency staff resulting in increased financial costs.	Director Organisation Development & Innovation	9	ODI 001 Absenteeism	6	↔	
ODI 003	Medium	Funding	Funding Streams availability and implications for delivery of the Plan (eg 10 Yr Investment Plan, BRCD, European Funding etc)	Director Organisation Development & Innovation	8	ODI 003 Funding	3	↔	
ODI 004	Medium	Financial Sustainability	Failure to deliver balanced budget 2023/24 and longer term financial resilience and sustainability.	Director Organisation Development & Innovation	16		6	↓	Budget for 23/24 based on estimates.
ODI 005	Medium	Industrial Relations	Risk of industrial action resulting in potential disruption to service delivery due to staff shortage.	Director Organisation Development & Innovation	6		6	↔	
ODI 006	Medium	Data Processing	Poor or inadequate data processing agreements resulting in unintended data breach	Director Organisation Development & Innovation	16	CRR 5 Data Processing	9	↔	
ODI 007	Medium	IT Projects	Failure to deliver IT projects on time and within budget resulting in service delivery impact and costs.	Director Organisation Development & Innovation	9		4	*	
HR 1	Medium	Service Provision Challenges / Disputes	Risk of challenges/disputes to service unit advice/instruction due to inaccuracies, mistake or disagreement resulting in complaints or legal challenges.	HOS HR&OD	9	HR 1 Service Provision Challenges / Disputes	4	↔	
HR 2	Medium	Loss of IT/Telecommunications	Risk of IT and telephony failure due to disruption in service resulting in loss of critical software and telecommunications systems.	HOS HR&OD	12	HR 2 Loss of IT/Telecommunication	8	↔	
HR 3	Medium	Separate HR Systems	Risk of system issues / failure due to number of separate HR systems in place resulting in waste of resources in data management and outdated HR systems which are not integrated.	HOS HR&OD	9	HR 3 Separate HR Systems	3	↓	Systems upgraded and amalgamated.
HR 4	Medium	Legacy TUPE issues	Implications of legacy TUPE issues (including Single Status) resulting in different terms and conditions	HOS HR&OD	9	HR 4 Legacy TUPE issues	4	↓	Only Planning service unit remaining and currently progressing.
HR 5	Medium	Efficiency Review	Failure to provide effective HR & OD Service in the following areas: Support for Efficiency Review Development of Elected Members Health & Wellbeing Recruitment of staff	HOS HR&OD	6	HR 5 Efficiency Review	6	↔	
ITC 01	Medium	Communication & Engagement	Limited publicity for strategy programmes, and lack of community and business buy in.	Director Organisation Development & Innovation	6	TPO 01 Communication & Engagement	3	↔	
ITC 02	Medium	Portfolio/Programme Value Proposition	Failure to embed a Portfolio and programme value proposition/approach in the organisation	Director Organisation Development & Innovation	6	TPO 02 Portfolio & Programme Value Proposition	3	↔	

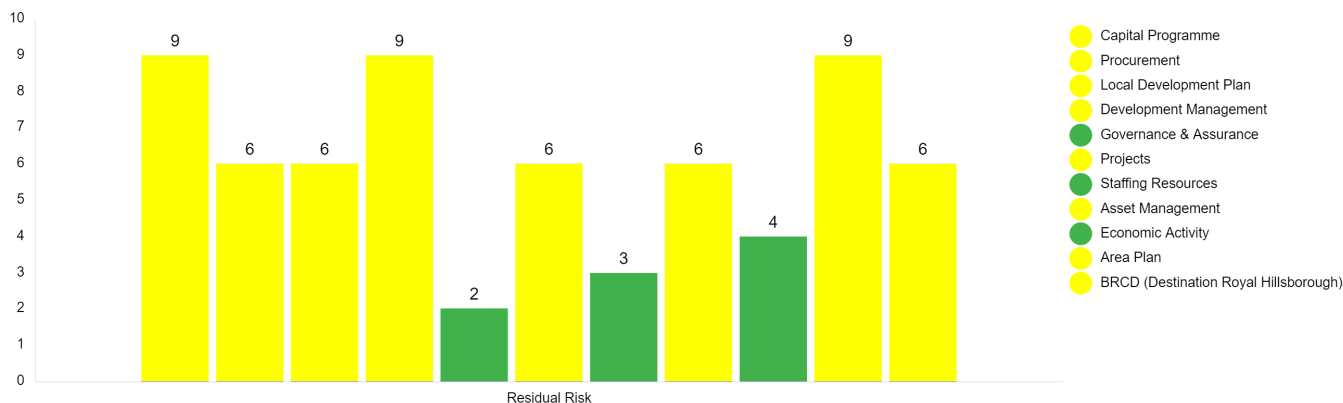


**REGENERATION & GROWTH
DEPARTMENTAL RISK REGISTER
LIVE DASHBOARD**

Risk Matrix				
Likelihood	Minor	Moderate	Major	Catastrophic
Very Likely	4	8	12	16
Likely	3	6	9	12
Unlikely	2	4	6	8
Very Unlikely	1	2	3	4
	Minor	Moderate	Major	Catastrophic

REGENERATION & GROWTH RISK SUMMARY

Regeneration & Growth Departmental Risks



REGENERATION & GROWTH DEPARTMENTAL RISK REGISTER

Regeneration & Growth Risk Register

Ref.	High Risk	Risk	Risk Description	Risk Owner	Inherent Risk	Current Controls / Additional Actions	Residual Risk	Fluctuation since last review	Rationale
CRR 004	<input type="checkbox"/>	Capital Programme	Potential failure to deliver the agreed outcomes of the capital programme as a result of affordability or changes in third party funding arrangements.	HOS Planning	12	CRR 4 Capital Programme	9	↔	
CRR 009	<input type="checkbox"/>	Procurement	Non compliance with procurement and contract regulations, policies and processes resulting in reputation/financial loss and risk of litigation.	HOS Assets	9	CRR 9 Procurement	6	↔	
RG 001	<input type="checkbox"/>	Local Development Plan	Challenges to the Local Development Plan.	HOS Planning	9	RG 001 Local Development Plan	6	↓	Plan Strategy now adopted. First stage of Plan making process now complete. Potential risk in relation to Judicial Review being managed.
RG 002	<input type="checkbox"/>	Development Management	Legal challenge to planning decisions.	HOS Planning	12	RG 002 Development Management	9	↑	Current resource issues and continued risk of judicial review.
RG 003	<input type="checkbox"/>	Governance & Assurance	Failure to implement appropriate governance and assurance frameworks.	Director of Service Tr	6	RG 003 Governance & Assurance	2	↔	
RG 004	<input type="checkbox"/>	Projects	Risk to delivery of large Council projects as a result of judicial review proceedings resulting in failure to deliver the ambitions of LCCC for our citizens.	Director of Service Tr	9	RG 004 Projects	6	↔	
RG 005	<input type="checkbox"/>	Staffing Resources	Insufficient staffing resources due to competing priorities: Absenteeism, concurrent emergencies, vacant posts/skills shortages.	Director of Service Tr	16	RG 005 Staffing	3	↔	
RG 006	<input type="checkbox"/>	Asset Management	Failure to ensure that the Council's property assets are managed and controlled to meet the council's strategic aims, ensure service delivery and value for money.	HOS Assets	9	RG 006 Asset Management	6	↔	
RG 007	<input type="checkbox"/>	Economic Activity	Failure to identify, maximise and deliver an economic development programme that aligns with our stakeholder needs and the needs of the local economy in the context of the national and regional economic position.	HOS Economic Development	6	RG 007 Economic Activity	4	↔	
RG 009	<input type="checkbox"/>	Area Plan	Potential challenges to the emerging Draft Plan Strategy.	Director of Regeneration & Growth	12	RG 009 Area Plan	9	↔	Outline report to September Special R&G Committee.
RG 010	<input type="checkbox"/>	BRCD (Destination Royal Hillsborough)	Risk of increased contract costs due to delays in final sign off and issue of contract for funding.	Director of Regeneration & Growth	8	RG 010 BRCD	6	↑	Due to resources and contract funding not approved.



Committee:	Governance and Audit
Date:	14 December 2023
Report from:	Donal Rogan

Item for:	Noting
Subject:	LCCC Single Tender Actions Update.

1.0	<p><u>Background</u></p> <p>Single Tender Actions (STA) are permitted within the parameters of the Public Contract Regulations 2015 (PCRs). In order for council officers to apply the STA process to acquire goods, services or works in a compliant way, officers must provide justification for the direct award. The justification must meet at least one of the exclusions outlined in Appendix 1. STAs received which do not fall within at least one of the exclusions are not considered legitimate or compliant STAs and are therefore not approved by the procurement unit.</p>
1.2	<p>NIAO in their most recent audit have identified concerns in respect of the single tender action approach within the council. This was formerly identified, and steps taken to mitigate the risks which were previously reported to committee. These steps included new guidance, online easy to reference processes and a central database. These mitigations continue and are effective up to a point. However, it's the description and the definition of what is a single tender action remains a point of contention. Officers have not accepted all the observations by NIAO in the most recent audit. A separate report is presented on this as part of the overall annual audit.</p>
2.0	<p><u>Key Issues</u></p>
2.1	<p>Single Tender Actions within the sector, are defined differently between the councils and whilst the NIAO have flagged this up as a sector wide issue, there is no readily like for like comparison. The legislation refers to direct award contracts, usually as either proprietary or emergency appointments and is silent on contract extensions. Typically this council has previously considered all extensions of contract to be single tender actions.</p>
2.2	<p>The vast majority of this councils contracts, are below the stated regulated value for the purposes of compliance with the Public Contract Regulations 2015. Consequently the opportunity for challenge is very low. The high value contracts are in the categories of works, IT and waste management/ waste disposal.</p>
2.3	<p>Another threshold that is referred to as the 'statutory' threshold is £30,000. This threshold emanates from local government legislation, set by DFC (formerly DOE) over 20 years ago. The primary focus on this threshold is to ensure there is value for money. Due to fiscal drag this threshold is considered much too low and in itself creates inefficiencies by introducing unnecessary bureaucracy. This has been exasperated by the recent inflationary pressures. Representation has been made both through Solace and NILGA to the Department about increasing the threshold.</p>
2.4	<p>Since 2015 with introduction of the current legislation, central government did provide for increased localism. This was not only an economic stimulator but also considered, laterally, carbon footprint when acquiring supplies and works. The threshold referred to above being so low is counteracts the principle of localism by forcing a process that requires officers to engage the wider UK and EU markets.</p>

2.5	<p>A summary of the 77 STAs approved within Financial year 22/23 has been provided in Appendix 2. Within that timeframe the percentage spend of STAs in comparison to the total procurement spend is 13%. This demonstrates that the value of STAs in comparison to the spend on quotations and tenders over £3,000 in that time period is low. In particular, the number of direct award contracts is 35 which also represents 13% of the total number of procurement projects in 2022/23. The remainder of these STAs (42) are extensions to existing contracts and depending on the type and duration of the extension will transfer the formerly tendered rates.</p>	
2.6	<p>For clarity, the STAs for Gas and Electric have not been included in the 'total STA spend', they were only treated as STA'S due to the volatility of the energy market at that time. Treating these as STAs meant the council were able to commit to short term contracts, rather than committing to longer term contracts at highly inflated costs.</p>	
2.7	<p>In the assessment of what gives rise to single tender actions these are in the main non-scheduled retendering of existing contracts. This can be for a variety of reasons including lack of available resources, market failures and unexpected/ unplanned expenditure resulting in contract expenditure ceilings being exceeded beyond the provided tolerances. Members will be aware of the resource deficits across the Directorates due to the prevailing employment market challenges.</p>	
2.8	<p>Council have developed guidance which demonstrates how STAs will be processed in the future, stricter approvals processes will mean that it may be more onerous for officers to access the STA route. The draft guidance is presented for information and assurance as outlined at Appendix 3 but will be held in abeyance subject to the new Accounting Manual being adopted.</p>	
<p><u>Recommendation</u></p> <p>It is recommended that Members note the update and the continued improvement journey in relation to Single Tender Actions.</p>		
3.0	<p><u>Finance and Resource Implications</u></p> <p>There is no additional finance and resources implications as a result of this report.</p>	
4.0	<p><u>Equality/Good Relations and Rural Needs Impact Assessments</u></p>	
4.1	<p>Has an equality and good relations screening been carried out?</p>	<p>No</p>
4.2	<p>Brief summary of the key issues identified and proposed mitigating actions or rationale why the screening was not carried out</p>	<p>Equality forms part of all the systemic legislation and guidance relating to the commissioning of goods and services.</p>
4.3	<p>Has a Rural Needs Impact Assessment (RNIA) been completed?</p>	<p>No</p>
4.4	<p>Brief summary of the key issues identified and proposed mitigating actions or rationale why the screening was not carried out.</p>	<p>The contract regulations have no regard for geographical location.</p>

Appendices:	Appendix 1 – Exclusions list Appendix 2 - Summary of STAs approved within Financial year 22/23 Appendix 3 – Draft Guidance
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Single Tender Actions (STA) are permitted within the parameters of the Public Contract Regulations 2015 (PCRs) if they meet at least one the below justifications;

- If there was competition for initial work, follow-up work where the provider carried out initial work in the same area. NB This must **not** start a series of several single tenders on the same grounds;
- Where there is a "compatibility issue" - for example, with office equipment, IT, or where a proposed business model or other recommendation made by a consultancy is to be implemented;
- Where there is **genuinely** only one provider who is capable of meeting the requirement or will be interested in doing so;
- In the case of an individual contractor where it is necessary for business continuity to retain a specific individual;
- Where there is sufficient evidence that competition will not result in a better price.
- For reasons of extreme urgency brought about by events unforeseeable by the contracting authority

2022/2023 STAs (UNDER £30,000)

Dept	Type	Number	Value
Corporate Services	Contract Extensions	16	£321,845
	Direct Awards	7	£57,937
Service Transformation	Contract Extensions	8	£94,880
	Direct Awards	9	£118,806
Leisure & Community Wellbeing	Contract Extensions	2	19,179.00
	Direct Awards	11	129,320
Environmental Services	Contract Extensions	2	29,164
	Direct Awards	7	83,151
Chief Executives Office	Contract Extensions	2	35,110
	Direct Awards	0	0
			£889,393.00

2022/2023 STAs (OVER £30,000)

Dept	Type	Number	Value
Corporate Services	Contract Extensions	3	290,401
	Direct Awards	0	
Service Transformation	Contract Extensions	2	113,011
	Direct Awards	1	100,000
Community & Wellbeing	Contract Extensions	0	
	Direct Awards	0	
Environmental Services	Contract Extensions	4	407,412
	Direct Awards	0	
			£910,824.00



Lisburn & Castlereagh City Council

Procurement Services Exceptional Procurement Procedure (Single Tender Action Procedure)

Version Control		
Version	Change	Date
0.1	Initial draft	August 2019
0.2	2 nd draft	12 Sept 2019
0.3	3 rd draft	22 Oct 2019
0.4	4 th draft	24 Oct 2019
0.5	5 th draft	11 Feb 2020
0.6	6 th draft	18 Feb 2020
0.7	7 th draft	27 Mar 2020
0.8	8 th draft	8 April 2020
0.9	9 th draft	
10	10 th draft inc. PG review comments and updated flowchart	Feb 2022
11	Reconciled with revised accounting manual	11 May 2022
12	Further HOST consultation amends	28 Sept 2022

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9. Contract Award Notice	<i>Page 6</i>

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Glossary of Abbreviations?

Abbreviation	Definition
CEO	Chief Executive Officer
CMT	Corporate Management Team
CO	Commissioning Officer (Head of Service)
CPS	Council Procurement Services
Regulations	The Public Contract Regulations 2015 (as amended)
regulation	A clause within The Public Contracts Regulations 2015 (as amended)
STA	Single Tender Action

1. INTRODUCTION

- 1.1 Lisburn & Castlereagh City Council is responsible for ensuring that its business is conducted in accordance with the law and proper standards, and that public money is safeguarded and properly accounted for, and used economically efficiently and effectively. The council also has a duty under Part 12 of the Local Government Act (Northern Ireland) 2014 to make arrangements for continuous improvement in the way in which its functions are exercised.
- 1.2 In discharging the overall responsibility the council is responsible for putting in place the proper arrangements for the governance of its affairs and facilitating the effective exercise of its functions which includes arrangements for the management of risk.
- 1.3 In procuring supplies, services and works the Council has a duty to the ratepayer to get best value and must, wherever possible, adopt suitable competitive procurement processes. This is a requirement placed on council officers in line with public procurement legislation.
- 1.4 The council procures a vast number of supplies, works and services. These are procured (or 'bought') in line with the Public Contract Regulations 2015 (as amended) ('the Regulations'). The Regulations say a public contract can only be awarded on the basis of the 'most economically advantageous tender' (MEAT).
- 1.5 MEAT is defined and applied in one of three ways: Price, Cost (a cost effectiveness approach) and the Best Price : Quality Ratio.
- 1.6 The best way to achieve a MEAT is through competition. This encourages us to manage our resources carefully, to spend public money efficiently and effectively and helps to make contractors more competitive. Competition also enables us to meet our commitments to provide opportunities to local firms to compete for council business. However, there are times when, by exception, we may need to buy supplies, services or works without using the competitive tender process. The common term for these kinds of procurements is a Single Tender Action (STA), Non Competitive Action (NCA) or Direct Award Contract without competition (DAC).
- 1.7 Only by **exception** should a STA procedure be invoked. Instigation of the procedure will require the nominated departmental CO (Commissioning Officer (HOS)) leading on the contract to engage with the Council's Procurement Service (CPS).
- 1.8 CO should note all procurement valued at £3,000 and over, which use the council's STA process will be reported to the Corporate Management Team (CMT).
- 1.9 The use of the STA process can be indicative of poor planning by the department/service or other government agencies they are acting on behalf of and would be considered poor practice or internal short-comings, however emergencies or other justified situations can arise that cannot always be anticipated, and the process facilitates this.
- 1.10 CO should be cognisant that where the council is the contracting authority on behalf of third parties that they are accepting a risk transfer. To introduce STAs in addition to contractual risk should only be done in the most extenuating circumstances with the appropriate approvals prior to proceeding with contract negotiations or award.

2. WHAT IS A SINGLE TENDER ACTION

- 2.1 A Single Tenders Action (STA) occurs when a contract is awarded to a contractor without a prior publication i.e. without a competition, or via a 'direct award'. Although used, the term STA is not defined in the Regulations, they instead refer to "awarding...without prior publication".
- 2.2 A STA can also arise where the scope of an existing contract is modified and the requirement is awarded to the contractor without re-opening and running a new competition.
- 2.3 **Application of STA should not be taken lightly and must adhere to the Regulations.**
- 2.4 To ensure we are legally compliant, the rationale for the use of an STA must comply with the Regulations.
- Where no contract exists, the council must comply with Clause 4 below and regulation 32; Appendix 1).
 - Where there is a contract that is being modified without a new competition, the modification must fall within the situations set out of regulation 72 (Appendix 2)
- 2.65 In both instances the use of the STA must be objectively evidenced and be defensible, for both internal audit and Northern Ireland Audit Office (NIAO).

Please also see Appendix 5a "Circumstances Where Requests for Single Tender Action Will Be Considered"
Officers who have any concerns should contact the Councils Procurement Service

3. WHAT IS NOT A SINGLE TENDER ACTION

- 3.1 The following circumstances are **not STAs** therefore do not need approval.
- Contracts awarded under a framework agreement, which is available to be used by the council, where the framework agreement was put out to competitive tender and the terms and conditions of the framework are being used to award the contracts.
 - Variation to a contract when a method for managing variations is included in the original procurement documents and the contract has been awarded through competition; and the variations do not significantly or materially change the original competition. (see section 8)
 - Extensions to or options in a contract, as long as that contract has been awarded through competition, the extensions or options were provided for in a clear, precise and unequivocal clause in the original procurement documents and their adoption does not significantly or materially change the original competition. (see section 8)

It is important for CO to give consideration to how the market in which they are buying or the circumstances of the contractual arrangements may change. Therefore the CO is asked to anticipate change in not only the commercial arrangements but also the scope and contractual delivery arrangements and make provision within their contractual documents for variations to the contract.

4. REGULATION 32

- 4.1 Regulation 32 of the Regulations (see Appendix 1) sets out when we do not have to keep to the usual rules on competition and transparency and we can negotiate a contract directly with one or more contractors. It is only used in a few circumstances when it is considered strictly necessary.
- 4.2 CO must award contracts by competition unless one of the situations in regulation 32 applies:
1. Following the publication of an open or restricted tender, were there has been no interest in the opportunity or no suitable submissions, the CO may negotiate directly with one or more suppliers as long as the procurement documents (specification etc.) have not been substantially altered.

PCR 2015 regulation 32 (2)(a) General grounds

2. Where a Sole Supplier is evidenced. The definition of 'Sole Supplier' will be where there is only one source of supply within the market. In this situation, the market position must be clearly outlined.
PCR 2015 regulation 32 (2) General Grounds,(b)(i)(ii)(iii)
3. Where, for technical or special character reasons, the requirement can only be met by a particular Supplier/Contractor or if it is connected with the protection of exclusive rights.
(PCR 2015 regulation 32 (5)(b)(i)(ii)(iii))
4. Where unforeseeable circumstances cause a case of extreme urgency. Unforeseen circumstances mean those circumstances beyond the control or capacity of the Council to anticipate them. It is not intended to cover internal short-comings or circumstances which could have been overcome by internal administration.
(PCR 2015 regulation 32 (2)(c) General Grounds
5. Where, for Supply Contracts, additional deliveries or works are needed and a change from those originally provided would result in incompatible materials, products or disproportionate technical difficulties in operation and maintenance.
(PCR 2015 regulation 32 (5)(b) supply contracts and 32 (9)(10) works & services)
6. Where there is sufficient evidence that competition will not result in a better price.
(PCR 2015 regulation 32 (5)(d) supply contracts)
7. Additionally, extensions of an existing contract where the original procurement documents did not allow options for further extension, are classified as Single Tender Actions and should be treated as such.

5. LEGAL COMPLIANCE

- 5.1 The council has a legal duty to keep to the Regulations. If these public procurement rules are broken the council could face proceedings in the High Court and the awarded contract could be cancelled on the grounds of 'ineffectiveness'¹.
- 5.2 Whilst STAs are sometimes permissible they do attract more potential legal challenges than a standard procurement. The CPS has to be consulted when there is a proposal to take such an action, as it significantly increases the risk of an ineffectiveness determination or other legal challenge. Consequently all STAs including those below the £30k threshold are incorporated within this procedure.
- 5.3 Depending on the value and circumstances, the council may be required to publish a 'Notice' to the OJEU to inform Europe of the award. This could be in the form of a Voluntary Ex-Ante Transparency (VEAT) or Modification notice (under regulations 32 and 72 respectively). If a notice is required to be published CPS will arrange this on behalf of the CO.
- 5.4 By adhering to this procedure, CO will ensure that the risk of a court penalty, including ineffectiveness, contract shortening and civil financial penalties will be reduced.

6. APPLICATION AND GOVERNANCE OF SINGLE TENDER ACTION

¹ Ineffectiveness is where the court can (a) set an awarded contract aside or (b) shorten the awarded contract period. In the case of (a) the court will apply a 'civil financial penalty'; in (b) it may apply a penalty. If the contract is set aside, the requirement will need to be retendered and the contractor (that had been awarded the contract) will often seek damages to offset its lost business due to the contract's cancellation.

- 6.1 In carrying out the STA process, CO must ensure compliance with both this guidance and the legislation.
- 6.2 Exceptions will only be permissible if the CO has consulted and the proposed exception has been approved in writing. A STA report must be completed for all requests. A STA is not allowed without prior approval.

Please refer to Appendix 4 (Single Tender Action Report template) & 6 (STA Process Map)

- 6.3 The council's procurement process for contracts differs according to the value of the contract and the current regulated thresholds. These can be seen at <https://blog.tendersdirect.co.uk/2021/12/07/eu-public-procurement-thresholds/> and are reflected in the STA process. (Note: if hyperlink is out of date please enquire with CPS).
- 6.4 See the Single Tender Action Process Map (Appendix 6) for detailed steps on application of an STA.
- 6.5 The CPS will maintain a database of all departmental STAs and report these to CMT on a quarterly basis.
- 6.6 The process allows for unforeseen emergency situations where an STA is identified as urgent, and the only route available is a Single Tender Action. Examples of such circumstances would be where there is a risk to:-
- The Health and safety of staff, the public or Council property
 - Service delivery

Officers who have any concerns should contact the Central Procurement Services

7. EXCLUSIONS TO THE PUBLIC CONTRACTS REGULATIONS

- 7.1 Regulation 10 in the Public Contracts Regulation 2015 sets out the circumstances where the regulations do not apply. This applies to:
- contracts for arbitration or conciliation services;
 - employment contracts;
 - contracts classified as secret;
 - contracts that include special security measures in line with the law or when it is necessary to protect the essential interests of the security of the UK; and
 - contracts for buying or leasing land and existing buildings. This also applies to extending or renewing an existing lease. Note: Development Agreements should be considered in consultation with Estates and Legal Services.
- 7.2 The Regulations do not apply to arrangements between central government departments for providing services to each other as they are all part of the Crown, and the Crown cannot be separated under UK law.

8. CHANGES VARIATIONS AND EXTENSIONS TO CONTRACTS [REGULATION 72]

- 8.1 Changes may arise during the period of a contract, particularly in the case of large and complex construction, works and service contracts. There is a fine line between lawful and unlawful changes under an existing contract during its term. Due consideration of regulation 72 Modifications of Contracts of the Regulations must be given when deciding on the validity of any contract variation. (See Appendix 2).
- 8.2 European Commission guidance states: *"Amendments constitute the award of a new contract when they are materially different in character from the original contract and therefore such as to demonstrate the intention of the parties to renegotiate the essential terms of that contract."*
- 8.3 You **cannot** amend a contract, and a new procurement will be required, if the amendment:
- introduces conditions which would have allowed other tenderers to apply or another tenderer to be successful;

- extends the scope of the contract considerably; or
- changes the economic balance of the contract in favour of the supplier.

- 8.4 An overspend on an existing contract does not require a new procurement if the cumulative value of the overspend is less than
- (a) 10% (for supplies and services contracts) 15% (works contracts) of the initial contract award value; **and**
 - (b) the applicable regulated threshold. E.g if the variation of a quotation does not result in the total contract spend exceeding the £30,000 threshold or if the variation of a tender does not result in the total contract spend exceeding the Regulated threshold i.e. <https://blog.tendersdirect.co.uk/2021/12/07/eu-public-procurement-thresholds/> (Note: if hyperlink is out of date please enquire with CPS) i.e. in the event we vary a contract which involves an increase in contract spend, we need to be content that the new contract spend will not result in exceeding either or both the £30,000 threshold or the regulated threshold. If that is the case we are recommended to run a new procurement process for the requirement;
Where the cumulative value is more than either (a) **or** (b) the (latest) modification (regardless of its value) would not be permitted and a new tender exercise tender required.
 - (c) 50% of the initial contract award value. Conditions apply to the application of this threshold which the CPS can advise on.
- 8.5 Good contract management is critical to making sure we get value for money and avoid accidentally creating a new contract which does not meet procurement rules and therefore becomes an STA.

Officers who have any concerns should contact Council Procurement Service

9. PUBLIC NOTICES

- 9.1 When we wish to award a STA contract under regulation 32 i.e. there is no existing contract in place and its value is above the regulated threshold, before the contract may be awarded the CPS will publish a Voluntary Ex-Ante Transparency (VEAT) notice which must be in place for at least 10 days. The VEAT notice acts as a (10-day) standstill period and, assuming no complaints to the proposed award have been received, after the 10 days the council may award the contract. If the council fails to do this, the contract is open to a claim of ineffectiveness and to challenge.
- 9.2 Where the STA is amending an existing regulated contract, the CPS will publish a Modification Notice i.e. advising the marketplace of the change and the justification for its use.
- 9.3 A contract award notice is not required when awarding a contract under a framework agreement, however, there is a benefit to holding a voluntary standstill period to minimise the risk of complaint, challenge or claim for ineffectiveness.
- 9.4 Officers should follow Council procedure and practice when advertising the award of contracts below the regulated threshold.

10.SUMMARY OF CHANGES TO THE STA PROCESS

Please see below summary of the new processes which will take effect on adaption of this guidance;

- All STA's valued between £3,000 - £30,000 require approval by CPS, HOS and Director.
- CPS, HOS, Director **and Chief Executive** approval is required for STAs of £30,001 and over.
- A revised version of the Single Tender Action Report can be found in Appendix 4.
- If the STA is over £30,000 a report should be taken by Home Director to the relevant Committee for Approval to Award
- Following Committee approval, CO to forward copy set of documents to CPS advising that STA contract award has been made.
- CPS to present a quarterly update report to CMT regarding all STA awards over £3,000.

APPENDICES

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APPENDIX 1**Regulation 32 of the Public Contracts Regulations 2015 (as amended)****Use of the negotiated procedure without prior publication**

32.—(1) In the specific cases and circumstances laid down in this regulation, contracting authorities may award public contracts by a negotiated procedure without prior publication.

General grounds

(2) The negotiated procedure without prior publication may be used for public works contracts, public supply contracts and public service contracts in any of the following cases:—

(a) where no tenders, no suitable tenders, no requests to participate or no suitable requests to participate have been submitted in response to an open procedure or a restricted procedure, provided that the initial conditions of the contract are not substantially altered and that a report is sent to the Commission where it so requests;

(b) where the works, supplies or services can be supplied only by a particular economic operator for any of the following reasons:—

(i) the aim of the procurement is the creation or acquisition of a unique work of art or artistic performance,

(ii) competition is absent for technical reasons,

(iii) the protection of exclusive rights, including intellectual property rights, but only, in the case of paragraphs (ii) and (iii), where no reasonable alternative or substitute exists and the absence of competition is not the result of an artificial narrowing down of the parameters of the procurement;

(c) insofar as is strictly necessary where, for reasons of extreme urgency brought about by events unforeseeable by the contracting authority, the time limits for the open or restricted procedures or competitive procedures with negotiation cannot be complied with.

(3) For the purposes of paragraph (2)(a)—

(a) a tender shall be considered not to be suitable where it is irrelevant to the contract, being manifestly incapable, without substantial changes, of meeting the contracting authority's needs and requirements as specified in the procurement documents;

(b) a request to participate shall be considered not to be suitable where the economic operator concerned—

(i) is to be or may be excluded under regulation 57, or

(ii) does not meet the selection criteria.

(4) For the purposes of paragraph (2)(c), the circumstances invoked to justify extreme urgency must not in any event be attributable to the contracting authority.

Additional grounds relevant to public supply contracts

(5) The negotiated procedure without prior publication may be used for public supply contracts—

(a) where the products involved are manufactured purely for the purpose of research, experimentation, study or development, but contracts awarded in reliance on this sub-paragraph shall not include quantity production to establish commercial viability or to recover research and development costs;

(b) for additional deliveries by the original supplier which are intended either as a partial replacement of supplies or installations or as the extension of existing supplies or installations where a change of supplier would oblige the contracting authority to acquire supplies having different technical characteristics which would result in incompatibility or disproportionate technical difficulties in operation and maintenance;

(c) for supplies quoted and purchased on a commodity market;

(d) for the purchase of supplies or services on particularly advantageous terms, from either a supplier which is definitively winding up its business activities, or the liquidator in an insolvency procedure, an arrangement with creditors, or a similar procedure under national laws or regulations.

(6) In the case of paragraph (5)(b), the duration of the contract, as well as that of recurrent contracts, shall not, save in exceptional circumstances, exceed 3 years.

Additional ground relevant to public service contracts that follow a design contest

(7) The negotiated procedure without prior publication may be used for public service contracts where the contract concerned—

(a) follows a design contest organised in accordance with this Part, and

(b) is to be awarded, under the rules provided for in the design contest, to—

(i) the winner of the design contest, or

(ii) one of the winners of the design contest.

(8) Where paragraph (7)(b)(ii) applies, all winners must be invited to participate in the negotiation.

Additional ground relevant to new works or services which repeat similar ones

(9) The negotiated procedure without prior publication may be used for new works and services consisting of the repetition of similar works or services entrusted to the economic operator to which the same contracting authority awarded an original contract, provided that such works or services are in conformity with a basic project for which the original contract was awarded following a procedure in accordance with regulation 26(1) and (2).

(10) The basic project shall indicate the extent of possible additional works or services and the conditions under which they will be awarded.

(11) As soon as the first project is put up for tender, the possible use of this procedure shall be disclosed and the total estimated cost of subsequent works or services shall be taken into consideration by the contracting authority when it applies regulation 5.

(12) This procedure may be used only during the 3 years following the conclusion of the original contract

APPENDIX 2

Regulation 72 of the Public Contracts Regulations (as amended)

Modification of contracts during their term

72.—(1) Contracts and framework agreements may be modified without a new procurement procedure in accordance with this Part in any of the following cases:—

(a) where the modifications, irrespective of their monetary value, have been provided for in the initial procurement documents in clear, precise and unequivocal review clauses, which may include price revision clauses or options, provided that such clauses—

(i) state the scope and nature of possible modifications or options as well as the conditions under which they may be used, and

(ii) do not provide for modifications or options that would alter the overall nature of the contract or the framework agreement;

(b) for additional works, services or supplies by the original contractor that have become necessary and were not included in the initial procurement, where a change of contractor—

(i) cannot be made for economic or technical reasons such as requirements of interchangeability or interoperability with existing equipment, services or installations procured under the initial procurement, or

(ii) would cause significant inconvenience or substantial duplication of costs for the contracting authority, provided that any increase in price does not exceed 50% of the value of the original contract;

(c) where all of the following conditions are fulfilled:—

(i) the need for modification has been brought about by circumstances which a diligent contracting authority could not have foreseen;

(ii) the modification does not alter the overall nature of the contract;

(iii) any increase in price does not exceed 50% of the value of the original contract or framework agreement.

(d) where a new contractor replaces the one to which the contracting authority had initially awarded the contract as a consequence of—

(i) an unequivocal review clause or option in conformity with sub-paragraph (a), or

(ii) universal or partial succession into the position of the initial contractor, following corporate restructuring, including takeover, merger, acquisition or insolvency, of another economic operator that fulfils the criteria for qualitative selection initially established, provided that this does not entail other substantial modifications to the contract and is not aimed at circumventing the application of this Part;

(e) where the modifications, irrespective of their value, are not substantial within the meaning of paragraph (8); or

(f) where paragraph (5) applies.

(2) Where several successive modifications are made:—

- (a) the limitations imposed by the proviso at the end of paragraph (1)(b) and by paragraph (c)(iii) shall apply to the value of each modification; and
- (b) such successive modifications shall not be aimed at circumventing this Part.
- (3) Contracting authorities which have modified a contract in either of the cases described in paragraph (1)(b) and (c) shall send a notice to that effect, in accordance with regulation 51, for publication.
- (4) Such a notice shall contain the information set out in part G of Annex 5 to the Public Contracts Directive.
- (5) This paragraph applies where the value of the modification is below both of the following values:—
- (a) the relevant threshold mentioned in regulation 5, and
- (b) 10% of the initial contract value for service and supply contracts and 15% of the initial contract value for works contracts, provided that the modification does not alter the overall nature of the contract or framework agreement.
- (6) For the purposes of paragraph (5), where several successive modifications are made, the value shall be the net cumulative value of the successive modifications.
- (7) For the purpose of the calculation of—
- (a) the price mentioned in paragraph (1)(b) and (c), and
- (b) the values mentioned in paragraph (5)(b),
- the updated figure shall be the reference figure when the contract includes an indexation clause.
- (8) A modification of a contract or a framework agreement during its term shall be considered substantial for the purposes of paragraph (1)(e) where one or more of the following conditions is met:—
- (a) the modification renders the contract or the framework agreement materially different in character from the one initially concluded;
- (b) the modification introduces conditions which, had they been part of the initial procurement procedure, would have—
- (i) allowed for the admission of other candidates than those initially selected,
- (ii) allowed for the acceptance of a tender other than that originally accepted, or
- (iii) attracted additional participants in the procurement procedure;
- (c) the modification changes the economic balance of the contract or the framework agreement in favour of the contractor in a manner which was not provided for in the initial contract or framework agreement;
- (d) the modification extends the scope of the contract or framework agreement considerably;
- (e) a new contractor replaces the one to which the contracting authority had initially awarded the contract in cases other than those provided for in paragraph (1)(d).
- (9) A new procurement procedure in accordance with this Part shall be required for modifications of the provisions of a public contract or a framework agreement during its term other than those provided for in this regulation.

APPENDIX 3

STA PROCEDURE

Once you have identified the Procurement need please go through the following steps to determine whether your requirement is an STA.

Stage 1	
Can the new contract be procured under an existing contract (i.e. provision for the requirement was included in the original procurement documents) or framework?	
Yes	Action - Not an STA (proceed with normal procurement process)
No	Action - May be an STA - Proceed to Stage 2
Stage 2	
Is the variation, extension or option outside of the scope of the existing contract? (Reg 72)	
Yes	Action - May be an STA - Proceed to Stage 3
No	Action - Not an STA (proceed with normal procurement process)
Stage 3	
Is there a reason why this contract cannot or should not be subject to competition?	
Yes	Action - The procurement has been identified as an STA - proceed to stage 4
No	Action - Not an STA (proceed with normal procurement process)
Stage 4	
Commissioning Officer to complete STA template and PUR1 and forward to the Council Procurement Service (CPS))	
If CPS agrees	Action – This can be treated as an STA. STA request form and PUR1 to be signed off by CPS. Proceed to Stage 5
If CPS does not agree this can be treated as an STA	Action - Please proceed using the normal procurement route/process outlined in the Procurement Flowchart on the Council intranet.

Please Note - In line with Financial Controls all contracts valued at £3,000 or above must be listed on the Procurement Log to be reported to the Director of Service Transformation, Director of Finance and Corporate and Head of Assets for noting.

Stage 5			
Identify the value of the STA and follow the appropriate steps			
	Value is £3,000 - £30,000	Value is £30,001 - Regulated Threshold	Value is over Regulated Threshold
1	<ul style="list-style-type: none"> If the Value of STA is £3,000 - £30,000 (excluding VAT) obtain HOS and Director approval and proceed to step 2. 	<ul style="list-style-type: none"> If the Value of STA is £30,000 - Regulated Threshold (excluding VAT) obtain HOS and Director approval and confirm with Finance if a Business Case is required. If yes obtain a fully approved Business Case, following which proceed to next step. 	<ul style="list-style-type: none"> If the Value of STA is over Regulated Threshold (excluding VAT) obtain HOS and Director approval and confirm with Finance if a Business Case is required. If yes obtain a fully approved Business Case, following which proceed to next step
2	<ul style="list-style-type: none"> Home Director, or in their absence alternative Director to Approve the STA Request Form (Appendix 4) and PUR 1 Form The STA should be referred to the Procurement Log process. 	<ul style="list-style-type: none"> Director and CEO to approve the STA Request Form (Appendix 4) and PUR1. The STA should be referred to the Procurement Log process. 	<ul style="list-style-type: none"> Director and CEO to approve the STA Request Form (Appendix 4) and PUR1. The STA should be referred to the Procurement Log process.
3	<ul style="list-style-type: none"> When STA request form (Appendix 4) has been approved by Director, Contract Award letter can be issued to supplier (retain copies of all documents for audit purposes) 	<ul style="list-style-type: none"> If approved by Director and CEO, Prepare a report to be taken by Home Director to the relevant Committee for Approval (retain copies of all documents for audit purposes) 	<ul style="list-style-type: none"> If approved by Director and CEO, Prepare a report to be taken by Home Director to the relevant Committee for Approval (retain copies of all documents for audit purposes)
4	CO to forward copy set of documents to CPS advising that STA contract award has been made.	<ul style="list-style-type: none"> If approved, Contract Award letter can be issued to supplier (retain copies of all documents for audit purposes) CO to forward copy set of documents to CPS advising that STA contract award has been made. 	<ul style="list-style-type: none"> If approved, CPS will publish a VEAT notice. Following a 10 day standstill period Contract Award letter can be issued. CPS will advise if a modifications notice also needs to be published. CO to forward copy set of documents to CPS advising that STA contract award has been made
5	CPS to present a quarterly update report to CMT regarding all STA awards over £3,000.		

APPENDIX 4

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Request to Conduct a Single Tender Action (STA)

This form must be completed with respect to all Single Tender Actions (STAs) where:-

The proposed purchase is **not** being made under a new or existing contract & competitive offers have **not** been suitably obtained

OR

Where additional costs, above the initial tendered and accepted costs from the award of a recognised Quotation, Tender or other approved public competition process.

***Note:** If this exceeds 10% by value for Supplies or Services or 15% for Works, or 50%, in compliance with The Public Contract Regulations 2015 (as amended), this increases the risk considerably and should normally require a new competition.*

STAs should be used only in exceptional circumstances and only when a business case has gained the required authorisations. An order cannot be raised without authorisations. The STA must be completed in conjunction with the council's Exceptional Procurement Procedure (Single Tender Action) Guidance. (>£30,000). If the value of the STA exceeds the value stipulated in the approved business case, CO's are required to revisit their original business case and update to reflect any increased cost.

In submitting this for approval CO are confirming that the proposed cost is within the departments approved budget and is part of an agreed plan. If this is not the case a full explanation should be provided including the source of the budget and name of budget holder

A copy should be attached to the requisition and original retained in the project file for audit purposes to justify non-compliance.

If in any doubt, or if you require any help or advice, please contact the Council Procurement Section, before proceeding to commit the Council to any expenditure.

When a STA report has been completed, including all the required authorisations, it should be retained in the same fashion as a normal tendering process for future audit purposes.

The Procurement Manager will present a quarterly monitoring report to the Corporate Management Team (CMT) ensuring effective monitoring and management of STAs across the organisation.

EMERGENCY STAs

Where an emergency situation arises as prescribed within the procurement regulations, (see Regulation 32, an STA is e.g. where there is no contract or framework and the requirement was unforeseeable. Regulation 72 using an existing contract/framework the need (resulting in a modification of the arrangement) was due to circumstances which a diligent contracting authority could not have foreseen). This should be escalated directly to the Chief Executive via the Lead Officer. Emergency situations are those which constitute an immediate Health & Safety or Environmental Risk or any other elevated imminent risk, which may require direct and immediate action by the lead Officer. An imminent risk may be one that gives rise to negative publicity, political or social consequence. In the event that the Chief / Duty Director can't be contacted, the lead officer should endeavour to get approval from another Director - however if this is not possible, the lead officer will have delegated authority to proceed.

When a decision has to be made urgently, it should be supported, retrospectively, by an explanation of what has caused the emergency, including,

- whether there was an available contract/framework agreement that could be used and if it was not used, why not
- where there was no available arrangement, how the supplier was identified to deal with the emergency
- are there any lessons to be learnt from the emergency (to minimise a repeat in the future)

The use of all STAs will need to be reviewed on a regular basis to identify any patterns and, perhaps, where there is a need to put arrangement (e.g. a framework) in place that can be used should the issue arise again. This will help to identify issues such as an STA that has arisen due to lack of planning etc.

This form must be completed and signed by the Commissioning Officer (CO) prior to commencement of the procurement process

To: Director of (Section / Unit)	
Commissioning Officer Requesting STA :	
Telephone/Extension	Email
Proposed Supplier	
Supplier's Contact Details:	
Estimated total cost (excluding VAT) of this STA. (Please provide price breakdown including on-going maintenance etc.)	
The proposed cost is within the departmental approved budget. Does or will this potentially exceed the allocated budget?	YES/ NO If NO please provide as part of the business case a full explanation including the source of the budget and name of budget holder
Cost code for Proposed Purchase (Project/Capital Codes applicable to this STA)	
Estimated Duration of this proposed award	
Description of supplies/services/ works required	
Type of Purchase:	One-off <input type="checkbox"/> Repeat Order <input type="checkbox"/> Repair <input type="checkbox"/> Other <input type="checkbox"/>
Does the STA comply with regulation 32 (Appendix 1)?	Yes <input type="checkbox"/> (if yes, please state the clause the STA aligns with and provide evidence statement) <div style="border: 1px solid black; height: 60px; width: 100%;"></div> No <input type="checkbox"/> (if not an STA please refer to STA Process Map Appendix 6)
Is this a new or additional requirement which has not been procured before?	No <input type="checkbox"/> Yes <input type="checkbox"/> (if yes, please provide further details below)
If this is a variant on an existing awarded quotation or tender under regulation 72 (Appendix 2), e.g. variation within 10% of the value of a services or services contract or within 15% of the value of a works contract, please advise original procurement Reference and Purchase Order No. or Final approved Contract Value at time of award.	Procurement Reference: <input type="text"/> Purchase Order Ref: <input type="text"/> Contract Award Value: <input type="text"/>
Has a business case (if required) been approved for this or for the amendment of the initial competition value? If so please reference and attach.	
If funded by a Grant or other Public Funding, please provide name of the granting body.	No <input type="checkbox"/> Yes <input type="checkbox"/> (if yes, please provide further details below)
Will this STA affect the Grant or other Funding Body terms and conditions?	No <input type="checkbox"/> Yes <input type="checkbox"/> (if yes, please provide further details below)
Detailed Recognised Justification for not undertaking a Competition. Or Detailed Reasoning for the Variance on Initial competition award value.	
Supporting statement on how value for money will be achieved and maintained.	
Has any payment or undertaking been agreed at this stage? If so please detail.	

Does any conflicts of interest exist or maybe perceived to exist, between the Council and/or staff and the Supplier and/or their staff?	No <input type="checkbox"/> Yes <input type="checkbox"/> (if yes, please sign Conflict of Interest Declaration and provide further details below)
--	---

By signing this Declaration, I confirm that I have read and understand the current STA Guidance and understand the Risks of issuing an STA as outlined or referenced therein.

I also confirm the information provided is accurate, comprehensive and a true reflection of the requirement and circumstances surrounding the need for an STA.

CO which STA is Requested by:			
Name:		Signature	
Position:		Date	
Supported and approved by: (Council Procurement Service)			
Name:		Signature	
Position:		Date	
Supported and approved by: (Director)			
Name:		Signature	
Position:	Director of	Date	
Supported and approved by: (Chief Executive) <i>(Required when value of Contract is £30K and above)</i>			
Name:		Signature	
Position:	Chief Executive	Date	
<i>If request is not Approved the normal procurement competition procedure must be followed</i>			
Approved by: Home Committee <i>(Required when value of Contract is £30K and above)</i>		Yes <input type="checkbox"/>	No <input type="checkbox"/> N/A <input type="checkbox"/>
Date of Committee meeting:			

A copy of the minute of the meeting at which this was approved should be retained on file.

APPENDIX 5

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CIRCUMSTANCES WHERE REQUESTS FOR SINGLE TENDER ACTION WILL BE CONSIDERED

- A1 All reasons provided on the STA template must be objectively evidenced and defensible for internal and external audit scrutiny.
- A2 One or more of the following may apply, or a further reason not listed may be relevant:
- Absence of tenders, only one tender received or suitable tenders in response to an invitation; where evidence can be provided that you have tried to comply with financial regulations by inviting competitive tenders but you received either no bids in return, only one bid or none that you could accept as being compliant and or suitable and you therefore want to negotiate a solution with a single supplier. You must justify this choice of supplier objectively.
 - For reasons of protection of exclusive rights or technical reasons there is only one possible supplier. For this to apply two tests must be satisfied:-
 - An objectively technical or exclusive rights reason must exist **AND**
 - There must be only one possible supplier.

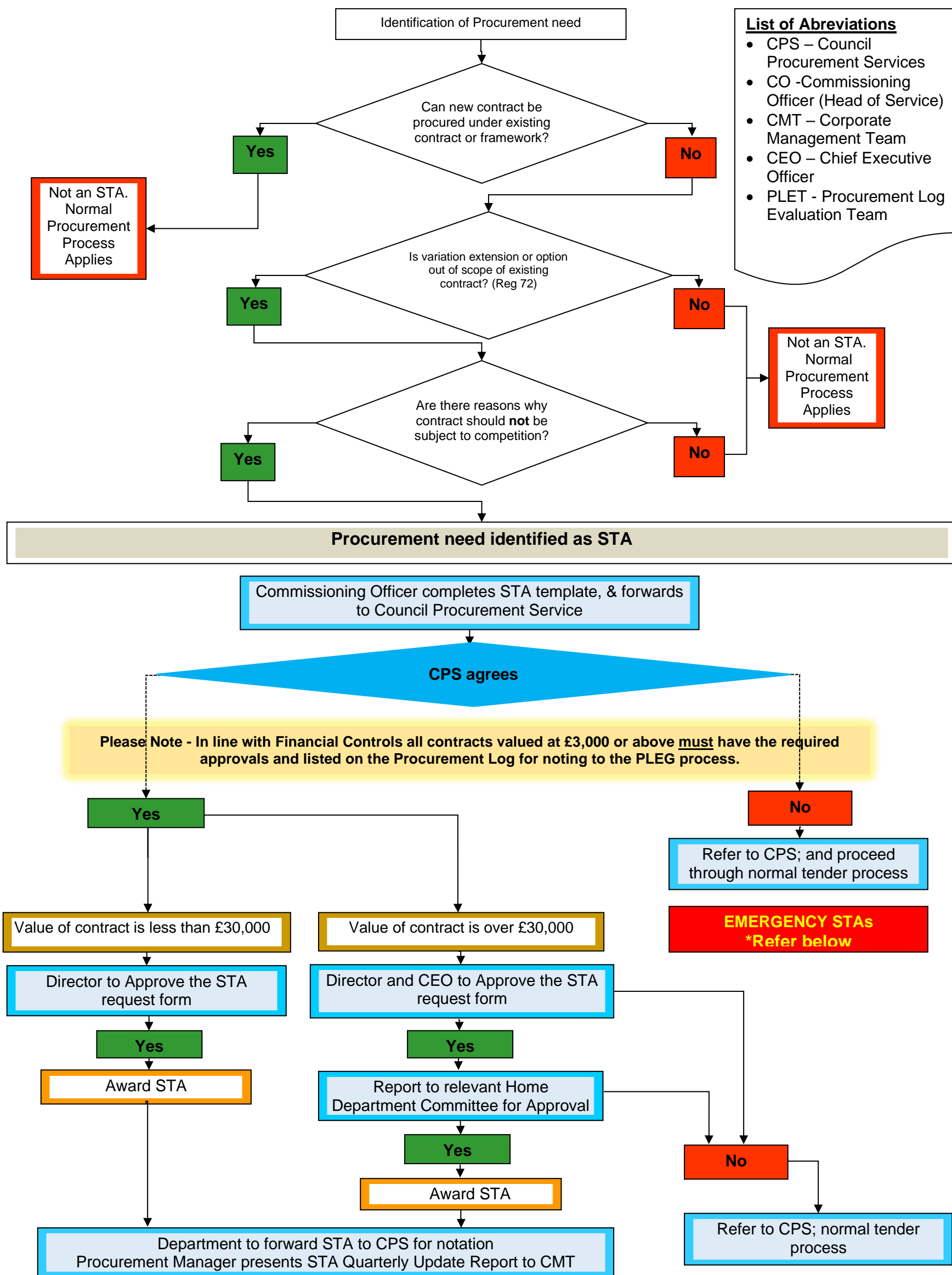
Actual evidence of sufficient exposure to/engagement of the market to prove the case being claimed is expected (e.g. how have you engaged or researched the market in sufficient depth to objectively prove the single supplier argument – did you openly advertise for expressions of interest, for example, but got only one reply?)
 - Extreme Urgency – Such cases are more likely to be rejected where the reason for urgency is attributable to the department seeking to rely on it, especially where the reason for the urgency could also have been reasonably foreseen.
 - An extension or renewal (variation) of an existing contract is required. In this situation please provide supporting evidence as to how your request complies with all the qualifying requirements. If your request specifies technical reasons associated with additional supplies/services/works having to be purchased from an existing supplier by contract variation, you will be expected to objectively demonstrate how separating your requirements here from those that have gone before would lead to major inconvenience to the council because of :-
 - Disproportionate technical difficulties with the proposed purchase if made from elsewhere OR
 - Economic disadvantage to the council if the purchase is made from elsewhere OR
 - Continuity is strictly necessary to the performance of a new contract.
 - An overspend on a contract beyond its initial contract award value is not considered material i.e. the cumulated (total) value of the overspend does not exceed 10% (supplies and services) or 15% works of the initial contract award value **and** the applicable regulated threshold.
 - However, consistent with procurement legislation (the Regulations), if the value of your case here reflects a substantial modification to the original contract valuation and/or specification and/or the outcome is that an extended timeline is needed for the continuity requested then a new tender exercise may nonetheless still be required.

An STA **is not justified** where:-

- better planning would have negated the need for STA.
- where the award of a limited value consultancy or other contract could lead to further work and possibly give the chosen firm a major advantage at a subsequent stage of tendering.

NOTE: regarding following page – the bottom chart does not deal with Modification or VEAT notices which will be relevant to regulated procurement threshold changes.

Normal Procurement Process Applies



- List of Abreviations**
- CPS – Council Procurement Services
 - CO -Commissioning Officer (Head of Service)
 - CMT – Corporate Management Team
 - CEO – Chief Executive Officer
 - PLET - Procurement Log Evaluation Team

* EMERGENCY STAs

Where an emergency situation arises as prescribed within the procurement regulations, (see Regulation 32, an STA is e.g. where there is no contract or framework and the requirement was unforeseeable. Regulation 72 using an existing contract/framework the need (resulting in a modification of the arrangement) was due to circumstances which a diligent contracting authority could not have foreseen). This should be escalated directly to the Chief Executive via the Lead Officer. Emergency situations are those which constitute an immediate Health & Safety or Environmental Risk or any other elevated imminent risk, which may require direct and immediate action by the lead Officer. An imminent risk may be one that gives rise to negative publicity, political or social consequence. In the event that the Chief / Duty Director can't be contacted, the lead officer should endeavour to get approval from another Director - however if this is not possible, the lead officer will have delegated authority to proceed. When a decision has to be made urgently, it should be supported, retrospectively, by an explanation of what has caused the emergency, including,

- whether there was an available contract/framework agreement that could be used and if it was not used, why not
- where there was no available arrangement, how the supplier was identified to deal with the emergency
- are there any lessons to be learnt from the emergency (to minimise a repeat in the future)

The use of all STAs will need to be reviewed on a regular basis to identify any patterns and, perhaps, where there is a need to put arrangement (e.g. a framework) in place that can be used should the issue arise again. This will help to identify issues such as a STA that has arisen due to lack of planning etc.

Committee:	Governance and Audit Committee
Date:	14 th December 2023
Report from:	Internal Audit Manager

CONFIDENTIAL REPORT

Reason why the report is confidential:	Information relating to the financial or business affairs of any particular person (including the Council holding that information).
When will the report become available:	
When will a redacted report become available:	31st December 2023
The report will never become available:	

Item for:	Noting
Subject:	Internal Audit – Progress Report

1.0	<p><u>Background and Key Issues</u></p> <p><i>The purpose of this report is to summarise Internal Audit work and progress against the Operational Plan since the last G&A Committee meeting on the 14th September 2023. A copy of any Internal Audit Report(s) referred to in the progress report are also provided in full in the Resources Section of Decision Time under Committees/Governance & Audit/Confidential – Internal Audit Reports 2023.</i></p> <p><i>There are currently no key issues. I am satisfied that the team are on track for satisfactory completion of the 2023/2024 Audit Plan.</i></p>	
2.0	<p><u>Recommendation</u></p> <p>Members should note the content of the Progress Report</p>	
3.0	<p><u>Finance and Resource Implications</u></p> <p>None</p>	
4.0	<p><u>Equality/Good Relations and Rural Needs Impact Assessments</u></p>	
4.1	Has an equality and good relations screening been carried out?	No
4.2	<p>Brief summary of the key issues identified and proposed mitigating actions or rationale why the screening was not carried out</p> <p><i>Internal Audit is an independent assurance function and is non-operational therefore no assessment required.</i></p>	N/A

4.3	Has a Rural Needs Impact Assessment (RNIA) been completed?	No
4.4	<p>Brief summary of the key issues identified and proposed mitigating actions <u>or</u> rationale why the screening was not carried out.</p> <p><i>Internal Audit is an independent assurance function and is non-operational therefore no assessment required.</i></p>	N/A

Appendices:	Internal Audit Progress Report
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Internal Audit Progress Report

14th December 2023

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1. Introduction & Status Summary

1.1 Overview of Review









The purpose of this report is to summarise Internal Audit progress since the last G&A Committee update report on the 14th of September 2023.

1.2 Resources

The Internal Audit Team is comprised of 0.5 Internal Audit Manager and 2 full time Auditor posts.

1.3 Progress against 23/24 Operational Plan

Progress against the current 23/24 plan is outlined in the table whilst further detail is included as at Appendix 1.

Stage	Status	As at Sep 2023	As at 22 nd November2023
	Not due to start per plan	10	7
	Planning underway	3	3
	Draft Terms of Reference (Awaiting sign-off HOS)	0	0
	Terms of Reference Agreed	4	1
	Fieldwork	3	6
	Draft Report	1	1
	Final Report	0	3
	Cancelled	1	1
Total		22	22

1.4 Changes to 23/24 Internal Audit Plan

2223 – 15 – Leisure, Arts and Facilities, Energy Management - 15 days

The service requested that this audit review be changed from an assurance to an advisory review. Internal Audit after discussion with the Head of Service agreed that it would be more appropriate to change the audit from assurance to advisory due to the change of remit moving to another Directorate, the previous responsible Head of Service leaving the Council and the post of Climate & Sustainability Officer was recently filled. It would be more efficient use of Internal Audit to act in an advisory capacity and carry out an assurance review in this area after the new processes and procedures have had time to bed in within a future audit plan.

The Chief Executive approved this change on 26th October 2023.

2. Summary of Reports

2.1 Overview

The following report has been finalised during the period.

Ref	Name	Type	Outcome	P1	P2	P3	Insights
23/24 - 01	Cash Handling and Income Collection	Assurance	Satisfactory	-	1	4	-
23/24 - 08	Corporate Health & Safety	Assurance	Satisfactory	-	1	1	-
22/23 - 14	Museum Artefacts	Assurance	Satisfactory	-	-	-	3
22/23 - 06	Software Licensing	Assurance	Satisfactory	-	1	-	1
Total				-	3	5	4

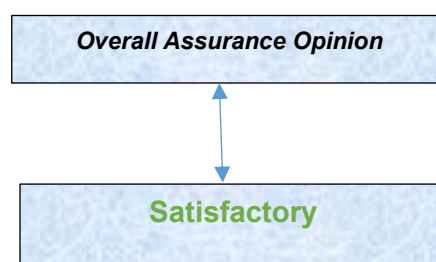
2.2 Cash Handling and Income Collection

Context

Cash Handling and Income Collection is an important responsibility for Lisburn and Castlereagh City Council (L&CCC) and the Council recognises this fact. Effective income and cash management is important for sound budget management, financial probity and as evidence of financial awareness and the Council should understand their responsibilities to ensure that income management is robust and effective.

Summary of Findings and overall assurance rating

Findings	P1	P2	P3	Insights
Adequacy of controls	-	-	-	-
Effectiveness of controls	-	1	4	-
Total	-	1	4	-



Overall, this review has concluded with a **satisfactory** assurance rating with one Priority 2 recommendation and four Priority 3 recommendations as follows:

One Priority 2 recommendation was raised relating to:

- Security of cash

Four Priority 3 recommendations were raised relating to:

- Completion of Cashier Return Sheets
- Till Float not being designated
- Safe Combinations
- Collecting Cash from Hairdryers

Security of Cash

(Priority 2)

Focus of Finding - Effectiveness of Controls

Finding

As part of our testing, Internal Audit reviewed to see that safes used within each site had a sufficient insurance limit, results showed that at AGC during a certain period of the year, this was not the case. From discussions it was explained that at the start of the new golf season membership renewals are due, these fees will be paid between April/May times. A high majority of golf members will pay this yearly subscription by cash, currently the safe limit at AGC is 4k and the security company responsible for collecting the cash are only on site once a fortnight, during this period this will result in the safe exceeding the insurance limit on occasions.

Implications

If monies are retained in the safe for longer than necessary and a number of persons can access that safe, there is an increased risk of nullifying insurance cover and the possibility of theft or loss of income.

Recommendation

Management should review and ensure that action is taken to address this issue, options for consideration could be:

- Purchase of new safe with sufficient amount of insurance cover;
- Security Company to be approached and request for more cash lifts during this period.

Action	Responsible Officer	Target Date
This to be tightly managed by Secretary Manager to ensure extra cash lifts are put on and arranged every day if needed. Customers will be pushed more to pay online or via Credit/Debit cards too.	Golf Course Secretary Manager	March/April 2024 when next yearly memberships lifted.

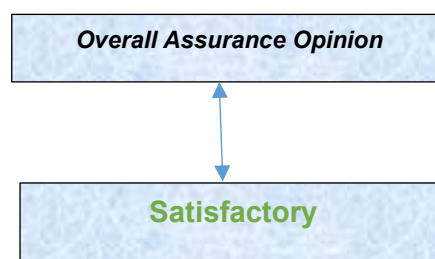
2.3 Corporate Health & Safety

Context

Lisburn and Castlereagh City Council (L&CCC) has a duty to manage its workplace with due regard to the health & safety of the workforce and those affected by the Council’s activities. This is to prevent death, injury and ill health of those at work and those affected by the Council’s work. Responsibility for health & safety in the Council extends to its role as an employer, service provider and as a procurer of services.

Summary of Findings and overall assurance rating

Findings	P1	P2	P3	Insights
Adequacy of controls	-	-	-	-
Effectiveness of controls	-	1	1	-
Total	-	1	1	-



Overall, this review has concluded with a **satisfactory** assurance rating with one Priority 2 and one Priority 3 recommendation as follows:

One Priority 2 recommendation was raised relating to:

- Health and Safety Policy and Council's Health and Safety Procedures (CHaSPs) to be reviewed.

One Priority 3 recommendation was raised relating to:

Health and Safety Champions

Health and Safety Policy and Council's Health and Safety Procedures (CHaSPs) to be reviewed.

(Priority 2)

Focus of Finding - Effectiveness of Controls

Finding

It is advised that policy and procedures are reviewed and updated annually or when there has been a legislative change, from our testing and information provided by the Health and Safety Advisor, the Health and Safety Policy needs reviewed and has a version date of July 2021. There is also a high number of CHaSPs that have version dates that go back as far as 2019. Internal Audit would like to highlight that Covid-19 has affected these work streams/reviews and processes are currently being undertaken and we recommend that high risk areas are being prioritised for review.

At present, four CHaSPs have not been finalised and sit with the HR&OD unit, these include:

- CHaSP 12 – Mental Health and Wellbeing;
- CHaSP 13 – Work Related Stress;
- CHaSP 15 – Alcohol and Drugs in the workplace;
- CHaSP 33 – Noise

It was brought to Internal Audit attention that the Environmental Health Manager is due to meet with HR&OD to discuss these procedures and any particular issues which have been flagged.

CHaSPs can be accessed through the Council intranet, through our testing it was noted that CHaSPs No; 13 – Working at Height, had two versions.

Implications

Without regular monitoring there is a risk that policy/procedures are not updated in line with agreed frequency and or actions from legislative changes are not addressed. Without a suite of up to date policies/procedures, staff may lack clear direction and understanding as to how health and safety is managed and their role within the workstream. Failure to manage risks could result in injury leading to financial penalties and/or reputational damage.

Recommendation

A review of current Health and Safety Policies/Procedures should be a priority, they should be updated and subject to regular review. Each policy/procedure should have an owner, a review date and be version controlled.

The process around the four outstanding CHaSPs has been slow and a final decision should be made by management, ensuring an appropriate level of staff and union engagement. These procedures could reduce the risk of errors and inconsistency and will be beneficial for the training of current and new employees and provide management with assurance that correct and consistent instructions are available to staff.

The Council's intranet page for health and safety documents should be updated so that only current, up to date procedures are available to staff.

Action	Responsible Officer	Target Date
Annual reviews of all policies/procedures should be incorporated into the health and safety work programme.	Head of Service Environmental Health	31/03/2024
Management should ensure that processes and actions are taken around the four outstanding CHaSPs.	Head of Service Environmental Health	31/03/2024
Council's intranet page to reviewed and updated and appropriate action taken.	Head of Service Environmental Health	31/03/2024

2.4 Museum Artefacts

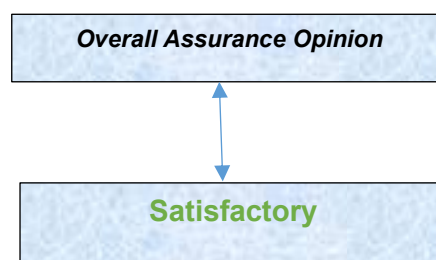
Context

The overarching objective for this assurance review was to assess the adequacy and effectiveness of the key controls operating in relation to Museum Artefacts.

Museum Artefacts were chosen given the high value of some of the items held within the service and the length of time since the last audit review.

1.2 Summary of Findings and overall assurance rating

Findings	P1	P2	P3	Insights
Adequacy of controls	-	-	-	-
Effectiveness of controls	-	-	-	3
Total	-	-	-	3



Overall this review concluded with a **satisfactory** assurance rating with three insights as follows:

Insights

- (i) To progress an area identified via a recent Museums Review* that asked for a "Collections Care and Conservation Plan" to be developed and include detail on provision of a suitable building(s) for storage prior to the next 5-year review date scheduled for 2027.
- (ii) Liaise with the Finance Team to strengthen the audit trail of artefacts by ensuring any number allocated to a physical museum artefact is also the same number used in recording on the Financial

Accounts - Fixed Asset Register. This should only be undertaken if the benefit outweighs any costs associated with officer time taken to update.

(iii) The Museum has digitised records on the Cloud via Object Matrix. The recent Arts Council review had also requested that the Museum reinforce this approach in their Museums Policies by inserting a statement in relation to how the museum is ensuring long term accessibility of information held digitally.

There is also an opportunity for Museum management to liaise with the Head of Service for Digitisation to explore further enhancements to digitisation options.

*The Museums Accreditation Scheme Administered in Northern Ireland on behalf of Arts Council England (ACE) by the NI Museums Council – accreditation letter dated 22nd November 2022.

2.5 IT Software Licensing

Context

Software Licences can be categorised into two distinct types – (i) free Software and (ii) paid Software. As a public body paid Software Licences carries the greater risk in terms of financial penalties and reputational risk.

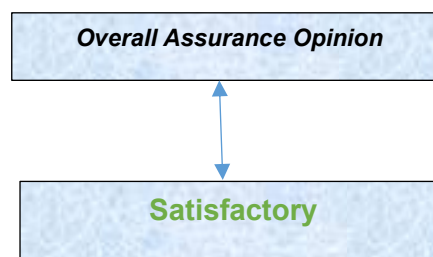
The overarching objective for this assurance review was to assess the adequacy and effectiveness of the key controls operating in relation to IT Software Licensing.

The audit focused on the following risks and objectives:

Risks	Audit Objectives
<ul style="list-style-type: none"> Financial (penalties) Reputational 	Review Controls to prevent under-licensing
<ul style="list-style-type: none"> Opportunity costs 	Review Controls to prevent over-licensing
<ul style="list-style-type: none"> Financial (fines) Reputational 	Review Controls to prevent the installation of pirated software

Summary of Findings and overall assurance rating

Findings	P1	P2	P3	Insights
Adequacy of controls	-	-	-	-
Effectiveness of controls	-	1	-	1
Total	-	1	-	1



Overall, this review has concluded with a *satisfactory* assurance rating with one Priority 2 recommendation and one insight as follows:

Recommendation

Line Managers should be reminded again of the importance to notify both HR and IT when staff leave the Council. This is to ensure all IT User Accounts are disabled, software licences are revoked to prevent over licensing and all IT equipment is returned on a timely basis.

Insight

Data Protection Policies:

A suite of Data Protection Policies was first created in preparation for the introduction of GDPR legislation in 2018. However, there has been a significant recent change in our IT Infrastructure. Most of our IT services have or in the process of migrating to Cloud Services. LCCC Data Protection Policies would need to reflect those changes to ensure that any risks associated with Cloud Service providers are adequately highlighted.

A Data Governance Working Group has been established who are in the process of finalising their Terms of Reference. That working group would be best placed to oversee any refresh to our Data Protection Policies after the migration to the Cloud has been completed.

IT Software Licensing Controls on (i) Endpoint Scanning & (ii) Leavers

(Priority 2)

Focus of Finding - Effectiveness of Controls

Finding

Definition

Endpoint Scanning is a three-step process that verifies the integrity of IP devices before allowing them to connect to the network: first, they make sure they are properly patched; second, they run the latest anti-virus and spyware software; and third, run a host firewall with the proper rules set.

Finding

Ref	Control/Risk/Observations
(a)	<p>Endpoint Scanning Risk/Control The use of endpoint scanning or inventory or discovery tools or other software to detect <u>new</u> servers and clients and the software installed on them.</p> <p>Observations</p> <p>Endpoint Scanning The IT manager confirmed "Intune" is used to manage all windows endpoints. New servers would have to be spun up through Eir Evo Managed Services.</p> <p>Under/Over Licences Assignment of E3 and F3 licences is performed through group membership as licences are charged in real-time via Microsoft.</p> <p>The IT Manager clarified other licences are generally purchased annually and it's <u>not</u> possible to re-negotiate mid-term.</p>

(b) Leavers Risk/Control

What happens when staff/agency workers leave the Council and what are the processes in place.

Observations

Licences managed by IT Services are revoked as users leave the organisation and all registers are updated accordingly. However, this is very much dependent on Line Managers contacting HR and the IT Teams and notifying them that a member of staff is leaving the Council.

We were provided with a sample of the last 5 leavers whose line managers submitted Help Desk requests notifying the IT Team of a member of their staff leaving.

Please see table below comparing leaving date and date when IT Team close down all user accounts, revoke software licences and confirm equipment returned.

Role	Service	Leaving Date	Date: IT Team closed all Accounts and Equipment returned and any licences revoked	Days from leaving to closing all IT accounts & returned equipment
Cleansing Operative	Cleansing	01/09/2023	20/09/2023 10.55	19 days
Admin Support	Communications	25/08/2023	11/10/2023 10.30	47 days
Environmental Health Officer	Environmental Health	28/02/2021	13/10/2023 14:52	2 years 227 days
Dog Warden	Environmental Heath	30/06/2023	13/10/2023 15:54	105 days
HR Advisor	HR	08/10/2023	17/10/2023 09:05	9 days

We noted the IT Manager issued an email to all staff marked high priority and dated 15th February 2022.

“Can I remind all staff that when a staff member leaves LCCC their IT equipment MUST be returned to IT Services It is the line managers responsibility to ensure the return of all IT Equipment and confirm everything has been returned

The employee/line manager should complete the returns form and return the form & the equipment to IT Services (with all associated chargers). HR should also be notified so they can initiate the termination request for the employee account. Equipment should NOT be held by the department as it has to be checked and re-configured

Mobile phones should have any PIN code removed (or noted) and in the case of an iPhone, be signed out of ANY iTunes/iCloud account present on the device ideally, the mobile should be reset to factory settings”.

Implications

Delays in notifying HR and IT Teams of leavers exposes the Council to unnecessary IT risks and loss of valuable equipment. [Return of Equipment Form - Staff intranet \(lisburncastlereagh.gov.uk\)](https://www.lisburncastlereagh.gov.uk)

Recommendation

Line Managers should be reminded again of the importance to notify both HR and IT when staff leave the Council. This is to ensure all IT User Accounts are disabled, software licences are revoked to prevent over licensing and all IT equipment is returned on a timely basis.

Action	Responsible Officer	Target Date
<p>Heads of Services and Line Managers should be reminded that HR and IT are formally notified that an officer is leaving in advance of their leaving date.</p> <p>All relevant exit documentation should be completed and IT equipment including phones should be returned on or before their leaving date.</p>	Head of Portfolio, IT and Commercialisation (Acting)	31/03/2024

2.6 Other Internal Audit Work/Activities

Internal Audit will continue to prioritise assurance work however we continue to provide advisory and consultancy work with the available resources.

Training

The team completed the online Fraud Prevention training. This training covered Anti-Fraud, Bribery and Corruption.

Council Working Groups: attendance and support

Date	Council Working Group	Audit Team member
26/05/23*	Strategic Procurement Working Group	Internal Auditor
10/05/23*	Information Governance Working Group	Audit Manager
22/08/23	Strategic Procurement Working Group	Internal Auditor
18/09/23	Information Governance Working Group	Internal Auditor
07/11/23	Information Governance Working Group	Audit Manager

* Took place before previous progress report but not reported.

Internal Audit team members attended above working group meetings held during the period providing relevant support and advice as required.

The Head of Service (Assets) who chaired the Strategic Procurement Working Group retired at the end of September 2023. A Strategic Procurement Working Group meeting planned for the 19th September 2023 was cancelled and there has been no meetings since the 22nd of August 2023.

Freedom of Information (FOI)

The Internal Audit Plan had scheduled an advisory review of the Council's Policy Framework - FOI in 2023/24.

The Council launched a new FOI database system on the 9th August 2023 and prior to the launch the Internal Audit team carried out an advisory review of the supporting documentation such as the Staff

Guidance and other associated documents. These documents had been scheduled to be presented to Heads of Service and senior managers the previous week.

A Draft Internal Audit Report was issued to management prior to distribution of FOI Staff Guidance.

Nothing significant was identified in our report in which we made three insights. The main focus of the insights was to ensure training was completed by all Heads of Services and line managers and relevant staff from the various Council services.

The advisory report will be issued to the CMT and information gained in this advisory report will form background to the 23/24 – 07 Data Governance & Security (FOI requests) assurance review.

Further Policy Reviews

Internal Audit is currently carrying out a review of the Anti-Fraud & Corruption Strategy along with relating policies such as the Whistleblowing Policy etc. Other policies such as HR policies are being reviewed early in the new year.

The auditor will liaise with HR and the Policy Officer regarding any updates required and a briefing paper will be provided to the CMT.

Internal Audit Team: Other Support Provided

Date	(a) Inquiries received from various LCCC Teams	Support provided
14/11/23	Grant advice provided regarding underspend. Request for options and approach to be taken.	Meeting with relevant officer and emails containing advice with available options.
15/11/23	Advice on completion of Statements of Assurance required for period ended 30 th September 2023	Several meetings with staff/emails with advice, suggested enhancements and supporting evidence requirements.

Date	(b) Inquiry received from External Ratepayer	Support provided
14/11/23	Phone call inquiry from a Community Association. <u>Subject:</u> Charity Commission Regulation on Independent Examinations.	Phone calls, research and email sent with relevant regularity section attached on Independent Examination requirements.

National Fraud Initiative (NFI) – Data Matching

The volume of matches received by the Council can be broken down over the following headings:

• Payroll	79
• Creditors	495
• Procurement	<u>10</u>
Total	<u>584</u>

The Council's Creditors team have reviewed those Creditors matches marked high risk and found nothing untoward up to now.

The Internal Audit team recently closed down a Payroll report that contained 11 matches – some of these had been under investigation due to a small number of staff working for LCCC on a casual basis and other public bodies. The results of these investigations found all in order with no contracted hours from other public bodies overlapping with casual hours of the staff we reviewed.

Investigations into Payroll and an additional sample of Creditors matches will continue over the coming months as and when resource allows. As indicated previously there is no obligation or expectation from the Audit Office to investigate all matches.

Privacy Notices

Internal Audit reviewed the Council's current privacy notices on both the internal and external website and provided the Director of Organisation, Development and Innovation with a briefing paper on suitability and comparison with other Council's.

Corporate Assurance Tracker (CAT)

The Corporate Assurance Tracker was put on hold early 2022/23 due to resource issues within the Internal Audit team. The Internal Audit assistant who was working on the new CAT in Smartsheet left the Council in July 2022. Due to backlogs of reviews carried forward from previous plans due to the pandemic priority was given to assurance audits. This exercise has since been restarted and assigned to the auditor to take forward. The Smartsheet has been developed and requires to be populated. Individual staff members have been identified within the Services to work alongside Internal Audit. The target date for completion will be 31st March 2024.

Members Training - Managing the Risk of Bribery, Corruption and Fraud

Internal Audit provided online training to elected members on managing the risk of bribery, corruption and fraud on 14th and 27th November. Information packs are currently being produced to include links to the relevant legislation and guidance.

Further member training on Governance and Internal Audit has been prepared and will be delivered in the new year.

3. Follow up Work

Context

Per the Public Sector Internal Audit Standards (section 2500: Monitoring Progress), Internal Audit must establish a follow-up process to monitor and ensure that management actions have been effectively implemented or that senior management has accepted the risk of not taking action. As such, Internal Audit undertake follow up work / seek evidence that where management has deemed a recommendation discharged, there is sufficient evidence to support this.

3.1 Status of Internal Audit Recommendations

3.2.1 Status of Internal Audit Recommendations as at 30th November 2023

Implementation of recommendations is based upon management's assessment of whether the audit recommendation has been addressed. Currently there are no outstanding recommendations.

3.2 Recommendations Deemed Discharged by Management





3.3.1 Recommendations Deemed Discharged by Management as at 30th November 2023



The Table below highlights that since 1st April 2023 there have been 28 recommendations deemed discharged by management.




Internal Audit undertook follow up work / sought evidence to support this and can confirm that to date, that all 28 of these recommendations have been fully implemented.


	Priority 1	Priority 2	Priority 3	Insights	Total
Fully Implemented since April 2023 to June 2023 CMT. Reported previously.	-	6	12	-	18
Internal Audit confirmation of discharged recommendations since last CMT Report, please see below.	-	2	8	-	10
Total	-	8	20	-	28

3.3 Internal Confirmation of Discharged Recommendations





Audit	Rec No	Original Recommendation	Management Action Plan	Priority	Implementation Date (s)	Results of Follow Up Work
<i>2122-22 Safeguarding</i>	627	Risk assessment process should take account of up-to-date statistical information on completion of Safeguarding training.	Risk Registers should include all relevant and up to date information, so that appropriate actions can be taken on a timely basis.	3	Original Date: 31 st March 2023 Revised Date: 30 th September 2023	
	629	To support the aims and best practices of SWG then remind members that if unable to attend SWG Meetings that they ensure an appropriate officer is nominated in their place.	To support the aims and best practices of SWG then remind members that if unable to attend SWG Meetings that they ensure an appropriate officer is nominated in their place.	3	Original Date: 31 st March 2023 Revised Date: 30 th September 2023	
<i>2122 Northern Ireland Audit Office</i>	462	A recommendation in respect to Lagan Navigation Trust was identified as partially implemented. The NIAO recommended that the Council act to fully implement the recommendation.	Council ended funding to LNT in March 2023 and no longer a requirement for a Service Level Agreement to be put in place. Ongoing issues of LNT disbursement of funds and data held by LCCC being addressed as part of concluding arrangements.	2	Original Date: 31 st March 2023 Revised Date: 30 th September 2023	
<i>1718- Capita Business Services Ltd</i>	306	We support managements plan to implement a MI	Lead Head of Development confirms that the	3	Original Date: 31 st March 2023	

Audit	Rec No	Original Recommendation	Management Action Plan	Priority	Implementation Date (s)	Results of Follow Up Work
		<p>system and recommend that this is progressed as planned.</p> <p>We further recommend that management develop a tool to monitor ongoing achievements against targets and this monitoring is reported through to the Head of Service as part of the regular and recurrent programme monitoring controls.</p>	<p>implementation of a MI system is being taken forward.</p> <p>Lead Head of Development agrees a monitoring tool could be developed as part of the MI system rather than continuing with manual processes.</p>		<p>Revised Date: 30th September 2023</p>	
<p>2022-06 Management Controls (included a review of G&H)</p>	<p>616</p>	<p>The Gift & Hospitality (G&H) Policy should be re-assigned to an alternative service for example either HR or Corporate Services and then updated.</p>	<p>Transfer the G&H Policy to an alternative Council Service and update.</p>	<p>3</p>	<p>Original Date: 31st March 2023</p> <p>Revised Date: 30th September 2023</p>	
<p>2122-19 – Community Engagement</p>	<p>1</p>	<p>For every new grant scheme, a Conflict of Interest form should be completed. All responses to the Declaration of Interests should be stored securely, this will also provide an audit trail for future reference.</p> <p>Further guidance about Conflicts of Interest is available to all members of staff on the Staff Intranet, this includes:</p> <ul style="list-style-type: none"> Staff Code of Conduct. 	<p>A Conflict-of-Interest Form should be completed for every new grant scheme.</p> <p>All staff who are involved with the administration of grants should ensure they have read and understood the staff Code of Conduct and Conflicts of Interest Good Practice Guide. Appropriate wording on the Conflict-of-Interest Form should be included and</p>	<p>2</p>	<p>Original Date: 30th September 2023</p> <p>Revised Date: N/A</p>	

Audit	Rec No	Original Recommendation	Management Action Plan	Priority	Implementation Date (s)	Results of Follow Up Work
		<ul style="list-style-type: none"> Conflicts of Interest Good Practice Guide. 	signed by staff members to reflect that this has been completed.			
2324-01 – Cash Handling and Income Collection	10	The Senior Cashier/Duty Manager should ensure Cash Handling Procedure is followed at all times and to verify who has entered and signed the information recorded on the Cash Returns Sheets. This should be highlighted to all Duty Managers within all sports centres.	The Senior Cashier/Duty Manager to ensure cash handling procedures are followed at all times and always 2 signatures to ensure segregation of duty controls. Memo issued to all relevant staff and any staff that need trained to contact Business Support Manager.	3	Original Date: 31 st October 2023 Revised Date: N/A	
	11	Internal audit recommend that senior management should ensure and highlight to staff the importance of complying with Cash Handling Procedures for floats at all times.	The Senior Cashier/Duty Manager to ensure cash handling procedures are followed at all times and Floats are always issued. Memo issued to all relevant staff and any staff that need trained to contact Business Support Manager.	3	Original Date: 31 st October 2023 Revised Date: N/A	
	12	Safe combinations should be changed regularly and whenever security may have been compromised. All sites should also change safe combinations when	Operations Manager on each site to ensure safe combinations are changed on a regular basis and straight away if there is a security	3	Original Date: 31 st October 2023 Revised Date: N/A	

Audit	Rec No	Original Recommendation	Management Action Plan	Priority	Implementation Date (s)	Results of Follow Up Work
		an employee with knowledge of the combination leaves the job. All sites should have sufficient supporting evidence to confirm when safe combinations have been updated.	breach or staff member leaves. Memo issued to all relevant staff.			
	13	A standard template to record when coins are collected from the hairdryers including the signature of two staff members present during emptying of the hairdryers should be used.	Duty Managers/Senior Recs to ensure when collecting any money from Hairdryers that 2 members of staff are present, and monies are checked by staff members and recorded on sheet and signed off. There is currently already template form for this.	3	Original Date: 31 st October 2023 Revised Date: N/A	

Key:

	Implemented
	Partially Implemented
	Not Implemented
	Not Due

4. Quality Assurance - Internal

KPI's for Internal Audit Plan 2023/24 are monitored on an ongoing basis. At this stage of the audit year I am confident that sufficient assurance work will be completed by the end of the audit year to provide the Internal Audit opinion.

No.	Target	Narrative	Performance to date
1	Pre-Audit	Agreement of TOR with HOS & Director 10 days prior to commencement of audit / review	100%
2	Audit Delivery	Completion of 90% of the Internal Audit Plan	41%
3	Audit Delivery	80% of Recommendations accepted	100%
4	Customer Satisfaction Results	Achievement of Customer Feedback average score of 3 or more.	N/A
5	Resources / Costs	Manage the costs of the IA team within agreed budget	On track






5. Quality Assurance – External Review






As previously reported the external review of the Internal Audit Services has been on hold given other organisational challenges such as COVID. A Peer Review has been arranged through the Local Government Internal Audit Practitioners Group. This is due to take place during 24/25.







The timing is to allow arrangements for the Peer Reviews to be allocated to the relevant Local Authorities and also to wait until the reviewed Internal Audit Standards to be published digitally in January 2024. This approach allows for the Peer Review to be undertaken by internal audit officers who are knowledgeable about internal audit work within the sector and thereby can challenge / support in equal measure. In addition, the Practitioners Group will endeavour to ensure that there are sufficient number of Councils involved to minimise the risk of any perceived conflicts e.g., Councils reviewing reciprocal arrangements (EG LCCC peer reviews ANBC and ANBC reviews LCCC).







A meeting of the Peer Review Working Group will take place early January 2024 to discuss the process and allocate the Peer Reviewers to each Council. Details will be reported to this committee in the March 2024 Progress Report.









Appendix 1 23/24 Operational Plan updated as at 22nd November 2023

Audit Ref.	Auditable Unit	Type of Review	Sponsor	Status
	Previous Year Audits B/F			
PY - 2021 - 05	Training and Development of Staff	<u>Assurance</u>	DES	
PY - 2223 - 09	BCP & Risk Management	<u>Assurance</u>	DES	
PY - 2223 - 15	Leisure, Arts and Facilities including Community Centres (Bridge, Ballyoran, Enler and Moneyreagh)	<u>Assurance</u>	DST	
PY - 2223 - 17	Waste Management	<u>Assurance</u>	DES	
PY - 2223 - 20	Waste Disposal and Recycling	<u>Assurance</u>	DES	
PY - WIP	Previous years audits b/f - started but not completed as at 31/03/2023		ALL	

Key Theme: Financial				
2324 - 01	Income Collection, Billing & Debt Management	<u>Assurance</u>	DL&W	
2324 - 02	Grants (others)	<u>Assurance</u>	DF&CS - HoS Finance	
2324 - 03	Payroll including expenses	<u>Assurance</u>	DODI	
Resources: Organisational Development				
2324 - 04	Personal (Recruitment, Retention and HR Policies)	<u>Assurance</u>	DODI	
2324 - 05	Attendance Management	<u>Assurance</u>	DODI	

	Resources: Other			
2324 - 06	Commissioning, Procurement & Contract Management	<u>Assurance</u>	DST	
2324 - 07	Data Governance and Security (FOI Requests)	<u>Assurance</u>	DES	
2324 - 08	Corporate Health & Safety	<u>Assurance</u>	DES	
	Governance			
2324 - 09	Corporate Performance	<u>Advisory</u>	DODI	
2324 - 10	Policy Framework	<u>Advisory</u>	DF&CS	
2324 - 11	BCP & Risk Management (Deep Dive)		CEO	

2324 - 12	Anti Fraud and Corruption/Ethics	<u>Advisory</u>	CEO	
Transformation & Change				
2324 - 13	Internal Change Projects	<u>Assurance</u>	DODI	
2324 - 14	Capital Project Management/PMO	<u>Assurance</u>	DST	
Operational Delivery				
2324 - 15	PCSP	<u>Assurance</u>	DL&W	
2324 - 16	PEACE programme	<u>Assurance</u>	DL&W	
2324 - 18	Planning Development Management Planning Enforcement Local Development Plan	<u>Advisory</u>	DST	

Key		
	Not due to start per plan	
	Planning Underway	
	Draft Terms of Reference (awaiting sign-off (HOS)	
	Terms of Reference Agreed	
	Fieldwork	
	Draft Report	
	Final Report	
	Cancelled	