



**LISBURN & CASTLEREAGH CITY COUNCIL**

Island Civic Centre  
The Island  
LISBURN  
BT27 4RL

7 January, 2016

Chairman: Alderman W A Leathem  
Vice-Chairman: Councillor V Kamble  
Aldermen: D Drysdale, A G Ewart and J Tinsley  
Councillors: A P Ewing, J Gallen, O Gawith, A Girvin, A Grehan,  
H Legge, U Mackin, B Mallon, J McCarthy and T Mitchell  
Ex Officio The Right Worshipful the Mayor, Councillor R T Beckett  
Deputy Mayor, Councillor A Redpath

The Monthly Meeting of the **Governance and Audit Committee** will be held in the **Cherry Room, Island Civic Centre, The Island, Lisburn on Tuesday, 12 January, 2016 at 5.30 pm** for the transaction of business on the undernoted Agenda.

Hot food will be available from 5.00 pm in Lighters Restaurant.

You are requested to attend.

**DR THERESA DONALDSON**  
**Chief Executive**  
**Lisburn & Castlereagh City Council**

## AGENDA

1. Apologies
2. Declarations of Interest
3. Minutes – Meeting of Committee held on 8 December, 2015 (Copy attached)
4. Report by Chief Executive
  1. Further Consultation on Lisburn Courthouse
  2. Council Risk Management – Corporate Risk Register
  3. Consultation on NI Local Government Code of Conduct – Alternative Action Proposals
  4. Report by Head of Audit
    - 4.1 Reimbursement of Travel Expenses
    - 4.2 Annual Audit of Lagan Rural Partnership
  5. Draft Guidance for Council’s Performance Improvement from April 2016 Onwards
  6. LCCC –Customer Service Guidelines
  7. Northern Ireland Audit Office – Query in Audit Fees
  8. Budget Report – Chief Executive’s Office
5. Confidential Business – “In Committee”
  1. Audit Reports (confidential due to containing information which is likely to reveal the identity of an individual)
  2. Rolling Year Absence Figures for Chief Executive’s Office for the Period 1 April, 2015 to 31 October, 2015 (confidential due to containing information which is likely to reveal the identity of an individual)
  3. Draft Estimates for 2016/17 for the Chief Executive’s Department (confidential due to containing information which reveals that the Council proposes to make an order or direction under any statutory provision (Rates Regulations (NI) 2007)
  4. Royal Borough Status (confidential due to containing information which reveals that the Council proposes to make an order or direction under any statutory provision)

Members are requested to go to the Confidential Folder to access the Governance and Audit Committee confidential report

6. Any Other Business

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To: Members of Lisburn & Castlereagh City Council

**LISBURN & CASTLEREAGH CITY COUNCIL**

**Minutes of the Meeting of the Governance and Audit Committee held in the Island Civic Centre, The Island, Lisburn, on Tuesday, 8 December, 2015 at 5:32 pm**

**PRESENT:**

Alderman W A Leathem (Chairman)

The Right Worshipful the Mayor  
Councillor R T Beckett

Deputy Mayor  
Councillor A Redpath

Aldermen D Drysdale, A G Ewart and J Tinsley

Councillors A P Ewing, J Gallen, O Gawith, A Girvin,  
A Grehan, V Kamble, H Legge, J McCarthy, U Mackin,  
B Mallon and T Mitchell

**OTHER MEMBERS:**

Alderman G Rice MBE

**IN ATTENDANCE:**

Chief Executive  
Project Manager – Finance  
Transition Manager  
Community Planning Manager  
Performance Development Officer  
Committee Secretary

1. Apologies

There were no apologies.

2. Declarations of Interest

There were no declarations of interest.

3. Minutes

It was agreed that the minutes of the special meeting of the Governance and Audit Committee held on 27 October, 2015, as adopted at the meeting of Council held on 24 November, 2015, be confirmed and signed.

It was agreed that the minutes of the meeting of the Governance and Audit Committee held on 10 November, 2015, as adopted at the meeting of Council held on 24 November, 2015, be confirmed and signed by the Vice-Chairman, who had taken the Chair in the absence of the Chairman. Alderman W A Leathem thanked Councillor V Kamble for having stood in for him at the November meeting.

4. Report from Chief Executive

It was agreed that the report and recommendations of the Chief Executive be adopted, subject to any decisions recorded below.

Items for Decision

4.1 Consultation on NI Local Government Code of Conduct – Alternative Action Proposals

Under the Local Government Act (Northern Ireland) 2014, the NI Commissioner for Complaints was responsible for investigating and adjudicating on complaints about alleged breaches of the Local Government Code of Conduct for Councillors. The 2014 Act also provided for the Commissioner to take action “instead of” or “in addition to” an investigation (“Alternative Action”). The Commissioner had invited comments on his proposals for Alternative Action in dealing with minor breaches of the Code, the closing date for the submission of responses being 15 January, 2016. It was agreed to recommend that Members forward any comments they had on the consultation document to the Transition Manager, no later than 21 December, 2015, for inclusion in a draft response, which would then be presented to the Committee at its January meeting for approval prior to submission on 15 January, 2016.

4.2 Report by Project Manager – Finance

Members were provided with a copy of a report prepared by the Project Manager – Finance containing the following matters:

4.2.1 Review of Internal Audit Effectiveness

Councillors T Mitchell, B Mallon, A Girvin, A P Ewing, J McCarthy, A Grehan and O Gawith arrived during consideration of this item of business (5.35 pm).

Further to the November meeting of the Committee, the following was agreed regarding the Action Plan in relation to the Review of Internal Audit Effectiveness:

- (a) the updated Audit Charter to reflect the Role and Responsibility of Internal Audit was approved. This updated Charter included an “advisory role” which was cross referenced to 1.4 on the Action Plan for Implementation Recommendation – Review of Internal Audit Effectiveness October 2015;
- (b) Internal Audit awareness training for Council staff, as detailed in the report of the Project Manager – Finance, was approved; and
- (c) training for Members on the contents of the Ernst & Young Review on the Internal Audit Effectiveness, as detailed in the report of the Project Manager – Finance, was approved.

4.2.2 Matter Arising from Previous Meeting (5.2) (ii) Page 575

Alderman D Drysdale and Councillor V Kamble arrived at this point (5.37 pm).

Members were advised that it had not been possible to second an Officer into the Internal Audit Section to undertake the role previously carried out by the External

4.2.2 Matter Arising from Previous Meeting (5.2) (ii) Page 575 (Contd)

Provider. It was agreed to recommend that the Council engage its current External Provider on a three month contract for Internal Audit Services under a Single Tender Action for the period 1 January to 31 March, 2016.

The Project Manager – Finance recommended that Officers start work on a tender specification for a three year contract for the provision of Internal Audit Service to complement the existing in-house team, to commence on 1 April, 2016. However, following discussion during which mention was made of the previously agreed staff increase in Internal Audit and the formal rotation of staff to that Section, as well as the report that was to be considered later in the meeting under ‘Confidential Business’, it was agreed to recommend that consideration of the provision of Internal Audit Service by an External Provider, post April 2016, be deferred to the January meeting of the Committee.

4.2.3 Guidance on the Local Government (Accounts & Audit) Regulations (NI) 2015

Members noted the contents of a report drawing attention to the following areas of the above guidance:

- (a) Financial Management & Internal Audit Control (Part 2);
- (b) Published Accounts & Audit (large Local Government bodies) (Part 3 Regulation 8); and
- (c) Format of the Remuneration Report for Councils in 2015/16 (Part 6).

Following discussion, it was agreed to recommend that Members’ concerns regarding the publication of the names of senior Officers of the Council and their salaries be conveyed to the Northern Ireland Audit Office (NIAO), as well as any other relevant Government Legislator.

4.2.4 NIAO – Report by the Comptroller & Auditor General

Members noted the contents of a media release dated 24 November, 2015 regarding the above report.

4.3 Public Accountability and Governance for Board Members  
25 November, 2015 – Belfast

In consultation with the Chairman, Alderman W A Leathem, arrangements had been made for the Vice-Chairman, Councillor V Kamble, to attend the above conference, the estimated cost of attendance at which was £208.58. It was proposed by Councillor O Gawith, seconded by Alderman D Drysdale and agreed to recommend that retrospective approval be given to Councillor Kamble’s attendance at the conference.

4.4 NILGA Consultation: Developing a Programme for Local Government 2016-2020

Alderman G Rice arrived to the meeting during consideration of this item of business (5.57 pm).

Members were provided with a copy of the above consultation document, comments on which had been sought by 31 December, 2015, together with a copy of a draft response. It was agreed to recommend that the draft response be approved, subject to it taking account of any comments Members provided to the Transition Manager, prior to its submission on 31 December, 2015.

4.5 Call-in Procedures

The Transition Manager had carried out a comprehensive review of the other 10 local authorities' procedures in connection with their call-in procedures. While the procedures were very different in content and nature, it was very apparent that the current Lisburn & Castlereagh City Council procedure was very comprehensive and far-reaching in comparison with other councils.

It was proposed by Councillor J McCarthy, seconded by Alderman J Tinsley and agreed to recommend that where a "call-in" was made, there should be a proposer and seconder within the Members' signatures attached to the "call-in", which would allow a clear direction on who should speak if and when the "call-in" was to be heard at the 'ad hoc committee' formal discussions/meeting.

4.6 Away Day – 28 January, 2016

Councillor J Gallen arrived to the meeting during consideration of this item of business (5.59 pm).

Further to the Council meeting on 24 November, 2015 when Members were advised that a detailed report in relation to the recent Away Day would be provided at the December Governance and Audit Committee meeting, Members were provided with, and agreed to recommend approval of the contents of, a copy of an agenda for an Away Day planned to take place on 28 January, 2016. The detailed report referred to at the Council meeting would be incorporated into the January 2016 Away Day. In response to a Members' query, the Project Manager – Finance confirmed that the report would be provided to Members in advance of the Away Day, which was taking place at Lagan Valley Island in the evening.

4.7 2021 Census: Topic Consultation for Northern Ireland

Members having been provided with a copy of a report by the Community Planning Manager in respect of the above matter, it was agreed to recommend that a response be made to NISRA based on the Community Planning Manager's report and including reference to a question being included on 'knowledge of another language' and what that language was. The Chairman, Alderman W A Leathem, asked that Members notify the Community Planning Manager of any other comments they had prior to the response submission date of 17 December, 2015.

Items for Noting

4.8 Community Planning Workplan

Members noted the contents of an updated Community Planning Workplan. The Chairman, Alderman W A Leathem, congratulated the Community Planning Manager on the preparation of this very efficient workplan.

4.9 Response and Recommendations Following Consultation on Proposals for the Rationalisation of the Court Estate

Members were provided with, and noted the contents of, a copy of a letter dated 27 November, 2015 from the Northern Ireland Courts and Tribunals Service advising that it had published the above document on its website, as well as on the Department of Justice website.

The Community Planning Manager advised that, as agreed at the November Governance and Audit Committee meeting, a meeting with senior officials from the Department of Justice had been arranged and would be taking place on 18 December, 2015. It was agreed that this meeting would be attended by the Chairman of the Corporate Services Committee and, in the absence of the Chairman of the Governance and Audit Committee, either the Vice-Chairman of Corporate Services Committee or the Vice-Chairman of the Governance and Audit Committee.

4.10 Northern Ireland Audit Office – Query in Audit Fees

Members were reminded that, at the meeting of the Committee held on 9 June, 2015, they had been provided with correspondence received from the NIAO advising councils of the increase in audit fees. Members were now provided with a copy of recent correspondence from the Audit Office in reply to a query from Fermanagh and Omagh Council. Following discussion, it was agreed to recommend that the NIAO be made aware of Members' concerns that, because Lisburn & Castlereagh City Council had a higher number of performance improvement objectives, its cost of audit and assessment would be higher than other councils who had fewer objectives, which seemed unfair. The Chief Executive was also requested to raise this matter at the Chief Executives' Forum.

5. Confidential Business

It was agreed that the report and recommendations of the Chief Executive be adopted, subject to any decisions recorded below.

5.1 Organisation Design

The matter contained in the confidential report would be dealt with "In Committee" due to containing information relating to any individual.

At this stage, the Chairman, Alderman W A Leathem, asked that all Officers, with the exception of the Chief Executive, leave the meeting. Before Officers left, Alderman Leathem wished them all a very Happy Christmas and prosperous

5.1 Organisation Design (Contd)

2016 and thanked them for their contribution to both the Council and this Committee during the year.

The Project Manager, Transition Manager, Community Planning Manager, Performance Development Officer and Committee Secretary left the meeting (6.14 pm).

The Committee Secretary returned to the meeting at 6.47 pm.

"In Committee"

The Chief Executive advised that it had been proposed by Councillor O Gawith, seconded by Councillor A P Ewing, and agreed that this matter be considered "in committee", in the absence of members of the press and public being present.

Members had been provided with a copy of a report in relation to the proposed staffing structure for the Chief Executive's Office.

The Chief Executive advised that, following discussion, it had been proposed by Alderman J Tinsley, seconded by Councillor A Grehan and agreed to recommend that the proposed staffing structure be approved, subject to job descriptions for the amended posts being brought forward to the next Committee meeting and evaluations for those posts hopefully being undertaken by the next Committee meeting.

Resumption of Normal Business

It was proposed by Councillor J Gallen, seconded by Councillor B Mallon, and agreed to come out of committee and normal business was resumed.

6. Any Other Business

6.1 Financial Transaction Capital  
Alderman D Drysdale

Alderman D Drysdale referred to an amount of money being made available by Central Government at the end of the financial year as it had not been claimed. This was called the Financial Transaction Capital and, as the Council was taking on a number of capital projects, Alderman Drysdale enquired if Council Officers were aware of this. The Chief Executive confirmed that Financial Transaction Capital was one of the issues that would be discussed at the Away Day on 28 January, 2016.

6.2 Governance Training for Members  
Alderman D Drysdale

Alderman D Drysdale having stated the importance of governance training for Members, particularly those Members who would be remaining on the Governance and Audit Committee, it was agreed to recommend that the

6.2 Governance Training for Members  
Alderman D Drysdale (Contd)

Committee Secretary email Members to ascertain their interest in participating in governance training.

**Conclusion of the Meeting**

At the conclusion of the meeting, the Chairman, Alderman W A Leathem, wished Members a Merry Christmas and Happy New Year.

There being no further business, the meeting was terminated at 6.51 pm.

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Mayor/Chairman

**LISBURN & CASTLEREAGH CITY COUNCIL**  
**MEETING OF GOVERNANCE AND AUDIT COMMITTEE – 12 JANUARY, 2016**

**REPORT BY DR THERESA DONALDSON, CHIEF EXECUTIVE**

**PURPOSE AND BACKGROUND**

The purpose of this report is to set out for Members' consideration, a number of recommendations relating to the operation of the new Council.

The following decisions are required:

**To consider what steps to take in the period before any potential closure of Lisburn Courthouse and to consider the content of the consultation and agree a response to the Northern Ireland Courts and Tribunals Service**

**To consider and approve the Corporate Risk Register**

**To agree that the Council submit an nil response to the consultation document on Alternative Action Proposals for the NI Local Government Code of Conduct. However, should individual parties wish to respond, this should be done Directly to the NI Commissioner for Complaints by 15 January, 2016**

**To agree the recommendations contained in the report by the Head of Audit**

**To agree that Members provide any comments they had on the Draft Guidance for Council's Performance Improvement from April 2016 Onward to the Performance Development Officer by 25 January, 2016. A response paper would then be brought to the Committee in February for approval**

**To consider and approve the Customer Service Guidelines**

**To note information regarding a Northern Ireland Audit Office query in audit fees**

**To note the contents of a budget report for the Chief Executive's Office**

**ITEMS FOR DECISION**

1. **FURTHER CONSULTATION ON LISBURN COURTHOUSE**

Attached, under **Appendix 1**, is a copy of a report prepared by the Committee Planning Manager regarding the above.

## **Recommendation**

It is recommended that, having considered the contents of the Community Planning Manager's report, Members:

- (a) consider what steps to take in the period before any potential closure of Lisburn Courthouse; and
- (b) consider the content of the consultation and agree a response to the Northern Ireland Courts and Tribunals Service.

## **2. COUNCIL RISK MANAGEMENT – CORPORATE RISK REGISTER**

Attached, under **Appendix 2**, is a copy of a report prepared by the Transition Manager in respect of the Council's Corporate Risk Register.

## **Recommendation**

It is recommended that the Committee consider and approve the Corporate Risk Register.

## **3. CONSULTATION ON NI LOCAL GOVERNMENT CODE OF CONDUCT – ALTERNATIVE ACTION PROPOSALS**

At the meeting of Committee held on 8 December, 2015, it was agreed that Members forward any comments they had on the above consultation document to the Transition Manager, no later than 21 December, 2015, for inclusion in a draft response, which would then be presented to the Committee at its January meeting for approval prior to submission on 15 January, 2016. I can advise that no comments were received from Members.

## **Recommendation**

It is recommended that the Council submit a nil response to the consultation document. However, should individual parties wish to respond, this should be done directly to the NI Commissioner for Complaints by 15 January, 2016.

## **4. REPORT BY HEAD OF AUDIT**

Attached, under **Appendix 3**, is a copy of a report by the Head of Audit.

## **Recommendation**

It is recommended that the recommendations contained in the report by the Head of Audit be approved.

5. **DRAFT GUIDANCE FOR COUNCIL'S PERFORMANCE IMPROVEMENT FROM APRIL 2016 ONWARDS**

Attached, under **Appendix 4**, is a copy of a letter dated 10 December, 2015 from DOE Local Government Policy Division regarding the above draft guidance. A copy of the guidance is available at [www.doeni.gov.uk/consultations/draft-guidance-local-government-performance-improvement-2016](http://www.doeni.gov.uk/consultations/draft-guidance-local-government-performance-improvement-2016).

The Department of the Environment is seeking views from consultees on this draft guidance by 25 February, 2016. The aim of this document is to provide statutory guidance to assist councils to comply with performance improvement duties under the Local Government Act (NI) 2014.

**Recommendation**

It is recommended that if Members have any comments to contribute to a paper that will be prepared in response to this consultation document, they advise the Performance Development Officer by 25 January, 2016. The response paper will then be brought to the February Committee meeting for Members' approval.

6. **LCCC – CUSTOMER SERVICE GUIDELINES**

Attached, under **Appendix 5**, is a copy of the Customer Service Guidelines, the aim of which is to provide guidance on how the council will provide customer service to all its ratepayers.

**Recommendation**

It is recommended that Members give consideration and approval to the Customer Service Guidelines, subject to any comments they wish to make.

**ITEMS FOR NOTING**

7. **NORTHERN IRELAND AUDIT OFFICE – QUERY IN AUDIT FEES**

At the December Committee meeting, Members had requested that the Northern Ireland Audit Office (NIAO) be made aware of their concerns regarding the performance improvement audit fees, especially given that since Lisburn & Castlereagh City Council had a higher number of performance improvement objects, its cost of audit and assessment would be higher than other council who had fewer objectives, which seemed unfair. This had been raised with the NIAO who had confirmed that it was their desire to significantly reduce the fee of £30,000 as it was calculated based on the Welsh Performance Improvement Model and Welsh Local Government had a much wider remit to that of NI Local Government. The NIAO was currently working on a methodology for carrying out the performance improvement audits in NI councils and this was expected to be ready for the end of January 2016. When this was received, a paper would be brought to Committee.

### **Recommendation**

It is recommended that this information be noted.

### 8. **BUDGET REPORT – CHIEF EXECUTIVE’S OFFICE**

Attached, under **Appendix 6**, for the information of Members, is a copy of the budget report for the Chief Executive’s office for the year to 31 March, 2016, as at 30 November, 2015.

### **Recommendation**

It is recommended that the contents of the budget report be noted.

**DR THERESA DONALDSON**  
**CHIEF EXECUTIVE**  
**7 January, 2016**

## Further Consultation on Lisburn Courthouse

The Northern Ireland Courts and Tribunals Service (NICTS) has published its report of the consultation on the rationalisation of its court estate. The Minister for Justice has not made any decisions yet but the recommendation has been put forward to close Lisburn Courthouse and transfer all its cases to Laganside Courts. The initial consultation proposal in relation to Lisburn was that both Lisburn and Newtownards courthouses should close with family business from both venues transferring to the Old Townhall Building in Belfast and all remaining civil and criminal business from the venues transferring to Laganside Court. The proposals in the initial consultation therefore relied on the premise that the Old Townhall Building would be reopened; primarily as a specialist family court centre to facilitate the sharing of business between judges and to enhance judicial case management and disposal. However, this is no longer the case and all cases will be heard in Laganside. The full consultation report is available at <https://www.dojni.gov.uk/sites/default/files/consultations/doj/further-consultation-on-lisburn-courthouse.pdf>.

After the publication of this report the Council's Chief Executive met the Chief Executive of NICTS which was followed by a meeting between a delegation of Members and the Chief Executive of NICTS and his Head of Court Operations to discuss possible partnership working to ensure a judicial presence in Lisburn Courthouse.

The main points arising from the discussion were:

- NICTS does not have an adequate budget to sustain the current number of courthouses and level of associated staff. Savings must be found in the revenue costs.
- NICTS recognises the need for a family court, but has recommended that it should be based in Laganside Courts in the immediate future.
- If the final decision is to close Lisburn Courthouse it will not happen until after September 2016 as there needs to be a change in legislation which will not be passed until the autumn of this year. Cases will not be phased out. The closure will be overnight.
- Laganside Courts have been reconfigured to create a Youth Court and a separate Family Court to give better protection to vulnerable people.
- NICTS agreed to provide the Council with a list of assets held by the Department for Justice in the Lisburn and Castlereagh area so that the Council might assess if there could be alternatives to closing the Lisburn Courthouse by reinvesting profits from asset sales.

NICTS indicated that as the final decision had not yet been taken by the Minister there is still an opportunity to try to persuade him to consider alternative uses and services in the Courthouse. Members will remember that the Council carried out a study of options for the Courthouse earlier this year which recommended that an in-depth feasibility study should be undertaken to ascertain the need and demand for a range of justice services in the LCCC area (cases heard and the number & type of

orders etc.) as well as potential demand for complementary services. It should also examine models from elsewhere including the provision of specialised courts and how these work and their benefits in delivering multi-agency, integrated ways of working that place the victim at the heart of the process. It should also examine the range of services that could operate in a multi-agency and cross sectoral co-located space; how services could be planned and delivered more imaginatively and how this could be achieved and with whom. However, NICTS gave the impression that the Courthouse would close so Members may wish to consider what the next steps for the Council should be.

Members have also been given another opportunity to respond to the consultation and have been asked to consider:

**Question 1: Do you agree that, on the basis that the Old Townhall Building is to remain closed, Lisburn Courthouse should be closed and the business transferred into Laganside Courts?**

Having considered this question previously, the Council is still of the opinion that Lisburn Courthouse should remain open and further study carried out on what alternative and additional services could be provided to enhance the facility as a centre of excellence for family and juvenile justice.

**Question 2: What impact (positive or negative) would this have on you?  
Please give reasons for your answer?**

The Council has listed previously the potential impacts of closing Lisburn Courthouse, including the impact on vulnerable people, the costs to victims and other agencies having to travel further, loss of footfall and associated spend in Lisburn City, parking charges in Belfast and overcrowding in Laganside Courts.

The consultation process closes on 18 January 2016.

**Recommendation**

It is recommended that

- 1) the Members consider what steps to take in the period before any potential closure of Lisburn Courthouse, and
- 2) the Members consider the content of the consultation and agree a response to NICTS.

## **COUNCIL RISK MANAGEMENT**

**Responsible Officer:** Roy Lawther – Transition Manager

### **Lisburn & Castlereagh City Council Corporate Risk Register (CRR)**

1. The Council adopted the Risk Policy and Strategy in April 2015. In May 2015, the CMT agreed that a series of workshops be held in June/August to develop the Council's Corporate, Departmental/Service Risk Registers. These have now taken place and work has been ongoing to progress the risk registers at corporate and departmental level. To assist with this work an analysis was carried out of previous Castlereagh Borough Council a Lisburn City Council Risk Registers; and incorporated new work and associated risks carried out at Departmental level, and other relevant factors, such as risks related to transferring in functions, e.g. planning.
2. The first CRR is attached at **Appendix A**. It is important to note that the CRR is a living document that is reviewed and amended regularly.
3. This CRR was reviewed by the CMT on the 1<sup>st</sup> December and finally agreed, after amendments on the 15<sup>th</sup> December.

### **Recommendation**

4. It is recommended that the Committee consider and approve the Corporate Risk Register.

**Lisburn & Castlereagh City Council Corporate Risk Register Version 1.1/15**  
**Restricted - Not to be Reproduced**

**Risk Assessment Form**

**Completed by: R S Lawther Date completed: 15<sup>th</sup> December 2015**

Risk Number	Risk	Assessment of Risk			Risk Control Measure	Assessment of Residual Risk			Responsible	Review Frequency
		Impact	Likelihood	Risk Score		Impact	Likelihood	Residual Risk Score		
1	Potential failure to monitor, review and audit H & S and other legislative requirements which could result in serious injury or loss of one or more lives due to council negligence	4	3	12	CRR/1/15	4	2	8	CMT	Monthly
2	Potential failure to implement codes of practice and legislation	4	2	8	CRR/2/15	4	1	4	CMT	Monthly
3	Fraud and corruption	4	2	8	CRR/3/15	4	1	4	CMT	Monthly
4	Loss of corporate image and reputation due to performance management culture not embedded within the Council	4	2	8	CRR/4/15	4	1	4	CMT	Monthly
5	Failure to have effective Emergency and Business Continuity Plans	3	3	9	CRR/6/15	3	2	6	CE	Quarterly
6	Potential failure to secure an appropriate budget and adequate resources to meet office needs and demands for effective service delivery	4	2	8	CRR/7/15	4	1	4	CMT	Quarterly
7	Potential failure to prepare Community Plan in legislated timescale	4	3	12	CRR/8/15	4	2	8	Community Planning Mgr	Monthly

**Lisburn & Castlereagh City Council Corporate Risk Register Version 1.1/15**  
**Restricted - Not to be Reproduced**

Risk Number	Risk	Assessment of Risk			Risk Control Measure	Assessment of Residual Risk			Responsible	Review Frequency
		Impact	Likelihood	Risk Score		Impact	Likelihood	Residual Risk Score		
8	Potential failure of Leachate Management Systems at former Landfill Sites	4	3	12	CRR//9/15	4	2	8	Director of ES	Monthly
9	Failure to meet waste management targets	4	3	12	CRR/10/15	4	2	8	Director of ES	Quarterly
10	Planning and Area Planning	4	3	12	CRR/11/15	4	2	8	Director of Development	Monthly
11	ICT	4	4	16	CRR/12/15	4	3	12	Director of CS	Monthly
12	Funding from Central Government and other bodies	4	3	12	CRR/13/15	3	3	9	CMT	Quarterly
13	Income generation	3	3	9	CRR/14/15	2	3	6	CMT	Quarterly
14	Information Security	4	3	12	CRR/15/15	4	2	8	Director of CS	Quarterly

**Lisburn & Castlereagh City Council Corporate Risk Register Version  
1.1/15**

**Restricted - Not to be Reproduced**

## **Risk Action Plan**

Corporate/Department/Section/Unit/Project: **All Departments**

Date of Risk Review: 30<sup>th</sup> November 2015      Prepared by: RS Lawther/K Connelly

<b>Risk Control Measure: CRR/1/15</b>
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<p><b>Description: Potential failure to monitor, review and audit H &amp; S and other legislative requirements which could result in serious injury or loss of one or more lives due to council negligence:</b></p>
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| <ul style="list-style-type: none"><li>• <b>Buildings and equipment do not meet public H&amp;S standards</b></li><li>• <b>Risk assessments are not kept up to date – or a new risk is not identified</b></li><li>• <b>Lack of systematic maintenance programme</b></li><li>• <b>Lack of ongoing investment</b></li><li>• <b>Lack of strategy to deal with ageing stock of buildings</b></li></ul> |
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<p><b>One: Potential fatalities and serious injuries</b></p>
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<p><b>Two: Prosecution – fines for body corporate and/ or fines/imprisonment for individual(s)</b></p>
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<p><b>Three: Claims</b></p>
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<p><b>Theme 1 Priorities – Community and Culture</b></p>
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| <ul style="list-style-type: none"><li>• <b>Foster a Customer (Citizen and Business) focused council, meeting the customer needs in an effective and efficient manner</b></li></ul> |
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<p><b>Theme 3 Priorities - Place &amp; Environment</b></p>
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| <ul style="list-style-type: none"><li>• <b>Create a positive, place to live work and visit and preserve the natural environment for the future</b></li><li>• <b>Deliver a high quality built environment with in an outstanding natural environment through planning and partnership with developers, builders, designers and the community and voluntary sectors</b></li></ul> |
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<p><b>Theme 4 Priorities - Health &amp; Wellbeing</b></p>
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| <ul style="list-style-type: none"><li>• <b>We will provide a clean, healthy environment maintaining parks and open spaces, manage street cleaning and collect bins from the 48,000 householders it will serve</b></li><li>• <b>We are committed to promoting safe healthy communities and active lifestyles, wellbeing and independence of people and communities</b></li><li>• <b>We will promote the provision of accessible high quality children's play opportunities</b></li></ul> |
|---|

<p><b>Theme 5 Priorities - Good Governance &amp; Service</b></p>
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# Lisburn & Castlereagh City Council Corporate Risk Register Version

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- **Ensure service delivery is as good as it can be with appropriate resourcing and performance management and measurement to drive improvements whilst maximising efficiencies**

**Initial Risk Evaluation:**

**Likelihood 3**

**Impact 4**

**Overall Rating 12**

**Residual Risk Evaluation:**

**Likelihood 2**

**Impact 4**

**Overall Rating 8**

**Officer Risk Owner: Corporate Management Team**

**Overall Responsibility: Council**

**Target Date: Reviewed Monthly**

**Proposed Actions to deal with risk:**

## **Existing Actions:**

- Relevant and achievable Corporate Vision and Objectives produced
- Effective and current business plans for all departments being produced and will be reviewed regularly
- PR and marketing strategy in place
- Effective recruiting and retention plans for correct professional and qualified staff, thorough induction and development procedures
- Planned time-table of site surveys compiled and reviewed regularly for Council buildings, with remedial action scheduled as required
- Identification, regular and on-going training of employees for risk management.
- Regular and on-going training of relevant employees in Asbestos identification/management
- Accident and Incident monitoring and reporting procedures in place
- Corporate Health & Safety procedures in place to deal with operational risk issues such as Legionella, Asbestos and Fire
- Fire Risk Assessments in place for all Council facilities
- Health & Safety audits and risk assessments carried out
- Management control systems in place
- Training of staff in Health & Safety and risk assessment in place
- Continued development and review of Corporate Health & Safety Management System, Policies and Procedures
- Insurance review carried out of all Council buildings
- Continuous review of legislative environment in conjunction with other Government bodies to inform estimates process and legislative requirements are met
- Arrangements for the reporting of incidents, accidents and work based ill health in place
- Display of Health and Safety information, tool box talks and awareness campaigns
- Health & Safety Committee and sub committees established

## **New Actions:**

- Carbon Reduction Commitment Energy Efficiency Scheme (CRC) reduction plans
- Review of policies to deal with operational issues such as Legionella, Asbestos

# Lisburn & Castlereagh City Council Corporate Risk Register Version 1.1/15

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and fire safety

- PR plan to be developed to deal with serious incidents
- Budgetary control on property income and expenditure
- Planned Preventative Maintenance (PPM) Programme to be reviewed
- Regular inspection and maintenance contracts in some areas
- Training / CPD for staff
- Produce Estate Strategy for L&CCC assets
- Continued development & enhancement of current safety management system
- Continue Health & Safety audits of safety management culture within the Council as part of rolling planned programme
- Health and well-being support plan being developed
- Risk Management process, procedure and training for assessors to be put in place
- Employees consulted about Health and Safety issues through Safety Rep inspections, Safety Rep Meetings and reports to Health and Safety Committee
- Arrangements for trained first aiders to be put in place
- New web based health and safety recording, reporting, monitoring and auditing to be introduced
- Health and Safety reports quarterly standing item at CMT

**Lisburn & Castlereagh City Council Corporate Risk Register Version  
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**Risk Action Plan**

Corporate/Department/Section/Unit/Project: **All Departments**

Date of Risk Review: 15<sup>th</sup> November 2015

Prepared by: RS Lawther

<b>Risk Control Measure: CRR/2/15</b>	
<b>Description: Failure to implement Codes of Practice and Legislation</b>	
<b>Corporate Objective:</b>	
<b>Theme 1 Priorities</b>	
<ul style="list-style-type: none"> <li>• <b>Lead on Community Planning to develop and implement a shared vision for the area</b></li> </ul>	
<b>Theme 3 Priorities - Place &amp; Environment</b>	
<ul style="list-style-type: none"> <li>• <b>Develop and deliver an Area Plan that maximizes the assets and advantages of our unique , regionally valuable City</b></li> <li>• <b>Produce a Council Sustainable Development strategy which takes account of Economic, Environmental and Social indicators across the new area</b></li> </ul>	
<b>Theme 4 Priorities - Health &amp; Wellbeing</b>	
<ul style="list-style-type: none"> <li>• <b>We will provide a clean, healthy environment maintaining parks and open spaces, manage street cleaning and collect bins from the 48,000 householders it will serve</b></li> <li>• <b>We are committed to promoting safe healthy communities and active lifestyles, wellbeing and independence of people and Communities</b></li> </ul>	
<b>Theme 5 Priorities - Good Governance &amp; Service</b>	
<ul style="list-style-type: none"> <li>• <b>Provide strong Governance with clear purpose and focus; and effective and accountable decision-making</b></li> </ul>	
<b>Initial Risk Evaluation:</b> Likelihood 2 Impact 4 Overall Rating 8	<b>Residual Risk Evaluation:</b> Likelihood 1 Impact 4 Overall Rating 4
<b>Officer Risk Owner: Corporate Management Team</b>	
<b>Overall Responsibility: Corporate Management Team</b>	
<b>Target Date: Ongoing</b>	

# Lisburn & Castlereagh City Council Corporate Risk Register Version 1.1/15

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### Proposed Actions to deal with risk:

#### Existing Actions:

- Regular and on-going review of Employee Relations internal policies/procedures in compliance with annual Business Plans
- Continuously review the training requirements of all staff in line with CPD and legislation
- Compliance with legislative/Codes of Practice updates/reviews
- Codes of Conduct in place
- Child Protection Policy in place
- Ensure codes of practice concerning community services matters are in place and that all staff is aware of it, for example, Child Protection
- Corporate IT Security Policy
- Freedom of Information Publication Scheme
- Whistle Blowing Policy in place
- Data Protection Policy in place

#### New Actions:

- Horizon Scanning – CMT/Heads
- Decision making report templates – implications of legislation
- Develop expertise in specific professional areas e.g. Planning
- Audit plan e.g. data protection
- Specific training: DPA; FOI; Health and Safety
- Consultation timeline and mapping of legislation implementation

**Lisburn & Castlereagh City Council Corporate Risk Register Version  
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**Risk Action Plan**

Corporate/Department/Section/Unit/Project: **Corporate Services**

Date of Risk Review: 15<sup>th</sup> November 2015

Prepared by: RS Lawther/ L Scott

<b>Risk Control Measure: CRR/3/15</b>	
<p><b>Description: Fraud and corruption</b></p> <p><b>One: Do not have effective budgetary and internal control system in place</b></p> <p><b>Two: Breakdown of Internal financial processes and controls which could lead to:</b></p> <ul style="list-style-type: none"> <li>• <b>Suppliers may submit fraudulent invoices</b></li> <li>• <b>Staff may abuse systems for personal gain</b></li> </ul>	
<p><b>Corporate Objective:</b></p> <p><b>Theme 5 Priorities - Good Governance &amp; Service</b></p> <ul style="list-style-type: none"> <li>• <b>Provide strong Governance with clear purpose and focus; and effective and accountable decision-making</b></li> <li>• <b>Be an open, honest and accountable council with transparency about our spending and performance; we will publish regular, up-to-date and relevant information, with established channels for questions and feedback and information for residents, local businesses and voluntary organisations</b></li> </ul>	
<p><b>Initial Risk Evaluation:</b> Likelihood 2 Impact 4 Overall Rating 8</p>	<p><b>Residual Risk Evaluation:</b> Likelihood 1 Impact 4 Overall Rating 4</p>
<b>Officer Risk Owner: Director of Corporate Services</b>	
<b>Overall Responsibility: Council</b>	
<b>Target Date: Ongoing</b>	
<b>Proposed Actions to deal with risk:</b>	
<p><b>Existing Actions</b></p> <ul style="list-style-type: none"> <li>• Internal/External audit, fraud and corruption policy, whistleblowing policy in place</li> <li>• Prudential Code and Treasury Management Strategies</li> <li>• Review and update as necessary policies and procedures</li> <li>• Monthly Management accounts to Corporate Services Committee</li> <li>• Monthly budgetary control meeting with Directors and HOS</li> <li>• Certificates of Assurance on Internal Control signed annually by Directors &amp; HOS</li> </ul>	

# Lisburn & Castlereagh City Council Corporate Risk Register Version 1.1/15

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- Ensure that each Directorate has appropriate internal controls for the resources they manage
- Ongoing development of finance policies, procedures and control measures

### **New Actions:**

- Review of Accounting Manual
- Study of Internal and external audit taking place

# Lisburn & Castlereagh City Council Corporate Risk Register Version 1.1/15

**Restricted - Not to be Reproduced**

## Risk Action Plan

Corporate/Department/Section/Unit/Project: **All Departments**

Date of Risk Review: 1<sup>st</sup> December 2015 Prepared by: RS Lawther/K-A McKibbin

<b>Risk Control Measure: CRR/4/15</b>	
<p><b>Description: Loss of corporate image and reputation due to performance management culture not embedded within the Council</b></p> <p><b>One: Risk of legal action or sanction if Council does not carry through performance initiatives</b></p>	
<p><b>Corporate Objective:</b></p> <p><b>Theme 1 Priorities – Community and Culture</b></p> <ul style="list-style-type: none"> <li>• <b>Foster a Customer (Citizen and Business) focused council, meeting the customer needs in an effective and efficient manner</b></li> </ul> <p><b>Theme 5 Priorities - Good Governance &amp; Service</b></p> <ul style="list-style-type: none"> <li>• <b>Ensure service delivery is as good as it can be with appropriate resourcing and performance management and measurement to drive improvements whilst maximising efficiencies</b></li> <li>• <b>Ensure we meet the needs of the community through an outcomes and ‘evidenced based approach’</b></li> </ul>	
<p><b>Initial Risk Evaluation:</b> Likelihood 2 Impact 4 Overall Rating 8</p>	<p><b>Residual Risk Evaluation:</b> Likelihood 1 Impact 4 Overall Rating 4</p>
<b>Officer Risk Owner: Corporate Management Team</b>	
<b>Overall Responsibility: Council</b>	
<b>Target Date: Ongoing</b>	
<b>Proposed Actions to deal with risk:</b>	
<p><b>Mitigating Factors:</b></p> <ul style="list-style-type: none"> <li>• Code of Conduct for Members and staff in place</li> <li>• Performance targets assigned from Local Government</li> </ul> <p><b>Existing Actions:</b></p> <ul style="list-style-type: none"> <li>• Relevant and achievable Corporate Vision and Objectives in place</li> <li>• Effective business plans being developed and will be reviewed regularly</li> </ul>	

# Lisburn & Castlereagh City Council Corporate Risk Register Version 1.1/15

## Restricted - Not to be Reproduced

- 16 Performance Improvement Objectives agreed by Council and submitted to NI Audit Office
- Corporate PR and Communications strategy in place
- Effective recruiting and retention plans, thorough induction procedures in place
- Training of staff to develop their potential being developed
- Implement management techniques to ensure that motivation and morale of staff remains high
- Council Customer Care procedure in place
- Amendments to standing orders when required
- Induction training for elected members in place to inform them of their local government responsibilities
- Financial Regulations in place to cover management

### New Actions:

- Performance Management Framework being developed
- Bespoke Performance Management System purchased
- Performance Management System to be implemented
- Training to be provided to all relevant staff on new Performance Management System
- Local Government Performance Improvement Sub Group (Chaired By LCCC CE) being established
- Budget monitoring to be reinforced
- Human Resources support for organisational change, workforce development and developing leadership capacity being developed under workforce planning to mitigate this risk
- Internal and External Audit programme to be developed
- Reports on budget pressures identify issues and risks for management and political review
- CMT monitor budget pressures quarterly
- Training of staff to develop their potential being developed
- APSE Performance Networks
- Benchmarking at Service Level
- Achievement of Quality Accreditations

# Lisburn & Castlereagh City Council Corporate Risk Register Version 1.1/15

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## Risk Action Plan

Corporate/Department/Section/Unit/Project: **Chief Executives Office**

Date of Risk Review: 30<sup>th</sup> November 2015      Prepared by: RS Lawther/K Connelly

<b>Risk Control Measure: CRR/5/15</b>	
<b>Risk Description: Failure to have effective Emergency and Business Continuity Plans</b>	
<b>Corporate Objective:</b>	
<b>Theme 5 Priorities - Good Governance &amp; Service</b>	
<ul style="list-style-type: none"> <li>• Provide strong Governance with clear purpose and focus; and effective and accountable decision-making</li> <li>• Focus on affordability and financial planning to provide financial assurance and accountability by driving down costs and waste, ensuring efficiency not avoidance and finding ways to increase income opportunities.</li> <li>• Be an open, honest and accountable council with transparency about our spending and performance; we will publish regular, up-to-date and relevant information, with established channels for questions and feedback and information for residents, local businesses and voluntary organisations</li> <li>• To provide value for money services that will enhance the quality of life to our residents and target local needs</li> </ul>	
<b>Initial Risk Evaluation:</b> Likelihood 3 Impact 3 Overall Rating 9	<b>Residual Risk Evaluation:</b> Likelihood 2 Impact 3 Overall Rating 6
<b>Officer Risk Owner: BCM/EP Officer</b>	
<b>Name of Responsible Officer: Chief Executive</b>	
<b>Target Date: Quarterly</b>	
<b>Proposed Actions to deal with risk:</b>	
<b>Mitigating Factors:</b>	
<ul style="list-style-type: none"> <li>• Predecessor Councils had plans in place to deal with EP and BCM</li> <li>• Legislation has not yet been enacted for Emergency planning</li> <li>• Potential failure of ICT Systems that are outside Council control</li> </ul>	
<b>Existing Actions:</b>	
<ul style="list-style-type: none"> <li>• Emergency Plan in place</li> <li>• Having appropriate committee/council approval for these plan</li> </ul>	

# Lisburn & Castlereagh City Council Corporate Risk Register Version 1.1/15

## Restricted - Not to be Reproduced

- Appropriate Insurance in place
- Management teams continue to review risks and take action to mitigate them where possible
- Emergency Planning Implementation Group (EPIG) formed
- Regional Civil Contingency arrangements have been reviewed
- Annual audit to ensure adequacy and extent of insurance programme for Councils activity and exposure; EP and BCM arrangements

### **New Actions:**

- Carry out departmental and corporate reviews of BC plans and production of draft BCP by November 2015
- Imbed EP and BCM into Council by training and awareness
- Establish Risk and Business Continuity Plan
- Regularly review plans to take considerations of changing external influences
- Communicate to staff EP and BC plans
- Cross train staff to enable them to cover other posts with particular attention to critical services
- Establish organised and comprehensive communication on both a top-down and bottom up basis in respect of management/employees e.g. Quarterly Corporate Management Meetings, Monthly Team Meetings and Employee Consultative Committee, Staff bulletins
- Test the EP and BCP. Programme of departmental BC and EP exercises each year to be developed
- Align BCP with risk management processes
- Update Disaster Recovery plans post migration to new data centre and implementation of server virtualisation and data storage solutions
- Specific ICT BCP to be produced
- Pandemic flu plan to be reviewed and exercised in New Year
- Flooding emergency plan being reviewed
- Information and guidance to local business on business continuity planning – web site development
- Intranet development for Business Continuity and Emergency Planning information

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## **Risk Action Plan**

Corporate/Department/Section/Unit/Project: **All Departments**

Date of Risk Review: 1<sup>st</sup> November 2015

Prepared by: RS Lawther/L Scott

<b>Risk Control Measure: CRR/6/15</b>
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<p><b>Description: Potential failure to secure an appropriate budget and adequate resources to meet departmental needs and demands for effective service delivery</b></p>
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<p><b>One: Staff structure required to deliver efficiency savings and service changes, due to resource pressures</b></p>
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<p><b>Two: Service Review and Improvement plan to deliver more effective services</b></p>
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<p><b>Three: Expenditure incurred where no budgetary provision exists</b></p>
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<p><b>Four: Failure to ensure the procurement process provides best value, resulting in reduced levels of service provision and increased costs</b></p>
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<p><b>Corporate Objective:</b></p>
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<p><b>Theme 1 Priorities – Community &amp; Culture</b></p>
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- |  |
|--|
| <ul style="list-style-type: none"><li>• <b>Foster a Customer (Citizen and Business) focused council, meeting the customer needs in an effective and efficient manner</b></li></ul> |
|--|

<p><b>Theme 2 Priorities – Strong and sustainable economy and Growth</b></p>
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- |  |
|--|
| <ul style="list-style-type: none"><li>• <b>Engage with regional, national and European organisations to attract and optimise funding opportunities to support the area</b></li></ul> |
|--|

<p><b>Theme 3 Priorities – Place &amp; Environment</b></p>
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- |   |
|---|
| <ul style="list-style-type: none"><li>• <b>Create a positive, place to live work and visit and preserve the natural environment for the future</b></li><li>• <b>Promote sustainable development through planning, policy and action</b></li></ul> |
|---|

<p><b>Theme 4 Priorities – Health and Well-being</b></p>
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- |  |
|--|
| <ul style="list-style-type: none"><li>• <b>We are committed to promoting safe healthy communities and active lifestyles, wellbeing and independence of people and communities</b></li><li>• <b>We will actively promote a more physically active and healthier community</b></li><li>• <b>We will work with Partners with the aim of improving health and well-being for residents</b></li></ul> |
|--|

<p><b>Theme 5 Priorities - Good Governance &amp; Service</b></p>
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# Lisburn & Castlereagh City Council Corporate Risk Register Version 1.1/15

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- **Ensure service delivery is as good as it can be with appropriate resourcing and performance management and measurement to drive improvements whilst maximising efficiencies**
- **Focus on affordability and financial planning to provide financial assurance and accountability by driving down costs and waste; ensuring efficiency not avoidance and finding ways to increase income opportunities**

**Initial Risk Evaluation:**  
Likelihood 2  
Impact 4  
Overall Rating 8

**Residual Risk Evaluation:**  
Likelihood 1  
Impact 4  
Overall Rating 4

**Officer Risk Owner: Corporate Management Team**

**Overall Responsibility: Council**

**Target Date: Reviewed Monthly**

**Proposed Actions to deal with risk:**

### **Existing Actions**

- Clear financial procedure rules setting out roles and responsibilities for budget management are in place
- Full financial monitoring processes are in place for month 3 to 11 of the financial year including achievement of budget savings
- Monthly meetings are held between finance and directors. Regular review of General Reserves
- 4 year budget to improve forecasting and planning
- Review income streams to finance priority services
- Annual review of council tax requirements
- Capital Strategy and Asset Management plan in place
- Asset Management Group review Asset Management Plan
- Capital Programme Project Board monthly review of major schemes
- Risk assessment included in project planning
- Monthly Treasury Management meetings to assess the Council's existing investments and consider future opportunities available
- Monthly budget monitoring procedure, which give a more rounded picture of the Council's financial picture
- Quarterly budget monitoring report to CMT to include usage figures for services that are most effected by the current economic climate (through reduced income streams) so that trends can be identified
- Improved information available from Financial Management System
- Protocol for application and approval of grants and external contributions

### **New Actions:**

- Review Procurement Framework and Associated Documents
- Scheme of Delegation
- Requirement to implement emergency measures to reduce spending during the financial year
- Requirement to drawdown from General Reserves at the year end

# **Lisburn & Castlereagh City Council Corporate Risk Register Version 1.1/15**

## **Restricted - Not to be Reproduced**

- Impact on the 2016/17 Budget where issues remain with achieving 2015/16 budget savings
- Reporting procedure for equality impact assessments strengthened

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**Risk Action Plan**

Corporate/Department/Section/Unit/Project: **Chief Executive Office**

Date of Risk Review: 1<sup>st</sup> November 2015

Prepared by: RS Lawther/ C McWhirter

<b>Risk Control Measure: CRR/7/15</b>	
<b>Risk Description: Community Plan</b>	
<b>One. Failure to prepare Community Plan in legislated timescale</b>	
<b>Two: Failure to demonstrate inclusivity in the delivery of Community Plan including Partnerships not managed effectively and key service outcomes not achieved</b>	
<b>Corporate Objective:</b>	
<b>Theme 1 Priorities – Community and Culture</b>	
<ul style="list-style-type: none"> <li>• Provide a council which effectively engages with stakeholders to understand critical issues, making the council part of the community</li> <li>• Lead on Community Planning to develop and implement a shared vision for the area</li> <li>• Support and promote Community Development and nurture a shared civic identity, ensuring people-centred services that enables our community/ voluntary sector to play an active role in shaping and developing their communities and place</li> <li>• Promote and nurture a shared civic identity process to strengthen personal, social and economic wellbeing and to enhance the lives of people who work, live and socialise within the council area</li> </ul>	
<b>Initial Risk Evaluation:</b> Likelihood 3 Impact 4 Overall Rating 12	<b>Residual Risk Evaluation:</b> Likelihood 2 Impact 4 Overall Rating 8
<b>Officer Risk Owner: Community Planning Manager</b>	
<b>Name of Responsible Officer: Chief Executive</b>	
<b>Target Date: Monthly</b>	
<b>Proposed Actions to deal with risk:</b>	
<b>Mitigating Factors:</b>	
<ul style="list-style-type: none"> <li>• Failure of the government departments to introduce legislation</li> <li>• Inadequate budget to facilitate service delivery when the scope of the service is unknown</li> <li>• Contrary objectives of statutory partners</li> </ul>	

# Lisburn & Castlereagh City Council Corporate Risk Register Version 1.1/15

## Restricted - Not to be Reproduced

- People failing to engage
- Partners only engaging with certain groups of people
- Failure to demonstrate inclusivity

### Existing Actions:

- Partnership workshops
- Officer workshops
- Budget allocated and in place
- Work-plan
- Regular reporting to G&A and CMT
- Development of Community Engagement Strategy
- Draft Engagement Strategy out for consultation
- Liaison with key customer groupings
- Host community engagement events in July & August
- Host Community Planning conference in October 2015
- Establishment of a NISRA statistician

### New Actions:

- Produce feedback from community consultations for G&A and community
- Formalise the partnership by March 2016
- Agree data sharing protocol in January 2016
- Regular meetings with Chief Executive, CMT and statutory and support partners
- Evaluate budget and resource needs
- Agree Partnership Engagement Strategy by October/November 2015
- Liaise with Equality Officer, Good Relations Officer and all other Council Departments, partner agencies and G&A to ensure inclusivity
- Develop Single Outcome Agreement Delivery Plans

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**Risk Action Plan**

Corporate/Department/Section/Unit/Project: **Environmental Services**

Date of Risk Review: 30<sup>th</sup> November 2015

Prepared by: RS Lawther/A Reynolds

**Risk Control Measure: CRR/8/15**

**Description: Failure of Leachate Management Systems at former Landfill Site**

**One: Failure of Containment of System**

**Two: Withdrawal of insurance Cover for pre-existing condition**

**Three: Refusal of NIW to accept Leachate for treatment at NIW treatment works**

**Four: Fines due to failure to comply with requirements of retrospective application of Article 13 of Landfill Directive**

**Five: Failure to secure adequate level of resources to carry out functions and services**

**Six: To avoid any penalties, the Council must incur additional landfill site engineering and aftercare costs; at this stage, no reliable estimate can be made of the additional costs but they are likely to be significant.**

**Corporate Objective:**

**Theme 3 Priorities - Place & Environment**

- **Increase rates of recycling, reduce energy consumption and promote sustainable outcomes by working with residents and businesses**

**Theme 4 Priorities - Health & Wellbeing**

- **We are committed to promoting safe healthy communities and active lifestyles, wellbeing and independence of people and communities**

**Theme 5 Priorities - Good Governance & Service**

- **Ensure service delivery is as good as it can be with appropriate resourcing and performance management and measurement to drive improvements whilst maximising efficiencies**

**Initial Risk Evaluation:**

**Likelihood 3**

**Impact 4**

**Overall Rating 12**

**Residual Risk Evaluation:**

**Likelihood 2**

**Impact 4**

**Overall Rating 8**

**Officer Risk Owner: Director of Environmental Services**

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<b>Overall Responsibility: Environmental Services Committee</b>
<b>Target Date: Monthly</b>
<b>Proposed Actions to deal with risk:</b>
<b>Mitigating Factors:</b>
<ul style="list-style-type: none"><li>• Consultants employed to undertake closure plan for Drumlough and Moss Road closed landfill site</li><li>• Closure plan to be submitted to NIEA on completion</li><li>• Review annually and continue to negotiate with Insurance Company</li></ul>
<b>Existing Actions:</b>
<ul style="list-style-type: none"><li>• Reduce Leachate levels, monitoring regime in place and results need to be discussed with Council insurance company as part of annual review procedures</li><li>• Research further on site treatment methods, negotiate with NIW for extension, if required</li><li>• Consultants to continue with monitoring and technical work to support development of final closure plan,</li><li>• Review the provision for aftercare costs once the consultants have completed the final closure plan, now expected to be ready in Spring 2016</li><li>• Disclosure in the annual financial statements of the issue, provision and contingent liability</li><li>• A PR plan has been produced to mitigate against adverse publicity</li><li>• Closure plan for Moss Road not yet in draft as statutory works still ongoing</li></ul>
<b>New Actions:</b>
<ul style="list-style-type: none"><li>• New contract advertised at end of contract to continue leachate removal and to provide option of leachate removal over 100m<sup>3</sup> max by NI Water.</li><li>• Keep resources under review and secure any necessary additional resources during estimates process</li><li>• Research further on site treatment methods, negotiate with NIW for extension, if required</li></ul>

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## **Risk Action Plan**

Corporate/Department/Section/Unit/Project: **Environmental Services**

Date of Risk Review: 30<sup>th</sup> November 2015

Prepared by: RS Lawther/A Reynolds

<b>Risk Control Measure: CRR/9/15</b>	
<b>Description: Waste Management</b>	
<b>One: Failure to meet waste management targets</b>	
<b>Two: Failure to correctly dispose of waste</b>	
<b>Three: Requirement for Contingent Liability provision in relation to the Arc21 Residual Waste Treatment Project</b>	
<b>Corporate Objective:</b>	
<b>Theme 3 Priorities - Place &amp; Environment</b>	
<ul style="list-style-type: none"><li>• Increase rates of recycling, reduce energy consumption and promote sustainable outcomes by working with residents and businesses</li><li>• Produce a Council Sustainable Development strategy which takes account of Economic, Environmental and Social indicators across the new area</li></ul>	
<b>Theme 4 Priorities - Health &amp; Wellbeing</b>	
<ul style="list-style-type: none"><li>• We will provide a clean, healthy environment maintaining parks and open spaces, manage street cleaning and collect bins from the 48,000 householders it will serve</li><li>• We are committed to promoting safe healthy communities and active lifestyles, wellbeing and independence of people and communities</li></ul>	
<b>Theme 5 Priorities - Good Governance &amp; Service</b>	
<ul style="list-style-type: none"><li>• Ensure service delivery is as good as it can be with appropriate resourcing and performance management and measurement to drive improvements whilst maximising efficiencies</li></ul>	
<b>Initial Risk Evaluation:</b> <b>Likelihood 3</b> <b>Impact 4</b> <b>Overall Rating 12</b>	<b>Residual Risk Evaluation:</b> <b>Likelihood 2</b> <b>Impact 4</b> <b>Overall Rating 8</b>
<b>Officer Risk Owner: Director of Environmental Services</b>	
<b>Overall Responsibility: Environmental Committee</b>	

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<p><b>Target Date: Quarterly</b></p> <p><b>Proposed Actions to deal with risk:</b></p> <p><b>Mitigating Factors:</b></p> <ul style="list-style-type: none"><li>• Procurement process and rules</li><li>• Availability of resources</li></ul> <p><b>Existing Actions:</b></p> <ul style="list-style-type: none"><li>• Through ARC 21 Joint Committee, ensure the implementation of the Waste Management Plan</li><li>• Monitor waste management performance against targets at three monthly intervals</li><li>• Ensure implementation of waste management legislation, guidance and best practice</li><li>• Development and implementation of waste diversion schemes and initiatives</li><li>• Targeted communications, initiatives and educational programs</li><li>• Augment waste management activities with Elected Member meetings and briefings</li><li>• Waste activities operated within regulatory framework</li><li>• Effective procurement of waste management operations, activities, and contract management</li><li>• Acting as appropriate with regard to notifications received from Northern Ireland Environment Agency regarding enforcement action being taken against waste operators</li><li>• ARC21 to continue with management/governance of the RWTP in accordance with its terms of reference and ensure that due process is exercised at all times with the necessary approvals being obtained</li></ul> <p><b>New Actions:</b></p> <ul style="list-style-type: none"><li>• Through ARC 21 Joint Committee, ensure that the Waste Management Plan is maintained, reviewed and updated as Councils and others require and in line with regulatory framework</li><li>• Keep up-to-date with changes in relevant legislation and impact on waste management operations and activities</li><li>• Maximise waste diversion opportunities at kerbside and through Household Recycling Centres and Bring Site locations</li><li>• Establish a Waste Harmonisation and Development Project Steering Group.</li><li>• The Council to continue to make provision for any potential contingent liability risk within its reserves</li><li>• Review operational business case and value for money of residual waste provision</li><li>• Review project risk register for Residual Waste Treatment Plant</li></ul>
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## **Risk Action Plan**

Corporate/Department/Section/Unit/Project: **Development and Planning Directorate**

Date of Risk Review: 1st November 2015

Prepared by: RS Lawther/B Elliot

### **Risk Control Measure: CRR/10/15**

**Description: Planning and area planning**

**One: Failure to deliver planning in partnership with key stakeholders**

**Two: Develop good service delivery and process improvements**

- **Technical/IT problems and process issues**
- **Reduced operational performance and negative impact on performance targets due to performance of Planning Portal**
- **Lack of procedural guidance and control mechanisms to manage system operations**
- **Problems with public access to Planning Portal NI**
- **Potential failure to meet statutory obligations**
- **Potential failure to deliver Customer Service in terms of proper handling of Complaints, FOI/EIR requests and General correspondence**

**Three: Potential failure to secure the orderly and consistent development of land by:**

- **Failing to deliver the LCCC Local Development Plan**
- **Failing to determine planning applications**
- **Failing to regulate unauthorized development**
- **Failing to reduce legacy applications**

**Corporate Objective:**

**Theme 1 Priorities – Community and Culture**

- **Provide a council which effectively engages with stakeholders to understand critical issues, making the council part of the community**
- **Lead on Community Planning to develop and implement a shared vision for the area**
- **Support and promote Community Development and nurture a shared civic identity, ensuring people-centred services that enables our community/voluntary sector to play an active role in shaping and developing their communities and place**
- **Promote and nurture a shared civic identity process to strengthen personal, social and economic wellbeing and to enhance the lives of people who work, live and socialise within the council area**

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### **Theme 2 Priorities - Strong and sustainable economy and Growth**

- **Through Planning/ Land use/ local development Planning, identify and safeguard adequate land for economic and industry development**
- **Engage with regional, national and European organisations to attract and optimise funding opportunities to support the area**
- **Deliver Regeneration projects that are in the pipeline including the Castlereagh Urban Integrated Development Framework and the Lisburn city Centre Master Plan**
- **Develop a sustainable Rural Economic Development plan with our strategic partners. This will be achieved through the expansion & promotion of the district's indigenous rural business sectors with a coordinated focus on entrepreneurship, innovation and the development of new market opportunities**
- **Rural Development initiatives will also continue to showcase the region's rich rural heritage, develop the area's rural tourism sector and generate additional visitor spend through the exploitation of the council district's strategic location**

### **Theme 3 Priorities – Place & Environment**

- **Develop and deliver an Area Plan that maximizes the assets and advantages of our unique , regionally valuable City**
- **Create a positive, place to live work and visit and preserve the natural environment for the future**
- **Promote sustainable development though planning, policy and action**
- **Develop and implement strategies to retain the unique character of our centres, villages and towns through Planning / land use / local development planning**
- **Deliver a high quality built environment with in an outstanding natural environment through planning and partnership with community and voluntary sectors**
- **Strengthen civic pride through common sense policies, which strike a balance between making the area accessible to all and protecting our environment and management of waste**
- **Produce a Council Sustainable Development strategy which takes account of Economic, Environmental and Social indicators across the new area**

### **Theme 4 Priorities - Health & Wellbeing**

- **We will provide a clean, healthy environment maintaining parks and open spaces, manage street cleaning and collect bins from the 48,000 householders it will serve**

### **Theme 5 Priorities - Good Governance & Service**

- **Ensure service delivery is as good as it can be with appropriate resourcing and performance management and measurement to drive improvements whilst maximising efficiencies**

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<b>Initial Risk Evaluation:</b> Likelihood 3 Impact 4 Overall Rating 12	<b>Residual Risk Evaluation:</b> Likelihood 2 Impact 4 Overall Rating 8
<b>Officer Risk Owner: Senior Planning Officer</b>	
<b>Overall Responsibility: Director of Development and Planning</b>	
<b>Target Date: Reviewed Monthly</b>	
<b>Proposed Actions to deal with risk:</b>	
<b>Mitigating Factors:</b> <ul style="list-style-type: none"><li>• Strategies developed (such as the Planning Enforcement Strategy) to deal with particular areas of concern</li><li>• Fully utilize Departmental Practice Notes/Guidance for agents/public/stakeholders on new elements of the Development Plan and Development Management systems</li><li>• Protocol for operation of planning committee and Scheme of Delegation</li><li>• Ultimate responsibility for functionality of Planning Portal NI up to 2019 rests with DOE</li></ul>	
<b>Existing Actions</b> <ul style="list-style-type: none"><li>• Active Management of the Local Development Plan process at key stages of preparation in accordance with the prepared Timetable</li><li>• Active Management of the Development Management caseload including meeting statutory targets and monitoring the processing of applications</li><li>• Active Management of Enforcement caseload including meeting statutory targets and monitoring cases</li><li>• Active involvement in stakeholder engagement across Council, with Members through Planning Committee, and externally through PADs</li><li>• Ongoing service integration across other Council units including Building Control, Continue logging I.T issues in accordance with established procedures</li><li>• When required escalate issues that are not being resolved to the Council's satisfaction</li><li>• Raise issues through appropriate channels as necessary e.g. Working Group Forums and Chief Executive's meetings</li><li>• Environmental Health and Economic Development</li></ul>	
<b>New Actions:</b> <ul style="list-style-type: none"><li>• To progress to next key stage of the Local Development Plan following preparatory stage</li><li>• To deal with the potential increase in the number of applications by ensuring adequate resources are available</li><li>• Meet key performance indicators and develop monthly reporting mechanisms to review performance and enhance service delivery</li><li>• Publication of the Statement of Community Involvement outlining opportunity for stakeholder participation</li><li>• Review of Protocol for operation of planning committee and Scheme of Delegation as required</li></ul>	

# **Lisburn & Castlereagh City Council Corporate Risk Register Version 1.1/15**

## **Restricted - Not to be Reproduced**

- Explore with other Council's the future operational I.T requirements post 2019 (Planning Portal in place for 4 years post RPA)
- Consider introduction of new procedures to assist with improved service delivery

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## **Risk Action Plan**

Corporate/Department/Section/Unit/Project:

Date of Risk Review: 1st November 2015

Prepared by: RS Lawther/ L Scott

<b>Risk Control Measure: CRR/11/15</b>	
<b>Description: ICT</b>	
<b>One: ICT strategy fails to support the organisation moving forward</b>	
<b>Two: Systems not rate payer and customer friendly</b>	
<b>Three: Systems are not successfully integrated with one and other</b>	
<b>Four: Drain on resources as staff work around the systems</b>	
<b>Five : Over reliance on outsourced provision</b>	
<b>Corporate Objective:</b>	
<b>Theme 5 Priorities - Good Governance &amp; Service</b>	
<ul style="list-style-type: none"><li>• <b>Create a new Organisation which will embrace not just a merger but a holistic organisation with an emphasis on all our customers and customer experience</b></li><li>• <b>Engage, develop and empower our staff, providing in equal measure support and challenge to provide the best and most effective staff in delivery of services</b></li><li>• <b>Provide staff with the skills and knowledge and the attitudes and behaviours that support the service and the authority</b></li><li>• <b>Ensure service delivery is as good as it can be with appropriate resourcing and performance management and measurement to drive improvements whilst maximising efficiencies</b></li><li>• <b>Communicate effectively both internally and externally while harnessing technology to improve how we engage with all stakeholders</b></li></ul>	
<b>Initial Risk Evaluation:</b>	<b>Residual Risk Evaluation:</b>
<b>Likelihood 4</b>	<b>Likelihood 3</b>
<b>Impact 4</b>	<b>Impact 4</b>
<b>Overall Rating 16</b>	<b>Overall Rating 12</b>
<b>Officer Risk Owner: Director of Corporate Services</b>	
<b>Overall Responsibility: Corporate Management Team</b>	
<b>Target Date: Reviewed Monthly</b>	

# Lisburn & Castlereagh City Council Corporate Risk Register Version 1.1/15

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### Existing Actions:

- Customer Feedback Process in place
- Business Continuity Management being developed
- Network design resilience being developed

### New Actions:

- Existing ICT budget spend focused on dealing with critical issues, capital and revenue budget resource provided in current year to address major issues, medium term financial plan investment programme in place for subsequent years
- IT Strategy to be updated for the new Council
- Spending complete for renewal/upgrade of highest risk items, in particular firewalls, core servers/switches and external bandwidth
- Storage Area Network Capacity Maximized through effective archiving solution
- Due to mitigation actions so far to reduce the risk, the risk of critical service downtime has been reduced to medium
- Research future solutions for IT provision

## **Risk Action Plan**

Corporate/Department/Section/Unit/Project:

Date of Risk Review: 1<sup>st</sup> November 2015

Prepared by: RS Lawther

### **Risk Control Measure: CRR/12/15**

**Description: Funding from Central Government and other bodies**

**One: A major reduction in public sector funding, including consequences of changes in funding arrangements for other bodies**

**Two: Impact on balancing the budget – significant change and financial savings required**

**Three: New policies and regulations place a major financial burden on the Council**

**Four: Change in monetary direction of National and Regional Government**

**Corporate Objective:**

**Theme 1 Priorities – Community and Culture**

- **Working in partnership, maximise the economic contribution into the Council area by attracting spend from inward investors and visitors as well as residents**

**Theme 2 Priorities - Strong and sustainable economy and Growth**

- **Through Planning/ Land use/ local development Planning, identify and safeguard adequate land for economic and industry development**
- **Engage with regional, national and European organisations to attract and optimise funding opportunities to support the area**
- **Deliver Regeneration projects that are in the pipeline including the Castlereagh Urban Integrated Development Framework and the Lisburn city Centre Master Plan**
- **Develop a sustainable Rural Economic Development plan with our strategic partners. This will be achieved through the expansion & promotion of the district's indigenous rural business sectors with a coordinated focus on entrepreneurship, innovation and the development of new market opportunities**
- **Rural Development initiatives will also continue to showcase the region's rich rural heritage, develop the area's rural tourism sector and generate additional visitor spend through the exploitation of the council district's strategic location**

# Lisburn & Castlereagh City Council Corporate Risk Register Version 1.1/15

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## Theme 4 Priorities - Health & Wellbeing

- We are committed, both directly and in partnership with local organisations and clubs, to encouraging local residents to participate in regular physical activity and sport including through provision of quality facilities as well as pathways to support sports development
- We will actively promote a more physically active and healthier community
- We will work with Partners with the aim of improving health and well-being for residents

**Initial Risk Evaluation:**

**Likelihood 3**

**Impact 4**

**Overall Rating 12**

**Residual Risk Evaluation:**

**Likelihood 3**

**Impact 3**

**Overall Rating 9**

**Officer Risk Owner: Corporate Management Team**

**Overall Responsibility: Council**

**Target Date: Reviewed Monthly**

**Proposed Actions to deal with risk:**

**Mitigating Factors:**

**Existing Actions:**

- Holistic approach to economic development and regeneration Maximise funding levered in from external
- sources to support economic development
- Actions to improve current income streams
- Actions to attract new income streams
- Targeted Investment in specific areas /initiatives

**New Actions:**

- Initial assessment of grant funding for a particular project as part of budget approval process, to include future revenue requirements
- where applicable so an assessment can be made at the outset whether the Council wants to go forward with the project and commit to
- mainstreaming it once the external funding comes to a close
- Transferring in Functions in terms of Finance, which now is not "rates neutral". Work is ongoing collectively as new councils to try to obtain corrective action from the various Government Departments
- Development of a five year Rates Strategy that will facilitate greater financial planning and highlight the resources available both internally and externally.

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**Risk Action Plan**

Corporate/Department/Section/Unit/Project: **All Departments**

Date of Risk Review: 1<sup>st</sup> November 2015

Prepared by: RS Lawther

**Risk Control Measure: CRR/13/15**

**Description: Income Generation**

**One: Significant reduction of income streams and external funding, or significant change in project or service development resulting in insufficient funding in place**

**Two: Collapse in regional markets leading to loss of income**

**Three: Low economic growth or recession reduces income and impacts on balancing the budget – significant change and financial savings required**

**Four: Under-utilisation of assets**

**Corporate Objective:**

**Theme 1 Priorities – Community and Culture**

- **Working in partnership, maximize the economic contribution into the Council area by attracting spend from inward investors and visitors as well as residents**

**Theme 2 Priorities - Strong and sustainable economy and Growth**

- **Through Planning/ Land use/ local development Planning, identify and safeguard adequate land for economic and industry development**
- **Engage with regional, national and European organisations to attract and optimise funding opportunities to support the area**
- **Deliver Regeneration projects that are in the pipeline including the Castlereagh Urban Integrated Development Framework and the Lisburn city Centre Master Plan**
- **Develop a sustainable Rural Economic Development plan with our strategic partners. This will be achieved through the expansion & promotion of the district's indigenous rural business sectors with a coordinated focus on entrepreneurship, innovation and the development of new market opportunities**
- **Rural Development initiatives will also continue to showcase the region's rich rural heritage, develop the area's rural tourism sector and generate additional visitor spend through the exploitation of the council district's strategic location**

**Theme 4 Priorities - Health & Wellbeing**

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## Restricted - Not to be Reproduced

- We are committed, both directly and in partnership with local organisations and clubs, to encouraging local residents to participate in regular physical activity and sport including through provision of quality facilities as well as pathways to support sports development
- We will actively promote a more physically active and healthier community
- We will work with Partners with the aim of improving health and well-being for residents

**Initial Risk Evaluation:**

Likelihood 3

Impact 3

Overall Rating 9

**Residual Risk Evaluation:**

Likelihood 3

Impact 2

Overall Rating 6

**Officer Risk Owner: Corporate Management Team**

**Overall Responsibility: Council**

**Target Date: Reviewed Monthly**

**Proposed Actions to deal with risk:****Mitigating Factors:**

- National and Local Government policy outside the influence of Council
- Government welfare reform could potentially have a disproportionate impact on the poorest and most vulnerable members of society
- Decline in income streams lends to insufficient funds to maintain current service levels and therefore erosion of reserves and savings required
- Income reduced because of economic downturn e.g. Planning application income and Car Park income

**Existing Actions:**

- Protocol for application and approval of grants and external contributions
- Failure to undertake preventative maintenance especially with regards to Health & Safety obligations and changes identified from Regulatory Reform Fire Risk Assessment reviews
- Implementation of local development plans
- Holistic approach to economic development and regeneration
- Maximise funding levered in from external sources to support economic development
- Actions to improve current income streams
- Actions to attract new income streams
- Targeted Investment in specific areas/initiatives

**New Actions:**

- Monthly review of income streams via budget monitoring and quarterly review by CMT to include usage figures for services that are most effected by the current economic climate (through reduced income streams) so that trends can be identified
- Quarterly report to G&A Committee of significant variances from the approved

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budget

- 4 year budget to improve forecasting and planning
- Review income streams to finance priority services
- Estates strategy/Management plan produced
- Ongoing Capital Programme review of major schemes
- Risk assessment included in project planning
- Continuous Treasury Management to assess the Council's existing investments and consider future opportunities available
- Improved information available from Financial Management System
- Workforce Plan being produced
- Development of a five year Rates Strategy that will examine income generation both within and outside of the Council. It will also consider the sustainability of income streams over the next five years

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**Risk Action Plan**

Corporate/Department/Section/Unit/Project: **All Departments**

Date of Risk Review: 1<sup>st</sup> November 2015

Prepared by: RS Lawther

<b>Risk Control Measure: CRR/14/15</b>	
<b>Description: Information Security</b>	
<b>One: Sensitive and/or personal data is sent to the incorrect recipient or not kept securely, or is lost</b>	
<b>Two: Failure to encrypt all portable devices. Equipment loss or theft could lead to the organisation being compromised and / or fined by the Information commissioner</b>	
<b>Three: Failure to adequately structure and protect data in shared filing to reflect various organisational changes</b>	
<b>Four: Communication on social media which has an adverse effect on Council reputation</b>	
<b>Five: Shared filing is not fully owned / managed by the business and sensitive data may be accessible to those who should not be able to access it and could be leaked / used inappropriately</b>	
<b>Corporate Objective:</b>	
<b>Theme 5 Priorities - Good Governance &amp; Service</b>	
<ul style="list-style-type: none"><li>• <b>Ensure service delivery is as good as it can be with appropriate resourcing and performance management and measurement to drive improvements whilst maximising efficiencies externally while harnessing technology to improve how we engage with all stakeholders</b></li><li>• <b>Be an open, honest and accountable council with transparency about our spending and performance; we will publish regular, up-to-date and relevant information, with established channels for questions and feedback and information for residents, local businesses and voluntary organisations</b></li></ul>	
<b>Initial Risk Evaluation:</b> <b>Likelihood 3</b> <b>Impact 4</b> <b>Overall Rating 12</b>	<b>Residual Risk Evaluation:</b> <b>Likelihood 2</b> <b>Impact 4</b> <b>Overall Rating 8</b>
<b>Officer Risk Owner: Director of Corporate Services</b>	
<b>Overall Responsibility: Corporate Management Team</b>	
<b>Target Date: Reviewed Monthly</b>	

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### Proposed Actions to deal with risk:

#### Existing Actions

- ICT service plans continue to address data security issues relative to new ways of working
- Regularly remind all managers and employees of their responsibilities for the use of and security of data
- Avoid using mobile devices to store or process sensitive or personal data
- Encrypt laptops and data sticks when they are used to store or process sensitive or personal data
- Proper disposal of confidential waste in place
- Data Protection Policy in place
- Freedom of Information Publication Scheme in place

#### New Actions:

- Develop protocol for use of social media for staff.
- Develop a corporate index of databases maintained for use by Service areas
- Introduction of a single corporate register of the data held by the Council stating who is responsible for collecting and sharing the information. Categorized by use type, e.g. operational/performance/knowledge. This would reduce duplication.
- Introduction of Data 'Champions' to provide and share data and give advice to those responsible for using it to inform decision making
- Establish data sharing protocols with partners
- Develop corporate use of GIS
- Complete review of IT Security Policy including Process, Procedure and Staff Awareness Training.

**AUDIT COMMITTEE**  
**REPORT OF THE HEAD OF AUDIT**  
**JANUARY, 2016**

1. **INTERNAL AUDIT**

1.1 **Reimbursement of Travel Expenses**

Attached, under **Appendix 1 HOA**, is a Summary Report of the assessment of Risks and Controls relating to the reimbursement of Officers' Travel Expenses.

**Recommendation**

It is recommended that Members approve the contents of Appendix 1 HOA.

1.2 **Annual Audit of Lagan Rural Partnership**

Attached, under **Appendix 2 HOA**, is a Summary Report on the Annual Audit of the Lagan Rural Partnership.

**Recommendation**

It is recommended that Members approve the contents of Appendix 2 HOA.

## **Assessment of Risks and Controls relating to Reimbursement of Officers' Mileage Expenses**

### **1. Audit Objectives**

To ensure that the main Risks associated with the reimbursement of Mileage Expenses incurred by Officers are properly mitigated by the control framework in place.

### **2. Audit Scope**

Assessment of Risks and Controls relating to the reimbursement of Travel & Subsistence Expenses incurred by Officers (Council wide - ie extant Lisburn City Council Officers, extant Castlereagh Borough Council Officers and Planning Officers)

Cognisance was also taken of the extant Castlereagh Council procedures which were based upon the use of the automated Transfare system. This was done as it is the understanding of Internal Audit that this system is likely to become the package to be used in the new Council for reimbursement of travel expenses, when the difficulties of integrating the package with the Payroll system have been resolved.

### **3. Inherent Risks**

**Risk 1:** Claiming for fictitious journeys,

**Risk 2:** Claiming for journeys which were not business related,

**Risk 3:** Over inflation of mileage incurred,

**Risk 4:** Officer claims mileage for smaller engine CC than that of vehicle registered with Payroll,

**Risk 5:** Insurance cover is insufficient for business related travel,

**Risk 6:** Collusion or among officers who both claim separately for reimbursement when only one vehicle has been used,

**Risk 7:** Failure by officers to share a vehicle when it was possible to do so,

**Risk 8:** Incorrect posting of Travel expenses reimbursement to the Nominal Ledger.

### **4. Mitigating Controls**

**Control 1:** Mileage claim authorised by supervisor,

**Control 2:** Mileage claim checked to work schedule or diary,

**Control 3:** Check claimed mileage against standardised mileages for regular destinations,

**Control 4:** Officer to submit Vehicle Registration Booklet showing CC of car engine,

**Control 5:** Officer to submit insurance schedule/certificate showing cover for business related trips,

**Control 6:** Check by Authorising Officer for claims by separate officers for same journey,

**Control 7:** Journeys pre-approved and designated driver pre-selected or pre-agreed,

**Control 8:** Automated procedure undertaken by Payroll staff - automatically updates the Nominal Ledger.

## **5. Notes on Controls**

### **Control 1: Mileage claim authorised by supervisor**

General principle: Any claim for mileage must be authorised by another officer (normally the claimant officer's Line Manager) who is in the best position to know that the journeys made were:

- a) actually made
- b) made for business purposes, and
- c) were necessary to have been made in the course of business.

### **Control 2: Mileage claim checked to work schedule or diary**

General principle: This check can be undertaken by the officer's Line Manager reviewing the detail provided by the officer on the Mileage form and comparing these with their knowledge of the reasons for the journey and/or Officer's work activity.

In a unit/section where journeys are few, this should be relatively easy with the Line Manager either fully aware of the reason for each journey or in a position to readily enquire, if necessary.

In a unit/section where Journeys are more numerous, reference to documentation in the form of a Work Plan, Work Schedule, Diary or similar, may be necessary in order to fully effect the control. In doing this, any fictitious journeys are likely to come to light.

### **Control 3: Check claimed mileage against standardised mileages for regular destinations**

General principle: The availability of a record of "standard mileage" to an Authorising officer enables the officer to satisfy himself/herself of the accuracy of the mileage claimed in respect of individual "standard type" journeys made by a Claimant officer - such journeys being those which are common to a number of Officers and frequently made - mainly between Council locations.

A difficulty exists in relation to "non-standard type" journeys where a record of "standard mileage" is not possible. The availability of such a list can only, therefore, be partly effective as a control in mitigating the risk. However, use can be made of on-line mileage calculators for journeys not on a standard mileage list.

### **Control 4: Officer to submit Vehicle Registration Booklet showing CC of car engine**

General principle: In order that the correct rate of mileage is paid to the claimant it is necessary that evidence of the correct engine size is produced in support of the claim.

### **Control 5: Officer to submit insurance schedule/certificate showing cover for business related trips**

General principle: - In order that reimbursement of mileage can be made to an officer it is necessary to ensure that the officer's Motor Insurance Schedule includes a clause permitting the use of the vehicle for business purposes.

This is primarily for three reasons:

- a) A duty of care on the Council to ensure its officers have the correct insurance to permit them to use their private vehicles for business purposes, and,
- b) To ensure that the Council is not put at risk of liability should an officer, not in possession of the correct insurance, be involved in an accident for which they are responsible – if the Officer's Insurers refuse to pay out, due to the fact that the Officer was using the vehicle for

business purposes,

c) To ensure that the Council is not put at unnecessary risk should a third party seek to claim against the Council in similar circumstances to b) above, on the grounds that the officer was on official Council business.

**Control 6: Check by Authorising Officer for claims by separate officers for same journey**

General Principle - The need exists to ensure that reimbursement is made for only one journey in a situation where more than one officer shares the same vehicle.

**Control 7: Journeys pre-approved and designated driver pre-selected or pre-agreed**

General Principle - Where appropriate and practical, officers are expected to share a vehicle to avoid a situation where each employee makes a separate claim for reimbursement of travel expenses for the same journey, thus creating a situation where the Council is incurring double expenditure (or more than double) for the same journey.

Arrangement should be made beforehand regarding the vehicle to be used and the driver – normally the Officer who owns the vehicle. However, it is not immediately clear the degree to which an Authorising Officer is expected to go in order to ensure that this principle has been adhered to.

**Control 8: Automated procedure undertaken by Payroll staff - automatically updates the Nominal Ledger**

General Principle - Nominal Ledger must be updated by input of Payroll Costs. Risk of error is theoretically greater if input is undertaken manually than if it is undertaken by an automated process or direct interface.

## **6. Conclusions**

The above Controls are present to a large degree in all Units/Sections of the Council and the design of the control framework is therefore robust with the Internal Audit assessment as “Satisfactory”.

## **7 Recommendations**

- 1) That the Transfare package is adopted for use in the new Council and that any technical problems preventing this are resolved as soon as possible.
- 2) That Officers who authorise claims are provided with some more definitive guidance as to the checks which they should make before authorising.

## **Note to Recommendations**

The Transfare software package was the package in use by the extant Castlereagh Borough Council to record officers’ mileage. As stated above in the Audit Scope, technical difficulties have prevented the implementation of the system in the New Council which continues to use the Excel based system used by the extant Lisburn City Council. The Council has paid for technical support (£1,201.29) from the supplier of the software package (Unit 4) for the current year (to 31/3/16) so it is in the interests of the Council to expedite the introduction of Transfare as the system for use.

## **8 Management Response (made by Director of Corporate Services)**

With regards the two recommendations, please note that:

1. We will be merging the two mileage systems in October, when we will be implementing the (CBC) Transfare System for all employees.
2. I will ask Finance to draw up and circulate some guidance for officers who authorise mileage claims.

**Internal Audit Levels of Opinion**

**Satisfactory** – Overall there is an adequate and effective system of governance, risk management and control. While there is some residual risk identified this should not significantly impact on the achievement of objectives.

Some improvements are required to enhance the adequacy and/or effectiveness of governance, risk management and control.

## **Annual Audit of Lagan Rural Partnership**

### **1. Audit Objectives**

To provide assurance regarding the operation of the Risk Management, Controls and Governance processes relating to the Programme.

### **2. Audit Scope**

- Risk Management - Review of the Service Risks Register and the Service Continuity Plan pertaining to the Programme.
- Controls - Review of the operation of control processes within the unit.
- Governance - Review of certain elements of Governance relating to the function i.e.
  - a) Objectives and Performance.
  - b) Communication (i.e. Information and Reporting Structures).
  - c) The Assurance process.
  - d) The legislative framework within which the function operates

### **3. Audit Conclusions**

#### **Summary of Audit Conclusions and Level of Assurance**

<b>Process Areas</b>	<b>Summary</b>	<b>Level Of Assurance</b>
<b>Risk Management</b>	<p><b><u>Risk Assessments and Service Continuity Plans:</u></b></p> <p><b>Service Risks –</b> Risk Register updated in June 2015 and revised in Sept 2015</p> <p><b>Service Continuity Plan –</b> Part of overall Economic Development Plan drawn up in Sept 2015.</p>	<p>Substantial</p> <p>Substantial</p>
<b>Controls</b>	Award of Grants	Substantial

<b>Governance</b>	<b><u>Unit Objectives &amp; Performance</u></b> - Objectives set out in Key Tasks and other documentation - Form 2 not required to be submitted to the Performance Improvement Officer during 2014-2015 due to transition to the new Performance Management System	Satisfactory
	<b><u>Reporting framework &amp; Decision making</u></b> Robust system in place – In order	Substantial
	<b><u>Governance Assurance Process:</u></b> Assurance Declaration received	Substantial

**Internal Audit Levels of Opinion**

**Substantial** – There is a robust system of risk management, control and governance that should ensure that objectives are fully achieved.

**Satisfactory** – Overall there is an adequate and effective system of governance, risk management and control. While there is some residual risk identified this should not significantly impact on the achievement of objectives.

Some improvements are required to enhance the adequacy and/or effectiveness of governance, risk management and control.

**4. Audit Recommendations**  
**No Recommendations.**



Telephone: 02890 823377  
Email: [piers.dalgarno@doeni.gov.uk](mailto:piers.dalgarno@doeni.gov.uk)

Our Reference: DO1/15/597973  
Date: 10 December 2015

Dear Consultee,

## **DRAFT GUIDANCE FOR COUNCILS' PERFORMANCE IMPROVEMENT FROM APRIL 2016 ONWARDS**

The Department of the Environment is seeking views from consultees on draft Guidance for Councils' Performance Improvement from April 2016 onwards. The aim is to provide statutory guidance to assist councils to comply with performance improvement duties under the Local Government Act (NI) 2014 (the Act).

Local Government Circular LG26/2015 (Guidance for Local Government Performance Improvement) provided the statutory guidance for the first year of operation (2015/16) for the councils' general duty for performance improvement. Guidance is therefore required for 2016 onwards.

Comments on the draft Guidance for Councils' Performance Improvement from April 2016 onwards should be sent by 25 February 2016 to the address below or by email to [lqpdconsultations@doeni.gov.uk](mailto:lqpdconsultations@doeni.gov.uk)

DOE Local Government Policy Division 1  
Level 4  
Causeway Exchange  
1-7 Bedford Street  
Town Parks  
Belfast  
BT2 7EG

If you have any queries in relation to the proposals, you should contact:

Lynn McCracken

<mailto:lynn.mccracken@doeni.gov.uk>

Tel: 028 9082 3393

or

Piers Dalgarno

<mailto:piers.dalgarno@doeni.gov.uk>

Tel: 208 9082 3377

Yours sincerely

**Piers Dalgarno**

# Customer Service Guidelines



December 2015

## **Aims and Principles**

Lisburn & Castlereagh City Council's Customer Service Guidelines mirror the Council's Vision in its Corporate Plan 2015-2017.

## **Council Vision**

Lisburn & Castlereagh City Council has a key role to play in meeting the needs of any user of the Council, on a day to day basis, with our partners to provide vital services and enhancing the quality of life to our residents. In order to achieve this our vision is *"To be a progressive, dynamic and inclusive council, working in partnership to develop our community."*

## **Council Core Values**

The Council will be characterised by our values which define our ethos and underpin the delivery of our Corporate Plan and everything we do. These values are: – accountability, civic leadership, transparency, inclusivity, value for money and excellent standards.

*Please note that all references to 'customer' throughout this document includes ratepayers.*

# 1 INTRODUCTION

## **Our Customers**

Lisburn & Castlereagh City Council values its customers. As a customer you are entitled at all times to be treated in a courteous manner with professionalism and due regard for your privacy by the Council and its employees.

We will treat all our customers equally and will work towards improving our service on a continuous basis.

We will provide continuous and regularly updated information on the Council's website [www.lisburncastlereagh.gov.uk](http://www.lisburncastlereagh.gov.uk), [Facebook](#) and [Twitter](#) as well as through our CityWide magazine and our Annual Report, delivered to all ratepayers in the Council area.

The areas contained within these Customer Service Guidelines are:

1. Introduction
2. Contacting Us
3. Telephone Answering
4. Written Correspondence
5. Visiting our Offices
6. Contacting Other Agencies
7. What you can do if you are not happy with our service

## 2 CONTACTING US

Below are details of all Council facilities and commonly requested services. We hope this will aid you in your enquiry. Reception personnel at the facilities listed below will also be happy to assist you and provide direction for your enquiry.

A comprehensive A – Z of all Council Services can be found by logging on to the Council's website [www.lisburncastlereagh.gov.uk](http://www.lisburncastlereagh.gov.uk) or is available on request.

### **LAGAN VALLEY ISLAND**

**Island Civic Centre**

**The Island**

**Lisburn & Castlereagh City Council BT27 4RL**

**Tel: 028 9250 9250/Fax: 028 9250 9288**

**e-mail: [enquiries@lisburncastlereagh.gov.uk](mailto:enquiries@lisburncastlereagh.gov.uk)**

**Booking Office Tel: 028 9250 9254**

Main Reception	028 9250 9250
Chief Executive's Office	028 9250 9207
Corporate Services Reception	028 9250 9270
Registration of births, deaths and marriages (9.00am – 4.30pm. Closed 12.45pm – 1.30pm for lunch)	028 9250 9263
Mayor's Office	028 9250 9331
Waste Management	028 9250 9453
Building Control	028 9250 9372
Recycling hotline (including information on recycling bins)	028 9250 9453
Leisure & Community Services	028 9250 9250
Economic Development	028 9250 9384
Planning	0300 200 7830
City Centre Management	07724586934

**BRADFORD COURT**

**Council Offices**

**1 Bradford Court**

**Upper Galwally**

**BT8 6RB**

**T: 028 9049 4500**

Registration of births, deaths and marriages 028 9049 4520

Environmental Health 028 9050 9394

Leisure & Community Services 028 9049 4550

**Island Arts Centre**

**The Island**

**Lisburn & Castlereagh City Council BT27 4RL**

**Tel: 028 9250 9509/Fax: 028 9250 9510**

**e-mail: [arts.information@iac.lisburncastlereagh.gov.uk](mailto:arts.information@iac.lisburncastlereagh.gov.uk)**

**Booking Office Tel: 028 9250 9254**

Arts Reception 028 9250 9509

Textphone 028 9250 9508

**OPERATIONAL SERVICES (Central Services Depot)**

**(Monday-Friday 9.00am to 5.00pm)**

**For Refuse collections, street cleansing, bulky household collections  
and park and cemetery services maintenance.**

**Altona Road**

**Lisburn**

**BT27 5QB**

**Tel: 028 9267 3417/Fax: 028 9266 2731**

**e-mail: [reception.opservices@lisburncastlereagh.gov.uk](mailto:reception.opservices@lisburncastlereagh.gov.uk)**

## **LAGAN VALLEY LEISUREPLEX**

**(Monday-Friday 7.30am to 10pm, dependent on activity**

**Saturday-Sunday 9.00am to 5.30pm dependent on activity)**

**18 Lisburn Leisure Park**

**Lisburn BT28 1LP**

**Tel: 028 9267 2121/Fax: 028 9267 4322**

**Textphone: 028 9262 9234**

**e-mail: [leisureplex@lisburncastlereagh.gov.uk](mailto:leisureplex@lisburncastlereagh.gov.uk)**

### **Other Council Facilities:**

<b>Aberdelghy Golf Course</b>	<b>028 9266 2738</b>
<b>Ballyoran Community Centre</b>	<b>0289048 2083</b>
<b>Bridge Community Centre</b>	<b>028 9266 2496</b>
<b>Castlereagh Hills Golf Course</b>	<b>028 9044 8477</b>
<b>Dog Pound (12.30pm – 2.30pm)</b>	<b>028 9260 0804</b>
<b>Dundonald International Ice Bowl</b>	<b>028 9080 9100</b>
<b>Enler Community Centre</b>	<b>028 9048 0184</b>
<b>Glenmore Activity Centre</b>	<b>028 9266 2830</b>
<b>Grove Activity Centre</b>	<b>028 9267 1131</b>
<b>Irish Linen Centre and Lisburn Museum</b>	<b>028 9266 3377</b>
<b>Kilmakee Activity Centre</b>	<b>028 9030 1545</b>
<b>Lough Moss Centre</b>	<b>028 9081 4884</b>
<b>Moneyreagh Community Centre</b>	<b>028 9044 9330</b>
<b>Visitor Information Centre – Hillsborough</b>	<b>028 9268 9717</b>
<b>Visitor Information Centre – Lisburn</b>	<b>028 9266 0038</b>

A full list of Council contact information is available on our website

[www.lisburncastlereagh.gov.uk](http://www.lisburncastlereagh.gov.uk)

### **3 TELEPHONE ANSWERING**

Lisburn & Castlereagh City Council operates busy telephone switchboard systems. The Council wishes to have the least possible waiting time for customers who telephone the Council.

Customer enquiries are very important to the Council and we will endeavour to answer your telephone call within ten rings. All employees will state their first name upon answering your call.

If the person you need to speak to is not available, where practical, another Council Officer will assist you with your enquiry.

Where facilities exist for voicemail, customers will be afforded the opportunity to leave a voice message or return to the main switchboard.

In the rare event of your telephone call not being answered at Lagan Valley Island or Bradford Court, your call will be re-directed to the Main Switchboard. The length of time this will take will be dependent on how many other calls are currently being made to the Main Switchboard. Your call will be answered as quickly as possible.

At certain times the Main Switchboard at the Central Services Depot is exceptionally busy. On these occasions the caller will be put through to an automated message and be asked to hold for the next available operator. Should the caller be placed in a queue they will be advised of this.

Should the Reception Desk at the Lagan Valley LeisurePlex be extremely busy, an automated telephone menu will be activated, allowing telephone customers the opportunity to have routine enquiries dealt with as quickly as possible.

At the Island Arts Centre, during the Island Arts Centre Membership Booking days, priority will be given to those customers who make their bookings in person. On these occasions telephone enquiries will be forwarded to a voicemail to ensure that enquiries are dealt with in the order that they are received. All Island Arts Centre voicemail messages will be responded to within 24 hours.

#### **4 WRITTEN CORRESPONDENCE**

Written correspondence, including emails, will be endeavoured to be:

- Acknowledged within five working days from the date of receipt at the Council facility.
- Every attempt will be made to answer your correspondence as quickly as possible and a comprehensive reply will be provided no later than 20 working days from the time the information request is received by Lisburn & Castlereagh City Council. Should further work be required in order to address any outstanding areas from your query, we will inform you of subsequent progress.
- We will endeavour to provide correspondence that is easily understood, which is free as far as possible from technical details or jargon. You will also be provided with contact details and the telephone number of the Council Officer dealing with your enquiry.

## **5 VISITING OUR OFFICES**

Our Council reception employees will endeavour to deal with your query as efficiently as possible.

On occasions the member of staff may not be able to directly deal with your query and this may be referred to another member of staff. We ask for your patience and co-operation so that your query may be attended to as soon as possible. Lisburn & Castlereagh City Council employees will endeavour to provide its customers, with a disability or other needs, with the maximum assistance and help.

If you visit our offices: the Island Civic Centre at Lagan Valley Island, Bradford Court Offices, Island Arts Centre, Lagan Valley LeisurePlex, Dundonald International Ice Bowl or the Council Depot, we will endeavour to:

- Greet you when you arrive in reception. If the receptionist is dealing with another customer on the telephone or in person, we ask for your patience, and you will be greeted as soon as possible.
- Listen to your query. Should your query be required to be dealt with by another Council Officer, we will inform you of this and make the appropriate arrangements.
- Provide you with accurate information as simply as possible, avoiding the use of jargon.
- Should an interview room be required (e.g. registering a birth or death) we will endeavour to provide you with a room as soon as possible. It may be necessary to wait for a room, depending on usage.
- Your privacy will be respected.

## 6. CONTACTING OTHER AGENCIES

To assist you in contacting the appropriate Agency below is a list of useful contact details for the main Agencies responsible for a wide range of activities in the Lisburn City area.

South Eastern Health and Social Care Trust	028 9055 3100 <a href="http://www.setrust.hscni.net.uk">www.setrust.hscni.net.uk</a>
Electoral Office	0800 4320 712 <a href="http://www.eoni.org.uk">www.eoni.org.uk</a>
Land Registry of NI	0300 200 7803 <a href="http://www.dfpni.gov.uk">www.dfpni.gov.uk</a>
NI Housing Executive	03448 920 900 <a href="http://www.nihe.gov.uk">www.nihe.gov.uk</a>
Power NI	03457 455 455 <a href="http://www.powerni.co.uk">www.powerni.co.uk</a>
Land & Property Services	0300 200 7804 <a href="http://www.nidirect.gov.uk">www.nidirect.gov.uk</a>
Rates Collection Agency (Eastern Area)	0300 200 7801 <a href="http://www.nidirect.gov.uk">www.nidirect.gov.uk</a>
Transport NI, Eastern Division	0300 200 7893 <a href="http://www.nidirect.gov.uk/transport-ni">www.nidirect.gov.uk/transport-ni</a>
Education Authority	028 9056 6200 <a href="http://www.eani.org.uk/">www.eani.org.uk/</a>
Jobs & Benefits Office	0800 022 4250 <a href="http://www.delni.gov.uk">www.delni.gov.uk</a>

**DRD Street Lighting**

**0300 200 7899**

**[www.nidirect.gov.uk/street-lighting](http://www.nidirect.gov.uk/street-lighting)**

**Water Service (24-Hour Customer Service)**

**03457 440 088**

**[www.niwater.com](http://www.niwater.com)**

**Rivers Agency – Ravernet House**

**028 9260 6100**

**[www.dardni.gov.uk](http://www.dardni.gov.uk)**

## **7. WHAT YOU CAN DO IF YOU ARE NOT HAPPY WITH OUR SERVICE**

If, on any occasion, the service you expect from the Council is not to your satisfaction, the Council would like to know about it, please let us know through our Customer Care system.

Complaints, comments and compliments will be accepted in writing, by email, by telephone or via the website. If you wish to make your complaints, comments and compliments in writing, please use the attached form which can be forwarded freepost to the Council. You do not need a stamp to do this. If you would like to email the Council with a complaint, comment or compliment please contact us on:

**[customercare@lisburncastlereagh.gov.uk](mailto:customercare@lisburncastlereagh.gov.uk)** or log onto

**[www.lisburncastlereagh.gov.uk](http://www.lisburncastlereagh.gov.uk)**

### **What happens to my Complaint?**

Lisburn & Castlereagh City Council aims to resolve complaints as efficiently and effectively as possible. On receipt of a complaint it will be directed to the appropriate department. You will be advised within five working days of receipt of the complaint and its progress.

If further investigation is required you will be kept informed of progress.

All incidents are treated as confidential unless previously agreed.

### **What if I am not satisfied with the response?**

Should you not be satisfied with the full response when you receive it, you can have the matter reviewed by the Director of the Department concerned. If you are then still dissatisfied you can request a review by the Chief Executive.

Dr Theresa Donaldson  
Chief Executive  
Lisburn & Castlereagh City Council  
Lagan Valley Island  
Lisburn  
BT27 4RL

If after this review you are still unhappy you may choose to pursue the matter by contacting:

The Local Government Ombudsman  
N.I. Commissioner for Complaints  
33 Wellington Place  
Belfast  
BT1 6HN  
Tel: 028 9023 3821

The Commissioner will expect complainants to exhaust the Council's complaints procedure before carrying out any investigations.

## **Abusive / Frivolous / Vexatious Complaints**

Council staff are trained to remain polite at all times and will actively try and handle your complaint as best they can. We would hope that our customers would equally treat our staff in a polite and courteous manner.

If making your complaint by telephone and you use abusive language or tone our staff will let you know that they may put the receiver down if you continue to be abusive.

When making your complaint in person and you demonstrate abusive or aggressive behaviour our staff have been advised to seek assistance (this could be in the form of the Police, security officers or another member of staff).

If your correspondence contains abusive language or aggressive tone, we will reply by informing you that this is unacceptable.

In terms of frivolous and vexatious complaints, the definitions of such complaints are;

- Frivolous – not serious or sensible in content, attitude or behaviour
- Vexatious – annoying, not having sufficient grounds for action and seeking to annoy

Under these circumstances, we will only terminate correspondence when it is clear that despite our best efforts, we are unlikely to satisfy you. This decision to terminate a complaint will be made by the relevant Director.

Periods 2016/1 to 2016/8, Business Unit 1 d is equal to 2 (Governance & Audit) , Location 4 digits is equal to 0852 or is equal to 3614 or is equal to 3804 or is equal to

	<u>Budget for Month</u>	<u>Current Act/Comm</u>	<u>Annual Budget</u>	<u>YTD Budget</u>	<u>Total Act &amp; Comm</u>	<u>Variance to date</u>
<b>2 Governance &amp; Audit</b>						
<b><u>Community Planning</u></b>						
<b>0852 Community Planning</b>						
0010 Salaries	4,607	4,603	55,287	36,858	36,915	57
1370 Office Equipment	0	0	1,000	0	0	0
2140 Travel & Subsistence	250	204	2,500	500	504	4
3000 Publications	100	126	2,000	400	395	-5
3004 Room Charges	458	1,722	5,500	3,667	3,755	89
3154 Postage	200	0	2,000	1,200	323	-877
3178 Stationery	200	0	2,000	300	306	6
3186 Photocopying	200	0	2,000	600	287	-313
3188 Telephones	200	23	2,000	600	71	-529
3496 Consultants	0	-3,040	11,000	6,000	5,556	-445
	=====	=====	=====	=====	=====	=====
<b>Totals For 0852</b>	6,216	3,638	85,287	50,124	48,112	-2,013
	=====	=====	=====	=====	=====	=====
<b>Community Planning</b>	6,216	3,638	85,287	50,124	48,112	-2,013

**Democratic Representation & Management**

**3614 Staff Conferences**

Periods 2016/1 to 2016/8, Business Unit 1 d is equal to 2 (Governance & Audit) , Location 4 digits is equal to 0852 or is equal to 3614 or is equal to 3804 or is equal to

		<u>Budget for Month</u>	<u>Current Act/Comm</u>	<u>Annual Budget</u>	<u>YTD Budget</u>	<u>Total Act &amp; Comm</u>	<u>Variance to date</u>
0100	Conferences & Courses	178	159	3,625	2,683	2,683	0
	<b>Totals For 3614</b>	178	159	3,625	2,683	2,683	0
	<b>Democratic Representatio</b>	178	159	3,625	2,683	2,683	0

### Corporate Management

#### 3804 Corporate Management/Cost

0190	Membership - outside bodies	0	0	2,500	2,500	2,014	-486
3274	Continuous Improve./Strategy Planning	0	0	5,000	235	235	0
3276	RPA / Modernisation Agenda	1,500	1,437	41,000	6,500	6,218	-282
	<b>Totals For 3804</b>	1,500	1,437	48,500	9,235	8,467	-768
	<b>Corporate Management</b>	1,500	1,437	48,500	9,235	8,467	-768

### Non Distributed Costs

#### 4602 Pensions Cost

0200	Pensions	200	51	600	560	560	0
	<b>Totals For 4602</b>	200	51	600	560	560	0

Periods 2016/1 to 2016/8, Business Unit 1 d is equal to 2 (Governance & Audit) , Location 4 digits is equal to 0852 or is equal to 3614 or is equal to 3804 or is equal to

	<u>Budget for Month</u>	<u>Current Act/Comm</u>	<u>Annual Budget</u>	<u>YTD Budget</u>	<u>Total Act &amp; Comm</u>	<u>Variance to date</u>
<b>Non Distributed Costs</b>	200	51	600	560	560	0
<b><u>Reallocated Services</u></b>						
<b>3828 Internal Audit</b>						
0010 Salaries	8,030	10,448	96,355	64,236	82,718	18,481
2140 Travel & Subsistence	133	118	1,600	1,067	1,035	-32
3000 Publications	0	0	160	160	170	10
3004 Room Charges	0	0	50	0	0	0
3154 Postage	8	0	90	60	6	-54
3178 Stationery	13	24	158	105	94	-11
3182 Printing	0	0	380	285	48	-237
3188 Telephones	20	1	150	60	15	-45
3618 Risk Management Initiative	0	0	400	100	0	-100
3710 Capital Allocation	-88	0	-1,050	-263	0	263
4820 Assoc. Local Govt. Auditors	0	0	172	172	172	0
<b>Totals For 3828</b>	<b>8,116</b>	<b>10,591</b>	<b>98,465</b>	<b>65,983</b>	<b>84,258</b>	<b>18,275</b>
<b>3834 Chief Executive's Office</b>						
0010 Salaries	31,836	19,109	390,919	263,541	197,641	-65,900
0015 Transition Team Salaries	23,722	34,256	284,671	189,780	211,563	21,783
0120 Single Status - Costs	0	0	0	0	8,799	8,799
1370 Office Equipment	42	0	500	333	406	72
2140 Travel & Subsistence	452	727	5,425	5,404	5,083	-321

Periods 2016/1 to 2016/8, Business Unit 1 d is equal to 2 (Governance & Audit) , Location 4 digits is equal to 0852 or is equal to 3614 or is equal to 3804 or is equal to

	<u>Budget for Month</u>	<u>Current Act/Comm</u>	<u>Annual Budget</u>	<u>YTD Budget</u>	<u>Total Act &amp; Comm</u>	<u>Variance to date</u>
3000 Publications	150	0	1,100	450	0	-450
3004 Room Charges	0	314	4,500	3,000	3,137	137
3032 Public Relations	0	42	3,900	300	422	122
3058 Papers/Magazines	0	21	975	975	616	-359
3074 Insurance All Other	0	0	11,038	11,038	11,038	0
3154 Postage	0	23	400	400	182	-218
3178 Stationery	0	0	4,075	1,500	1,681	181
3186 Photocopying	183	654	2,200	1,467	1,902	435
3188 Telephones	290	200	2,100	934	1,229	295
3490 Legal Fees	700	0	15,160	11,910	12,962	1,052
3502 Audit Fees - Internal Audit (Capita)	0	1,475	11,813	2,100	2,107	7
3546 Other Expenditure	85	0	600	255	0	-255
3710 Capital Allocation	-260	0	-1,830	-780	0	780
<b>Totals For 3834</b>	<b>57,201</b>	<b>56,821</b>	<b>737,546</b>	<b>492,607</b>	<b>458,767</b>	<b>-33,840</b>
<b>Reallocated Services</b>	<b>65,317</b>	<b>67,412</b>	<b>836,011</b>	<b>558,590</b>	<b>543,025</b>	<b>-15,565</b>
<b>Totals For Governance &amp; Audit</b>	<b>73,410</b>	<b>72,698</b>	<b>974,023</b>	<b>621,192</b>	<b>602,847</b>	<b>-18,346</b>
	<b>73,410</b>	<b>72,698</b>	<b>974,023</b>	<b>621,192</b>	<b>602,847</b>	<b>-18,346</b>
	<b>73,410</b>	<b>72,698</b>	<b>974,023</b>	<b>621,192</b>	<b>602,847</b>	<b>-18,346</b>