

BALLYMONEY BOROUGH COUNCIL**Table of Contents**

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CORPORATE SERVICES

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BALLYMONEY BOROUGH COUNCIL

Minutes of Corporate & Central Services Committee Meeting No 403 held in the McKinley Room, Riada House, on Monday 26th March 2012 at 6.30pm.

IN THE CHAIR: Alderman C Cousley, MBE

PRESENT:

Aldermen
F Campbell
H Connolly
B Kennedy

Councillors
J Atkinson
W Blair
A Cavlan
J Finlay
T McKeown
C McLaughlin
E Robinson
I Stevenson, Mayor

APOLOGIES: Councillor P McGuigan

IN ATTENDANCE: Chief Executive [Items 1, 11-20]
Director of Central and Leisure Services [Items 1-10]
Head of Corporate & Development Services [Items 1, 11-20]
Nicola Gault, Ursula Campbell, Representatives of Compass Advocacy [Item 1]
Committee Clerk

403.1 PRESENTATION – COMPASS ADVOCACY

Chair welcomed Nicola Gault and Ursula Campbell representatives of Compass Advocacy Shadow Council to the meeting.

Committee received a PowerPoint presentation on the work of the Shadow Council, attached a Appendix A and a request for the use of the Council Chamber at least twice per year for approximately 1 hour 30 mins to host their meetings.

Nicola drew members' attention to an invitation to a "Making Life Better" Shadow Council Seminar being held on 24 April 4-6pm Long Gallery, Parliament Buildings.

The representatives responded to a number of questions from members.

Chair thanked the Shadow Council members and informed them that Council would consider their request.

* **Representatives of Compass Advocacy left the meeting at 7.03pm**
 * **Chief Executive left the meeting at 7.03pm.**

403.2 MINUTES OF MEETING NO 402 – 27TH FEBRUARY 2012

It was proposed by Alderman Campbell, seconded by Councillor Finlay and **AGREED:**

to recommend that the Minutes of Meeting No 402 – 27th February 2012, as circulated, are approved.

CENTRAL SERVICES

403.3 ACCOUNTS FOR PAYMENT

Treasury advice schedules detailing payments for Period 12, 2011/12 drawn on the Council's Revenue and Capital Bank Accounts were circulated at the meeting.

IT IS RECOMMENDED that the payments are approved.

The Director responded to a number of member queries.

* **Alderman Kennedy left the meeting at 7.17pm and returned at 7.22pm during consideration of the above matter.**

* **Alderman Kennedy left the meeting at 7.34pm.**

* **Councillor Stevenson left the meeting at 7.39pm.**

* **Councillor Atkinson left the meeting at 7.39pm.**

It was proposed by Councillor Finlay, seconded by Alderman Connolly and **AGREED:**

to recommend that payments of £710,761.32 from Council's Revenue account and £165,387.63 from its Capital account be approved.

* **Councillor Atkinson rejoined the meeting at 7.44pm.**

403.4 LOANS

IT IS RECOMMENDED that the following loans are applied for to finance capital expenditure in the current year –

- (a) £900,000 - term 30 years for Ballybogey, Balnamore and Stranocum Community Centres.
- (b) £70,000 - term 7 years for Wheeled Shovel

The Director requested that item (a) be deferred to the Council meeting, as she needed to clarify the exact amount of the loan.

It was proposed by Councillor Robinson, seconded by Councillor Cavlan and **AGREED:**

to recommend that Council approve the loan application to finance capital expenditure in the current year of £70,000 for a Wheeled Shovel, loan to be repaid over a 7 year term.

*

Councillor Stevenson rejoined the meeting at 7.44pm.

403.5 GENERAL GRANT – RESOURCES ELEMENT 2011/12

The Department of the Environment, by letter dated 14th March 2012, has advised Council that the £1.17m reduction to the Resources Element of the General Grant made at the beginning of the 2011/12 financial year has been reinstated.

An additional amount of £67,334 is due to the Council. The Department advises that payments will be made as soon as possible.

The Director advised she would report to a future committee meeting on how the additional money could be utilised.

403.6 REVISED INVESTMENT GUIDANCE RELATING TO THE LOCAL GOVERNMENT FINANCE ACT (NI) 2011

The Department of the Environment under circular LG2/12 has issued Revised guidance relating to Investments.

In the guidance the terminology “high credit rating” was used and this has now been replaced with the wider term “high credit quality”. The Guidance is operational from 1st April 2012.

Under the same circular the Department clarifies the position relating to the Capitalisation Direction.

The Department advises that the overall limit for Northern Ireland, set by HM Treasury, is £3.4m. The Department further advises that Capitalisation Directions will only be issued in very limited circumstances and that expenditure associated with the Reform of Local Government is not considered to be within these capitalization direction arrangements or within the £3.4m.

The scope of capitalization of Reform expenditure will be considered separately as part of the Reform process.

403.7 COUNCILLORS ALLOWANCES – NEW SCHEME 2012/13

Under the Local Government Finance Act 2011 Councils are required to produce and publish its Scheme of Councillors’ Allowances for 2012/13.

The Director advised that a copy of the DOE NI Guidance on Councillors' Allowances, March 2012 is available for members' information. A draft Scheme of Councillors Allowances was tabled (attached as Appendix B).

It was proposed by Councillor Finlay, seconded by Councillor Atkinson and **AGREED:**

to recommend that council approve the scheme and pay the maximum rates of Basic Allowances, Dependants' Carers' Allowances and Travel and Subsistence Allowances and to consider the Special Responsibility Allowances at the Council meeting in April.

403.8 RATES ESTIMATES 2012/2013

A complete Rates Estimates 2012/13 book has been issued to all 16 Councillors.

403.9 CARRY FORWARD OF ANNUAL LEAVE TO 2012/13

The Director reported on 6 applications from employees to carry forward unexpended annual leave to 2012/13.

5 employees were on sickness absence/maternity leave during the year and are entitled to carry forward any unexpended leave, under the Working Time Regulations. 1 employee was unable to expend leave to the required limits due to the needs of the service. The Chief Executive supports the application.

It was proposed by Councillor Finlay, seconded by Councillor Stevenson and **AGREED:**

to recommend that Council grant 6 no employees permission to carry forward unexpended annual leave to 2012/13 and that staff are reminded that leave should be taken during the year to the required limits.

403.10 LOANS TO OFFICERS FOR THE PURCHASE OF MOTOR VEHICLES

Section 41B of the Local Government Act (Northern Ireland) 1972 provides for a District Council to make a loan to an officer, for the purchase of a motor car or motor cycle, subject to such conditions as the Department of the Environment may determine.

The Department has now reviewed the existing interest rates applied by Councils and has determined that the interest rate on all such loans granted, with effect from 1st April 2012 will be 2.55% per annum on the amount of the loan (where it is desired that the repayment of the loan and payment of the interest charge should be undertaken by equal monthly installments).

IT IS RECOMMENDED that Council apply the interest rate of 2.55% with effect from 1st April 2012. Council currently has no car loans to officers.

It was proposed by Alderman Campbell, seconded by Councillor Atkinson and
AGREED:

to recommend that Council apply the interest rate of 2.55% with effect from 1st April 2012, to offer a loan to an officer for the purchase of a motor car or motor cycle, subject to such conditions as the Department of the Environment may determine.

- * Councillor Stevenson left the meeting at 8.20pm and returned at 8.22pm.
- * Chief Executive rejoined the meeting at 8.21pm.
- * Head of Corporate and Development Services rejoined the meeting at 8.21pm.
- * Director of Central and Leisure Services left the meeting at 8.22pm.
- * Councillor Atkinson left the meeting at 8.22pm.

CORPORATE SERVICES

403.11 REFORM OF LOCAL GOVERNMENT

Voluntary Transition Committee

Letter, 15 February from the Department of Environment regarding the proposed restoration of the 11 Voluntary Transition Committees (VTC) which are a key aspect of the implementation structures needed to bring about operational delivery of the programme in the council groupings. The Department request that the VTC for Causeway is established if possible by the end of March 2012. A copy of the Department's letter was circulated at the meeting.

Transition Project Manager's Role Background

Members will be aware that under the arrangements put in place for the implementation of the Review of Public Administration, funding was provided by DoE to employ a project manager in each of the 11 new council areas. The funding for this post was for a fixed period of time and ended on 31st March 2011.

In recognition of the continuing work at cluster level, and with the objective of increasing collaboration across the four Councils of Ballymoney, Coleraine, Limavady & Moyle and to try and reduce costs and improve services, the four Councils agreed to extend the Transition Project Manager's position for a further year, up to March 2012. The role was extended on a part time basis (3 days per week).

Detail

In the period April 2011- March 2012 the work of the Transition Project Manager has focused on establishing a collaboration culture across the four Councils and on progressing opportunities for joint working that will result in improvement/efficiency savings for each Council. The rationale for funding the post was a self-financing model with salary costs apportioned across the four Councils according to efficiency savings achieved. The range of collaboration projects either undertaken or currently in progress in the above 12 month period include procurement of Legionella control services, Boiler Maintenance servicing, Passenger Lift maintenance, Fire Fighting Equipment, Fire Alarms and CCTV maintenance and testing, Electrical and Plumbing services and Agency Workers

At last month's Committee meeting, members received a copy of a letter from the Minister for the Environment outlining his intentions with regard to taking forward the local government reform aspects of the Review of Public Administration (a copy is appended for members' convenience).

As a consequence of the Minister's letter, The Causeway Coast & Glens Transition Committee met on 8th March to receive an update on the work of the Transition Project manager and also to consider the content of the Minister's letter.

With regard to the letter and the establishment of structures/absence of funding, the Transition Committee decided to invite the Minister to attend the next meeting to brief them on his plans and to seek clarification on funding for the reform agenda.

Transition Committee Recommendation

At the Transition Committee meeting on 8th March, Members considered the future role of the Transition Project Manager. Discussion took place regarding continuation of the Cluster Collaboration programme and also the anticipated future work requirements involved with the reform programme. It was agreed that a recommendation be taken to each of the four Councils to retain the Transition Project Manager on the basis that the work on collaboration would continue until requirements for transition work increased. The post will be reviewed once the Statutory Transition Committee is established, scheduled for May 2013.

Recommendation

IT IS RECOMMENDED that Council agrees to the extension of the Transition Manager post until the Statutory Transition Committee is established, at which time the arrangement will be reviewed.

Councillor Robinson requested an update on the amount of efficiency savings that have been achieved.

Chief Executive stated that the 12 month accounting period had not yet ended, major projects were underway across the cluster, there would be savings made but not equivalent savings to each Council.

It was proposed by Councillor Finlay, seconded by Councillor Cavlan and **AGREED:**

to recommend that Council agree to the extension of the Transition Manager post until the Statutory Transition Committee is established, at which time the arrangement will be reviewed.

Councillor Robinson asked to be recorded not agreeing with the motion.

403.12 PROCUREMENT POLICY AND PROCEDURES

Ballymoney Borough council's current policy on procurement was written in 1991 and revised periodically since to reflect changes in organisational structure and in EU procurement thresholds. There is a need to completely revise the policy to take account of changes in procurement law and to bring the council into line with others in the new Causeway district, so that we can enter into collaborative tendering across the 4-council cluster.

A revised procurement policy and procedures was circulated at the meeting (attached as Appendix C).

IT IS RECOMMENDED that the policy be adopted for all procurement of goods and services.

It was proposed by Councillor Cavlan, seconded by Councillor McAfee and **AGREED:**

to recommend that Council adopt the Procurement Policy and Procedures attached as Appendix C.

403.13 CONTRIBUTIONS

13.1 BALLYMONEY BOROUGH ROAD SAFETY COMMITTEE

Application has been received from Ballymoney Borough Road Safety Committee for a contribution towards its activities in relation to the promotion of road safety initiatives in the current year. Provision of £500 is included in the budget.

IT IS RECOMMENDED that Council approves a contribution of £500 to Ballymoney Borough Road Safety Committee.

It was proposed by Councillor McKeown, seconded by Alderman Campbell and **AGREED:**

to recommend that Council grant Ballymoney Borough Road Safety Committee £1,000 2011/12, the additional £500 to be met from the under spend in the Conference budget.

13.2 NORTH ANTRIM AGRICULTURAL ASSOCIATION

The 105th Ballymoney show will be held in the Showgrounds on 1st and 2nd June. Application has been received for a contribution towards the show. Each year the show attracts a large turnout of visitors from across the Province for its varied programme of events and exhibits.

The Show and Press Launch will be held at Leslie Hill Farm on Monday 16th April at 7.30 p.m. An invitation has been circulated to members. Those members intending to be present are asked to advise the Office of the Chief Executive.

IT IS RECOMMENDED that Council contributes £1,200 in respect of the running costs of the show and sponsorship, *'Champion and Reserve in Horse and Pony Classes'*, as provided for in the budget.

It was proposed by Councillor Robinson, seconded by Councillor Stevenson and **AGREED:**

to recommend that Council contribute £1,200 in respect of the running costs of the North Antrim Agricultural Show and sponsorship, 'Champion and Reserve in Horse and Pony Classes', as provided for in the budget.

* **Councillor Atkinson rejoined the meeting at 8.55pm.**

403.14 COUNCIL CHAMBER – DRAFT RULES ON USE BY NON-COUNCIL BODIES BACKGROUND

Ballymoney Borough Council restricts use of its chamber to council, main committees and meetings of the DPP. It has allowed a SOLACE meeting to be held there when the Chief Executive was chair, but refused the Housing Council. It has been asked to reconsider allowing the chamber to be used for up to 3 meetings per year by Compass Advocacy's Shadow Council for Ballymoney, Coleraine & Moyle. The committee asked that a policy be prepared for its consideration, which would allow council to grant this request while retaining control over the use of the chamber by organisations on which council is not represented.

Suggested policy on use of Ballymoney Borough Council's Chamber

"Use of Ballymoney Borough Council's Chamber is restricted to meetings of Council, main Committees, DPP, PCSP and Causeway Coast & Glens Transition Committee (both in its voluntary and statutory forms).

Compass Advocacy's Shadow Council for Ballymoney, Coleraine & Moyle will be permitted to use the room for meetings in accordance with the rules below. Similar shadow councils which represent any of the nine categories identified in the Northern

Ireland Act 1998, either solely within Ballymoney Borough or in a wider area including Ballymoney Borough, may be permitted to use the room for meetings in accordance with the rules set out hereafter:

Use of the Council Chamber by a Shadow Council, where council has been asked and has agreed it may do so, will be permitted during normal working hours when the building is open to the public and the room is not required for other council-related business. A Shadow Council may make use of the chamber for no more than 3 meetings in any year. Advance notice of ten working days minimum must be given for each meeting and Council reserves the right to send an officer to observe the meetings.

This policy will be reviewed one year after implementation and may be amended by Council, giving one month's notice to any affected organisations."

Councillor Finlay commenting on the proposed draft policy requested that the Northern Housing Council - a NI body of elected Councillors, have use of the Council Chamber. He explained that meetings of this body were hosted by local authorities but Council had been unable to accommodate them to date.

It was proposed by Councillor McAfee, seconded by Councillor Cavlan and **AGREED:**

(a) to recommend that Council agree to allow Compass Advocacy's Shadow Council to use the Council Chamber up to 3 times per year at no cost;

(b) to recommend that Council permit the NI Housing Council, Transition Management Team and Joint Committees on which Ballymoney is a constituent member to meet in the Council Chamber in accordance with the outlined policy.

403.15 LAND AND PROPERTY SERVICES – RATES BILLS

Land and Property Services (LPS), the Government Agency responsible for collecting rates, will be issuing rates bills to all homes and businesses in the Council's area within the next few weeks. A press release regarding the issue of the bills will be published on 2nd April. As well as their own key messages of the vital services rates pay for the press release will include information on Council services and a quote from the Mayor.

403.16 NILGA PRESENTATION

Arrangements have been made for representatives from NILGA to present at committee's next meeting.

403.17 NILGA ANNUAL BUSINESS PLAN 2012-13

Chief Executive tabled the NILGA Annual Business Plan 2012/13 (attached as Appendix D). It shall be brought to the next committee meeting for consideration.

- * **Councillor McAfee left the meeting at 9.18pm.**
- * **Alderman Connolly left the meeting at 9.18pm.**

403.18 USE OF MOBILE PHONES

The Mayor has suggested that members and all persons attending meetings of Council, Committees, sub-committees, and other Council organized meetings, be requested to switch off mobile phones or put on silent and that persons wishing to use mobile phones should leave the room to make/receive calls. Members' comments are invited and if the suggestion is supported **IT IS RECOMMENDED** that a protocol be developed for adoption by Council.

It was proposed by Councillor Robinson, seconded by Councillor Stevenson and **AGREED:**

to recommend that a draft policy on the use of mobile phones at meetings be developed for consideration by committee.

403.19 CIVIC EVENTS

Head of Corporate and Development Services updated members on civic events.

- Freedom Ceremonies 12 May and 1 September.
- Twinning Visit by football team to Vanves on 17th June, France and the invitation to visit Douglas, Isle of Man on 28 April.
- A major touring Peace Exhibition by Healing Through Remembering is being hosted in Ballymoney during April/May. **IT IS RECOMMENDED** that Council host an opening evening reception for guests including representatives from the funders.

It was proposed by Councillor Finlay, seconded by Councillor Atkinson and **AGREED:**

to recommend that

- (i) Alderman Kennedy as Vice-Chair of Development Committee represent Council at event in Douglas on 28 April***
- (ii) that Council host an opening evening reception for guests of the major touring Peace Exhibition by Healing Through Remembering on 12 April;***
- (iii) Representation on Twinning visit to Vanves on 17 June be nominated by Development Chair.***

403.20 TOWNLAND NAMES – PROMOTING THE RETENTION OF USE OF TOWNLAND NAMES

The Department of Environment has written following on a motion passed by the Assembly on 1 October 2001 “that this Assembly calls upon each Government Department to adopt a policy on using and promoting townland names in all Government correspondence and official documents. The Minister has committed to driving the use and promotion of townland names and is encouraging councils to make full use of the Pointer system to include townland names when addressing all correspondence and to work together in sharing ideas and best practice towards promoting and developing policy on the use of townland names.

Council is on record as supporting the use of townland names in addresses. The Chief Executive advised on Council policy on the matter, dating c.1977, arising from consideration of representations from the Federation of Ulster Local Studies and the Ulster Farmers Union. The argument put forward was that townlands are an essential element in affirming local identity and the help of councils was sought in keeping them alive and Council resolved to do so by:

1. Including townlands in addresses alongside road name and post code in its correspondence.
2. Using relevant townlands in all naming schemes for council facilities, community centres, playgrounds etc.
3. Ensuring housing developments, industrial sites and roads are named after relevant townlands.

It is also the policy of Council, under its Naming of Streets and Numbering of Properties policy, that an application for a street name should, first and foremost, show some connection with the local townland in which the street is located (e.g. the history, heritage or environment of the townland).

Committee is invited to consider the Minister’s suggestion.

It was proposed by Councillor Finlay, seconded by Alderman Campbell and **AGREED:**

to recommend that Council reaffirm its position as supporting the use of townland names as follows:

- 1. to including townlands in addresses alongside road name and post code in its correspondence;***
- 2. use relevant townlands in all naming schemes for council facilities, community centres, playgrounds etc;***
- 3. ensure housing developments, industrial sites and roads are named after relevant townlands.***

403.21 STRATEGIC FRAMEWORK FOR IRISH LANGUAGE – DRAFT PROPOSAL

A letter dated 29th February from POBAL and the draft proposal document referred to therein has been circulated to members on 8th March, under cover of OCE memo ref OCE.77.

Comments are invited by 26th March. POBAL have been advised that any recommendation by committee will require Council approval on 2nd April.

Motion One

It was proposed by Councillor Finlay, seconded by Councillor Stevenson:

to recommend that Council has taken as read the Strategic Framework for Irish Language – Draft Proposal.

Motion Two

It was proposed by Councillor Cavlan, seconded by Councillor McLaughlin:

to recommend that Council accept the draft proposal for Strategic Framework for Irish Language.

Chair put Motion One to committee to vote, 9 voted for and 2 against, Chair declared the motion carried.

* **Councillor McLaughlin left the meeting at 9.31pm.**

403.22 BALLYMONEY TOWN DEA ELECTION, MAY 2011

The following statement has been received from the Public Prosecution Service (PPS) in relation to the police investigation of a possible breach of Electoral Rules for Ballymoney Town DEA at the local general election on 6 May 2011.

“A police investigation file in relation to alleged corrupt practice in connection with the Local Government Election 2010 was submitted to this Department. The police investigation file has been considered and it has been concluded that the evidence is not sufficient to show a reasonable prospect of a conviction for a criminal offence. Accordingly a direction of no prosecution has issued.”

The outcome of the PPS deliberation on the matter has been copied to the Chief Electoral Officer and to the council's solicitor.

This being all the business the meeting closed at 9.32pm.

Appendix A: Compass Advocacy Shadow Council Presentation

Appendix B: Draft Scheme of Councillors Allowances (Previously circulated)

Appendix C: Procurement Policy and Procedures (Previously circulated)

Appendix D: NILGA Annual Business Plan 2012/13

Compass Advocacy Network



Compass Advocacy Network

Shadow Council SPEAKING UP FOR YOURSELVES!



Ursula Campbell – Shadow Council Chairperson



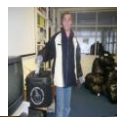
Compass Advocacy Network

Shadow Councillors



Compass Advocacy Network

Shadow Council – training & elections



Compass Advocacy Network



Key Areas

- Health and Social Care
- Housing
- Work
- Transport
- Leisure time
- Policing & Public Safety



Examples work Shadow Council doing -

- University of Ulster Consultation – Older Carers
- Equality Commission Consultation - accessible information
- Bamford Taskforce Learning Disability Group – influencing policy
- UU Nursing Degree Programme

Compass Advocacy Network

UU – End of Life consultation



Compass Advocacy Network

Shadow Council at The House of Lords





Compass Advocacy Network

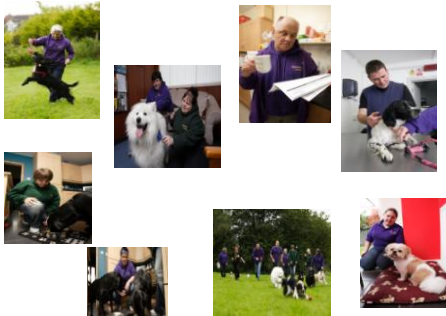
Inclusion International – Berlin (15th June to 19th June)



Compass Advocacy Network

Disability Etiquette Guide Consultation

- Doctors should explain what medication is for
- See own GP for emergency appointments
- Speak to the person with a learning disability not the carer 
- Double appointments for people with learning disabilities
- Use plain language and symbols in letters 



Compass Advocacy Network

Shadow Council – training & elections



Compass Advocacy Network


Shadow Council Group Rules

- Confidentiality – unless agreed to discuss
- Mobile phones switched off
- Professionalism – private issues kept outside
- Support each other – work as a team
- Share feelings / open and honest
- Agree breaks – keep meetings on time
- No carrying stories / gossiping / talking behind peoples backs
- Always tell the truth
- Respect other people
- Agree to keep each other safe
- Attend meetings – 2 strikes and you are out!






Standing Orders


- **Agenda** – order of business
- **Quorum** – at least **10 SHADOW COUNCILLORS** at every meeting




Compass Advocacy Network

- **Chairperson's Ruling** - Chair's decision is final 
- **Points of Order** - ask questions about how the meeting is being run 
- **Length of Speeches** - 3 minutes
- **Voting** - by show of hands. Chairperson has the casting vote 

Compass Advocacy Network

- **Length of Meetings** - 1 hour 30 minutes 

Remember
If you have any questions or you don't understand something please ask



Compass Advocacy Network

Shadow Council meeting – Moyle Council



Compass Advocacy Network

"Making Life Better"

- Shadow Council Seminar – 24th April (4pm – 6pm)



Long Gallery, Parliament Buildings

Compass Advocacy Network

Compass Shadow Council

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Compass Advocacy Network

BALLYMONEY BOROUGH COUNCIL**SCHEME OF ALLOWANCES PAYABLE TO COUNCILLORS**

This Scheme is made under the Local Government (Payments to Councillors) Regulations (Northern Ireland) 2012. The scheme has been prepared in accordance with the Department of the Environment's Guidance on Councillors' Allowances, issued in March 2012.

1. In this scheme:

- 'approved duty' is defined in Schedule 2, as provided for in the Local Government (Payments to Councillors) Regulations (Northern Ireland) 2012;
- 'Department' means the Department of the Environment;
- 'guidance' means the Department of the Environment's Guidance on Councillors' Allowances, issued in March 2012; and
- 'Regulations' means the Local Government (Payments to Councillors) Regulations (Northern Ireland) 2012.

2. **Basic Allowance**

2.1 Subject to sub-paragraph 2.3 and paragraph 6 below, for the year ending on 31 March 2013, an annual basic allowance of £9,738 shall be paid to each councillor.

2.2 Not more than one basic allowance is payable to any councillor.

2.3 The payment of basic allowance will be reduced by two thirds for those councillors who are also MLAs, MPs, members of the House of Lords, or MEPs.

3. Special Responsibility Allowance

3.1 For the year ending on 31 March 2013, a special responsibility allowance shall be paid to those councillors who hold the special responsibilities specified in Schedule 1.

3.2 Subject to sub-paragraph 3.4 and paragraph 6 below, the amount of each such allowance shall be the amount specified against that special responsibility in that Schedule.

3.3 Not more than one special responsibility allowance is payable to any councillor.

3.4 The payment of special responsibility allowance will be reduced by two thirds for those councillors who are also MLAs, MPs, members of the House of Lords, or MEPs.

4. Dependants' Carers' Allowance

4.1 Councillors are entitled to claim a dependants' carers' allowance towards reimbursement of actual reasonable costs necessarily incurred in providing care for a dependant while carrying out an approved duty.

4.2 A dependant lives with the claimant and is defined as:

- a child under 16 years old;
- a child 16 years old or more, where there is medical/social work evidence that full-time care is required;
- an adult with a recognised physical/mental disability where there is medical/social work evidence that full-time care is required; or
- an elderly relative requiring full-time care.

4.3 A dependants' carers' allowance shall be payable based upon actual receipted costs. Payment will be at the rates given in paragraph 4.4, which are subject to the limits determined by the Department.

4.4 For the year ending on 31 March 2013, the hourly rate of dependants' carers' allowance for standard care shall be £6.08, and for specialised care shall be £12.16. The monthly maximum for standard care paid to individual councillors shall be £158.00, and the monthly maximum for specialised care shall be £316.00.

5. Travel and Subsistence Allowances

5.1 A councillor or committee member is entitled to claim travel and subsistence allowances where expenditure on travelling or subsistence has been necessarily incurred in connection with an approved duty as specified in Schedule 2.

5.2 The rates of travel allowance for travel by public transport shall not exceed the actual amount paid. Where reasonably available, the cheapest available form of public transport should be used, except in urgent cases.

5.3 The rates of travel allowance for travel by private vehicle shall be the amounts shown below, which are within the maxima determined by the Department of the Environment.

TYPE OF VEHICLE	RATE
A pedal cycle	20.0p per mile
A solo motor cycle of cylinder capacity not exceeding 149cc	11.4p per mile
A solo motor cycle of cylinder capacity exceeding 149cc but not exceeding 499cc	16.5p per mile
A solo motor cycle of cylinder capacity exceeding 499cc or a motor cycle with side car	22.0p per mile
A motor car or tri-car of cylinder capacity not exceeding 450cc	22.0p per mile
A motor car or tri-car of cylinder capacity exceeding 450cc but not exceeding 999cc	46.9p per mile 13.7p per mile*
A motor car or tri-car of cylinder capacity exceeding 999cc but not exceeding 1,199cc	52.2p per mile 14.4p per mile*
A motor car or tri-car of cylinder capacity exceeding 1,199cc	65.0p per mile 16.4p per mile*

*National Joint Council for Local Government Services – Casual Users rates after 8,500 miles.

5.4 The additional amount for carrying a passenger for the purposes specified in Schedule 2 shall be 5p per mile.

5.5 The rates of subsistence shall be the amounts shown below, which are within the maxima determined by the Department of the Environment.

PERIOD/MEAL	RATES	
	British Isles £	London £
An absence involving an overnight stay only , away from the normal place of residence	100.70	122.45
Breakfast allowance (more than 4 hours away from the normal place of residence or, where approved by the council, a lesser period before 11 am)	11.50	11.50
Lunch allowance (more than 4 hours away from the normal place of residence or, where approved by the council, a lesser period including the period between 12 noon and 2pm)	13.50	13.50
Tea allowance (more than 4 hours away from the normal place of residence or, where approved by the council, a lesser period including the period between 3pm and 6pm)	4.70	4.70
Evening meal allowance (more than 4 hours away from the normal place of residence or, where approved by the council, a lesser period ending after 7pm)	20.95	20.95
Sub-total for meals	50.65	50.65
Total maximum rate (absence of 24 hours)	151.35	173.10

6. Part-Year Entitlement

6.1 This scheme may be revoked and amended at any time.

6.2 If an amendment to this scheme is made which affects payment of a basic allowance or special responsibility allowance in the year in which the amendment is made, then in relation to each of the periods:

- (a) beginning with the year and ending with the day before that day on which the first amendment in that year takes effect; or
- (b) beginning with the day on which an amendment takes effect and ending with the day before that day on which the next amendment takes effect, or (if none) with the year,

the entitlement to such allowance shall reflect the proportion of the year when entitlement existed.

6.3 Where the term of office of a councillor begins or ends other than at the beginning or end of a year, entitlement to a basic allowance shall reflect the proportion of the year when entitlement existed.

6.4 Where a councillor has during part of, but not throughout, a year such special responsibilities as attract entitlement to a special responsibility allowance, that entitlement shall reflect the proportion of the year when entitlement existed.

7. Claims and Payment

- 7.1 Payments regarding basic allowance and special responsibility allowance shall be made in monthly instalments of one-twelfth of the amount specified in this scheme on the fifth last banking day of each month.
- 7.2 Claims for dependants' carers' allowance, travelling allowance or subsistence allowance should be made in writing within three months, and should be accompanied by receipts, where appropriate.

Appendix B
SCHEDULE 1

The following are specified as the special responsibilities in respect of which special responsibility allowances are payable and the amounts of those allowances.

Name of Councillor	Special/Significant Responsibility	Special Responsibility Allowance Rate per annum £
	Mayor	4000.00
	Deputy Mayor	2000.00
	Chair of Consultation Committee	2000.00
	Chair of Development Committee	2000.00
	Chair of Leisure & Amenities Committee	2000.00
	Chair of Corporate & Central Services Committee	2000.00
	Chair of Health & Environmental Services Committee	2000.00
		2000.00

Total		16000.00

Appendix B
SCHEDULE 2

In accordance with Regulations, only the following are specified as the duties in respect of which basic allowance, dependants' carers' allowances, and travel and subsistence allowances are available.

1. attendance at a meeting of the council;
2. attendance at a meeting of a committee of the council;
3. attendance at a meeting of a sub-committee of the council;
4. attendance at a meeting of a working group of the council;
5. attendance at a meeting of a joint committee;
6. attendance at a meeting of a sub-committee of a joint committee;
7. attendance at a meeting of a group committee established under the provisions of the Local Government (Employment of Group Building Control Staff) (Northern Ireland) 1994 or the Local Government (Employment of Group Environmental Health Staff) Order (Northern Ireland) 1994; or
8. the doing of anything approved by a council or anything of a class so approved, for the purpose of, or in connection with, the discharge of the functions of the council, or any of its committees or sub-committees, or as the case may be, of the joint committee or any of its sub-committees.

A site visit is excluded from the list of approved duties and a site visit is defined as a visit made by a councillor in connection with an application for planning permission:

- which has been referred to a council for consultation under Article 15(a) of the Planning (General Development) Order (Northern Ireland) 1993; or
- at the request of the applicant for that planning permission, or the agent of an applicant, or at the request of an objector to that application.

Regarding point 8, specific duties approved by the Council are –

- Conferences, Courses and Seminars
- Civic Functions
- Official & Courtesy Visits
- Meetings with Senior Officers
- Meetings of all outside bodies to which councillors are appointed, as listed hereunder -

Causeway Museum Service

Causeway Coast & Glens District Council Transition Committee

North East Partnership Interred IVA Joint Committee

North East Peace III Joint Committee

North East Peace III Partnership

North East Rural Development Joint Committee

North East Rural Development Partnership LAG
North West Regional Waste Management Group
Northern Corridor Railways Group
Northern Group Building Control Committee
Northern Group Environmental Health Committee
Acorn The Business Centre
Ballymoney Regeneration Company
Ballymoney Town Centre Management
Causeway Coast & Glens Regional Tourism Partnership
Coleraine Citizens' Advice Bureau
Ballymoney Borough Arts Committee
Ballymoney Borough Fuel Poverty Steering Group
Ballymoney Borough Home Accident Prevention Group
Ballymoney Borough Road Safety Committee
Ballymoney Borough Sports Advisory Committee
Ballymoney District Policing & Community Safety Partnership
Ballybogey Community Association
Balnamore & District Community Association
Carnany Community Association
Castle Community Association
Cloug Mills Community Action Team
Dervock & District Community Association
Dunloy Development Association

Glebeside Community Association

Killyrammer & Dunaghy Community Association

Stranocum & District Community Association

Killyrammer Community Centre Management Committee

Rasharkin Community Centre Management Committee

Attention Deficit Hyperactivity Disorder Group (ADHD)

Ballymoney Borough Twinning Association

Forum for Local Government & the Arts

Local Government Staff Commission Champion for People with
Disabilities

National Association of Councillors

Northern Ireland Housing Council

Northern Ireland Local Government Association (NILGA)

NILGA Local Government 2012 Committee

Reserve Forces & Cadets Association for NI

The Somme Association Advisory Committee

The William Keown Trust



Ballymoney Borough Council



Procurement Policy and Procedures

Updated on ~~15/12/2011~~ 08/03/12

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Introduction

1.1 Public procurement is the acquisition, usually by means of a contractual arrangement after public competition, of goods, services, works and other supplies by a public sector organisation. **Providing Civic Leadership** is a strategic priority for Ballymoney Borough Council and it states an **objective to carry out all Council's duties in an efficient, effective and cohesive manner**. Our ethos must be to seek **competition**, maximising value for money for our ratepayers through efficient procurement, even for the smaller purchases. In turn this will deliver good quality services for our citizens. The procedures described must also be simple and replicable. In order to make the best use of our available resources our procurement procedures must not create a bureaucracy that adversely outweighs the benefits of our actions. In addition, the Council is aware of its obligations to minimise any negative environmental impact incurred through its procurement and recognises the critical need to carry out procurement in an environmentally responsible manner.

1.2 This policy outlines the procedures that will be applied to procurement activities across the Council, except for capital works contracts where separate arrangements apply. Following this policy should not only ensure **fairness**, but should reduce the risk of complaints and legal challenges, which are both time consuming and costly to Council. Challenges to public procurement are, at this time, more common in the Northern Ireland courts, than in other parts of Europe.

Policy Statement

2.1 Ballymoney Borough Council is committed to the effective management of its procurement in order to ensure that:

- The best use is made by the Council of available resources;
- The best goods, services, and construction works are contracted for the Council, at the best price;
- There is transparency and accountability in relation to procurement activities;
- Sustainable development and environmental issues are actively considered as part of the Council's procurement; and
- The policy contributes to better corporate governance and risk management.

Signed: _____ Date: _____

Mayor
Ballymoney Borough Council

Signed: _____ Date: _____

Chief Executive,
Ballymoney Borough Council

Accountability and Responsibilities

3.1 Accountability for implementation of the Procurement Policy lies ultimately with Ballymoney Borough Council. All elected Members and officers who are involved in procurement activities have specific responsibilities. Council officers are expected to actively and demonstrably apply this policy and procedures in all aspects of their procurement work on behalf of the Council.

Guiding values and principles

4.1 Ballymoney Borough Council endorses the 12 guiding principles¹ that govern public procurement in Northern Ireland and, notwithstanding that these do not currently apply to local councils, believe that the principles, listed below, reflect our statutory obligations:

- **Accountability:** effective mechanisms must be in place in order to enable Officers to discharge their personal responsibility on issues of procurement;
- **Competitive Supply:** procurement should be carried out by competition unless there are convincing reasons to the contrary;
- **Consistency:** suppliers should, all other things being equal, be able to expect the same general procurement policy across the public sector;
- **Effectiveness:** Council should deliver its socio-economic goals in a balanced manner appropriate to the procurement requirement;
- **Efficiency:** procurement processes should be carried out as cost effectively as possible to ensure maximum benefits for our ratepayers;
- **Fair-dealing:** suppliers should be treated fairly and without unfair discrimination, including protection of commercial confidentiality where required;
- **Integration:** Where possible, Council should seek to cooperate with other Councils and public bodies;
- **Integrity:** there should be no corruption or collusion with suppliers or others;
- **Informed decision-making:** Council needs to base decisions on accurate information and to monitor requirements to ensure that they are being met;
- **Legality:** public bodies must conform to European and other legal requirements;
- **Responsiveness:** public bodies should endeavour to meet the aspirations, expectations and needs of the community served by the procurement;
- **Transparency:** public bodies should ensure that there is openness and clarity on procurement policy and its delivery.

Procurement Procedures

5.1 **General Guidance.** Formal quotations or tender activities are not required where the items on an order are completely unrelated and are not more than £1,500 in total. The occasions when supplies or services will require officers to seek written quotations or formal tender activities are outlined below and detailed in Table 5:

- a. Where the purchase of individual supplies and services will cost in excess of £1,500;
- b. Where the annual provision (e.g., building materials) will exceed £1,500;
- c. Where there are two or more inter-dependent items that would amount to more than £1,500.

5.2 **Capital expenditure.** No capital expenditure should be incurred until an economic appraisal (business case) and loan sanction has been approved by Council and any other sources of funding, for example central government grants, are in place. Separate rules apply to capital works contracts.

¹ CPD Procurement Guidance Note 02/04: *Evidencing Best Value for Money*.

5.3 Purchase limits and Authorisation of Purchases. Minimum purchase limits and authorisation levels are tabled below. Council reserves the right to upscale the complexity of the process:

Estimated Value*	Process to be used	Authority to purchase**
Up to £750	Formal written quotations or tender action are not required where the items on an order are completely unrelated and are not more than £750 in total. Care should be taken in respect of repeat purchases. Seeking a number of quotes is good practice. The price should be confirmed in writing.	Order book holder
£751 to £1,500	3 prices verbally sought and the agreed price confirmed in writing, all prices to be recorded. If not satisfied with the prices received, the option of formal written quotations is available.	Budget holder / Service Manager
£1,501 to £10,000	At least 3 written quotations to be obtained by emails or on the letter head of the firms concerned. Details of written quotations to be recorded and retained on file. The option is available to go out to tender if the quotations are not felt to be satisfactory. Selection will be by lowest price unless an assessment panel is convened. If the lowest quotation is not being accepted, approval must be sought from the relevant Director before accepting another quotation, for example if the delivery date is not acceptable.	Service Manager
£10,001 to £30,000	At least 4 written quotations to be obtained by email or on the letter head of the firms concerned. Details of written quotations to be recorded and retained on file. The option is available to go out to tender if the quotations are not felt to be satisfactory. Selection will be by lowest price unless an assessment panel is convened. If the lowest quotation is not being accepted, approval must be sought from the Chief Executive before accepting another quotation, for example if the delivery date is not acceptable.	Director
Above £30,000	Open tendering secured by public advertisement. Tenders for more than £30,000 must use the formal invitation, opening, selection and acceptance process. A 2-stage process is encouraged for contracts over £50,000. Section 6 refers.	CMT then Council in Committee
Above £173,924	European Union tendering secured by public advertisement. Tenders for more than £173,934 must go through the formal invitation, opening and acceptance process. For Tenders above £173,934 a two stage process will ordinarily be followed: this involves a pre-qualification exercise followed by the tender evaluation. The pre-qualification stage allows for tenderers to demonstrate that they have a minimum level of capability to perform the contract. On occasions Council may	CMT then Council approval in Committee

	decide to invoke full EU competition for tenders that are below EU threshold.	
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Table 5: Authorisation of purchases

**Please note that in respect of services contracts or contracts to supply quantities of goods, the predicted value should be for the total estimated spends during the term of the contract, not the annual cost.*

5.4 Obtaining the requisite number of quotations. Certain situations may arise where it is not possible to obtain the requisite number of quotations, for example, when specialised equipment or service is required or when an emergency has been declared. In such instances, corroborating evidence should be kept on file. Written approval to proceed must be sought from the departmental Director or the Chief Executive. Exceptions to the requisite number of quotations may be granted in certain circumstances with prior approval of the Chief Executive: examples could include the purchase by auction of a rare artefact, or the procurement of mediation services, where potentially delicate relationships and social outcomes are more important than cost.

5.5 Combining Repeat Purchases. The possibility of combining repeat purchases to increase economies of scale is acceptable. In such circumstances a single competitive tender is acceptable and may be needed if the combined value exceeds a threshold identified in Table 5 above.

5.6 Extensions to contracts. Extreme care should be taken when building extension options into contracts to ensure that such an option does not result in a material change to the contract scope, or alter the financial balance in favour of the supplier. This is a difficult area of law and each case should be considered on its merits, seeking advice as required. Any option to extend should be referenced in the original terms of reference.

5.7 Use of the Office of Government Commerce (OGC) and other Frameworks. Options exist to draw down goods and supplies from other organisation's procurement frameworks such the Office of Government Commerce (OGC) or Belfast City Council. Care should be taken to ensure these frameworks make specific reference to Northern Ireland Local Authorities or ideally, Ballymoney Borough Council. OGC will provide a list of suppliers for whom a suitable tendering procedure has already been carried out. Quotes should still be obtained from a number of suppliers on any framework and ultimately call-off should be in accordance with the terms of the framework agreement.

5.8 Joint Tendering with other Councils. In the interests of best value, it may be beneficial to join with another Council or Councils in a joint tendering exercise (for example in collaboration with Coleraine, Limavady, and Moyle). In such exercises, there should be clear understanding around liability and an indemnity agreement should be produced. A joint tendering exercise will only be undertaken with the prior approval of Council and on obtaining an assurance from the other Council(s) that they have appropriate procurement procedures in place. In such cases the lead Council must be clearly named and the procurement is to be structured in a manner that makes clear which Councils are to be party to and benefit from the procurements. Financial limits and scope are to be clearly stated.

5.9 European Union public procurement procedures. Contracts above the EU procurement threshold figures for supplies and services of £ 173,934(Euro 200,000) will be subject to the full EU public procurement procedures. Note that these figures apply to the total value not the annual cost. These limits are set in Sterling every 2 years and fixed for that period – the last fix was in January 2012.

Please check the most recent figures and guidance issued by the EU Procurement authority on the following website:

http://www.ogc.gov.uk/procurement_policy_and_application_of_eu_rules_eu_procurement_thresholds.asp

Please also note the following with regard to EU procurement:

- Scoring. Currently, the NE PEACE III Partnership requires that members score competitive tenders;
- Thresholds. For EU funded programmes the current guidance from SEUPB is 5 quotes for £10k to £25k. If Council guidance is used in these instances and only 4 quotes obtained, the expenditure would be at risk.
- Experience as an award criterion. SEUPB guidance states that “for legal reasons experience may not be used as an award criterion for evaluation”. For EU funded programmes or projects, this means that anything above £30,000 must only be scored on cost and quality or adopt the two stage process.

5.10 Select Lists. Where repeat purchases are foreseen and can be drawn from multiple suppliers, for example, the use of graphic design services, it is acceptable to advertise for appointment onto a select list. It is good practice to set down the criteria for the select list, for example quality, delivery dates, or price, and that suppliers will be selected accordingly from the list. Successful suppliers can then be engaged on an ‘as required’ basis without further procurement. The select list should be re-advertised every 2 years and the total annual award of contracts must not exceed EU thresholds.

5.11 Use of a 2-stage procurement process. Two forms are permitted:

- (a) **Single stage.** Straight tender for a particular item, service or works, where all tenders received must be evaluated; *or*
- (b) **Two stage.** Selection of a short list prior to competitive tender.

The circumstances when the use of a two stage process is appropriate will depend on the nature of the goods or services to be supplied. For example the supply of specific items would only require the single stage process, whereas the appointment of a construction contractor may benefit from the use of the two-stage select list process. The 2 stage process is recommended for procurement above the relevant EU threshold and allows for demonstration of experience during the selection phase (section 6.6 refers). In short listing it is suggested that 5 suitable suppliers are selected.

5.12 Social considerations. Thought can be given within the specification, where directly linked to the contract subject matter, to the use of social considerations in the award of contract, provided these are not unlawful. There are a number of options that can increase opportunities for small and medium enterprises and promote competitiveness. Examples are:

- (a) Divide the contract into its specialist elements;
- (b) Split the contract into lots;
- (c) Use of small multiple supplier frameworks.

However such measures must be non-discriminatory and must be balanced with any additional administrative burden and costs. Consideration of social factors must be relevant to the subject matter of the contract. Further guidance is available on the CPD website. In the future, local government procurement may become more collaborative in nature. Council's input is required to ensure that social considerations are appropriately considered for the maximum benefit to the Borough. This matter will be subject to regular review by the Council.

5.13 Environmental / Sustainable Development Issues. Consideration shall be given within the specification, where reasonably practicable, to the use of environmentally friendly materials and products. Potential suppliers may also submit prices for environmentally friendly alternatives. Tenderers can be asked to produce evidence of their approaches to environmental and sustainable development issues provided that these relate to the subject matter of the contract.

This could, for example, include environmental accreditation such as ISO14001. Where relevant to the subject matter of the contract, a points scoring system can be used to evaluate tenders which include consideration of environmental and sustainable development issues. Care should be taken to ensure that the weighting assigned to such criteria is appropriate. **Appendix G** contains information on a suggested scoring system.

5.14 Health and safety. Note that all applicable Council tenders will be awarded subject to applicants supplying satisfactory information relating to health and safety, including health and safety policy, risk assessments, method statements and permits to work, registrations with accredited professional bodies and sub contracting procedures. This will normally be considered as a mandatory requirement or assessed at the first stage of a two stage selection process. Details of the contractor selection procedure can be found at **Appendix k**.

5.15 Awarding contracts. Contracts should be awarded on the basis of one of two criteria: either **"the most economically advantageous tender (MEAT)" or the "lowest price"**. Example criteria that might be applied to a MEAT procurement include: quality, price, technical merit, aesthetic and functional characteristics, running costs, cost effectiveness, after sales service, delivery date, delivery period, and date of completion. Table 5 states that lowest price will be used for contracts under £30,000 unless an assessment panel is convened. The tendering process is detailed in Section 6. The tender documentation must clearly state which criterion will be used, i.e. lowest price or MEAT, and it is good practice to identify the associated weightings.

Tendering Procedure for procurements over £30,000

6.1 Overview. An overview of the end to end tendering process is shown in Figure 6 below:

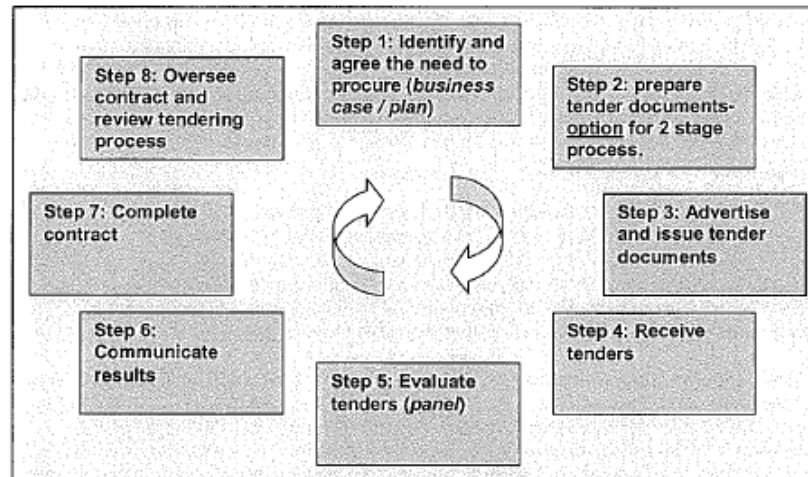


Figure 6: Overview of the tendering process.

6.2 Step 1: Identify and agree the need to procure. The relevant officer identifies the need for procurement and seeks approval according to the estimated value of the contract. Where procurement is outside planned budget a business case will be required. Business cases are encouraged for any non-routine or high value spends. Sample business cases are included at **Appendix J**.

6.3 Step 2: Tender documentation. Invitations to tender will set out a brief description of what the Council wishes to procure and invite interested parties to request tender documentation or view tender information on the Council's website. A specified time (normally 12.00 noon) should be stated for return of the tenders on the day fixed for their return. Addressed envelopes (not prepaid) for the return of tenders can be issued on request with the invitations to tender. Tender documentation must be **addressed to the Town Clerk and Chief Executive**, will bear the full address of the Council and will be clearly marked in the top left hand corner:

"Tender for (insert contract name): _____"
 and in the bottom left-hand corner:
 "Tender due (insert specified date / time) on: _____"
 Received by: _____ Time: _____ Date: _____"

Invitations to tender should request 3 hard copies (2 bound, one loose for photocopying). Tenders can be supported by an electronic pdf copy on CD ROM or memory stick but this is not to replace the hard copy. Sole use of electronic documents transfers an unacceptable level of risk to Council. Note the requirement in section 7.1 below to include a statement on Freedom of Information with tenders and contractual documentation.

6.4 Step 3: Invitations to Tender. For tenders above £30,000, invitations to tender will be publicly advertised in the Belfast Telegraph. Trade journals can also be used, particularly for specialist products or services. The Council's website

(www.ballymoney.gov.uk) will also be used in all instances to advertise Council tenders above £30,000.

6.5 Queries on Tenders. Prior to the closing date responses to any queries received from potential tenderers in relation to a tender should be made **in writing**. The response to the query should, save in exceptional circumstances, also be provided in writing to all those who receive tender documentation to ensure that all potential tenderers receive the same information. A cut off period of 3 working days prior to the tender deadline shall apply to queries. This should be stipulated in the tender documentation, after which Council will not be required to respond.

6.6 Step 4: Receipt of Tenders. The following process is to be followed:

- Administrative Services will receive tender documentation on behalf of Council (the Chief Executive is the named recipient). This does not absolve the lead officer of responsibility for overseeing their tender but will help to ensure consistent practice. Tender envelopes will be endorsed with the time and date of receipt, numbered in the order in which they are received and signed and stored in a safe location, unopened until the appointed time of opening. Receipt of tender documentation is included at **Appendix A**;
- Tenders must be submitted in writing and their content shall remain confidential until the time limit for reply has expired;
- **Tenders must reach the designated point of receipt not later than the time and date indicated in the invitation to tender;**
- Any tender received after the due time will not be considered. It should be marked "late", noted with the exact time of receipt and retained **unopened** with the other tender papers;
- Tenders submitted either by telephone, facsimile or email will not be considered. Electronic copies of tender documents can be accepted in addition to hard copy;
- Where a 2-stage process is being followed, a pre-qualification meeting will take place to short list against selection criteria.

6.7 Opening of Tenders. The following process is to be followed:

- After the tender deadline, the tender envelopes shall be opened by at least 2 Council officers, to include the officer leading the procurement;
- The date of opening, Company name and amount quoted will be recorded on a Tender schedule and signed in the appropriate place by these officers. To ensure that no other tenders can be introduced at a later date the unused portion of the schedule will be ruled through;
- Officers will not make alterations to or write comments on tenders or associated correspondence, as these are original documents, which in the event of any dispute, may have to be produced in a Court of Law;
- Tender documentation can be released to panel members for evaluation in advance of the evaluation meeting.

6.8 Step 5: Evaluation of Tenders. The following process is to be followed:

- Open tenders will be evaluated by a panel of a minimum of three Council officers, including the tender lead, a manager, and one representative from another Council Department. Tenders are to be evaluated separately then moderated. All panel members are to be familiar with Council's procurement policy;
- All tenders received within the specified closing date and time will be evaluated for **completeness, compliance and quality**. A points scoring schedule based on criteria included in the tender specification will be agreed and used to evaluate each tender received;
- **How to score.** Panel members are to score individually, then come together for combined scoring and moderation of any significant variance.
- **Scoring criteria.** The criteria which the Council will use to determine that an offer is the most economically advantageous includes **price, delivery date, running costs, cost effectiveness, quality, aesthetic and functional characteristics, technical merit, after sales service, technical assistance, sustainability, and environmental considerations**. Choice of criteria will depend on the desired outcome for Council but for consistency Council advocates that each criteria scores up to 5 points and that the number of assessment criteria should not exceed 10 in total. Normally a weighting will be applied, however this must be disclosed. **Criteria, the approach to scoring, and associated weightings must be declared within the initial tender documentation;**
- Experience can still be used as a criterion for the assessment of tenders below EU threshold. For tenders above £50,000 a two stage process is recommended. During the first, pre-qualification stage it is permissible to ask that tenderers demonstrate a minimum level of experience to ensure that Council is contracting with competent organisations. For a two-stage process the award criteria should be different from the short listing criteria;
- Communication of tenders at Council meetings or Council Committee meetings is to be **"in Committee"** to ensure that commercial sensitivities are observed.

6.9 Incomplete, Amended or Revised Tenders. The following considerations should be made:

- An 'incomplete tender' is one where information necessary for the adjudication of the tender is omitted. In general an incomplete tender should not be considered but clarification can be sought, in certain circumstances, from the tenderer on minor issues, i.e. a minor point of fact or a minor point of lack of information. Consideration should be made on a case-by-case basis;
- 'Clarification' of a tender is the process by which the Council discusses with the tenderer the contents of his tender in order to clarify points before the award of the contract. It is important not to expand the clarification process and questions should be carefully phrased, for example, as "Could you clarify ...xyz" This is to ensure that the clarification process does not become a negotiation which is not permitted. If a tender lacks important information, for example a pricing schedule, that tender should not be considered further in the tendering procedure;
- An 'amended/revised tender' is one which is amended/revised in writing, by the tenderer upon his own initiative. This is only permissible before the submission deadline and must be initialled by the tenderer. Important information must not be added to the tender after opening.

6.10 Step 6: Award of Contracts. The following process is to be followed:

- Following approval, the preferred bidder, together with the unsuccessful tenderers shall be notified as early as possible as to whether or not they have been successful. **(The structure of this letter is at Appendices D and E. This letter fulfils all requirements for a formal debrief);**
- **Standstill period.** For all tenders above £30,000, including those exceeding the EU Procurement Threshold, the principle of a **mandatory minimum standstill period of 10 days** will apply (see **Appendix VII**). Although this is only a legal requirement for above EU Threshold Procurement, it represents best practice in terms of risk management. Where communication of tender results is by post rather than email, the mandatory period is extended to 15 days. In practice this means that Council must allow at least 10 days between the date of dispatch of this information (the 'notice of award') and the date on which it proposes to enter into the contract. Where the 10 day period expires on a non-working day, the period should be extended to the next working day;
- This provision allows unsuccessful tenderers a reasonable opportunity to understand more fully why they have been unsuccessful and could see them apply for interim measures which results in the award decision being overturned;
- **Debrief requirements.** The Council must inform any supplier, contractor or service provider that has submitted a tender of its decision in relation to the award of the contract ('notice of award'). **Note that scoring is to be disclosed as described below.** This should be done in writing by the quickest means available (preferably e-mail) as soon as possible after the award decision has been made, and includes details of:
 - The award criteria;
 - The score obtained by the supplier, contractor or service provider;
 - The preferred bidder's (winning) score and name;
 - Outline any technical non-compliance;
 - When the stand still period ends;
 - The earliest date for signing;
 - The characteristics and relative advantages of the successful tender.**(The structure of this letter is at Appendices D and E. This letter fulfils all requirements for a formal debrief)**
- If circumstances dictate, the requirement to use the mandatory standstill period can be extended on the approval of the Chief Executive or relevant Director. This will normally be an additional 5 or 10 working days;
- A tender may be withdrawn at any time before its acceptance. The offer and acceptance becomes a contract at the point where a specific contract is entered into;
- The letter of acceptance of the tender will be sent out by recorded delivery.

6.11 Step 7: Acceptance. Acceptance of a tender in writing (Appendix D) will, in most circumstances, make the contract and therefore, care must be taken to ensure that the basis of a good contract exists before the acceptance is issued. The following points in particular should, therefore, be kept in mind:

- The acceptance must refer to the original offer and all correspondence modifying, clarifying and/or confirming the offer (usually by reference to the dates of the letters);

- The acceptance will take the form of a letter. It will mention, where appropriate:
 - The correct name of the contractor/supplier;
 - Description of the good/services;
 - Price in figures and words;
 - Contract period.
- When the contract is to commence.
- A set of all documents which have to be completed and/or signed by the successful tenderer will accompany the letter of acceptance;
- In certain circumstances, acceptance can be qualified as subject to expiry of the standstill period or subject to agreement and execution of a legally binding contract.

6.12. **Step 8: Review / Retention of evidence.** Periodic review of the quality of goods and services is recommended to assess the effectiveness of the tendering process and to ensure that contractual obligations are being met. All open tender papers and correspondence relating to the tender and the awarding of the contract will be retained on file for **13 years**. This meets with European Union regulations. This is to include a signed scoring matrix, minutes of discussion, and the names of assessment panel members. For completeness this should include a copy of the Tender Report and any associated report to Council together with a copy of the relevant Council minute. **6 years** is the mandated period where quotations have been sought.

6.13. **Above EU Threshold Procurement.** The following procedures shall apply:

- **Standstill period.** For all tenders exceeding the EU Procurement Threshold, the principle of a **mandatory minimum standstill period of 10 days** will apply. Where communication of tender results is by post rather than email or fax, the mandatory period is extended to 15 days. In practice this means that Council must allow at least 10 days between the date of dispatch of this information (the 'notice of award') and the date on which it proposes to enter into the contract. Where the 10 day period expires on a non-working day, the period should be extended to the next working day;
- **Notice of Court proceedings.** For above EU Threshold procurements, where a dissatisfied tenderer gives formal notice of Court proceedings, this immediately suspends the tender process. The Council may apply to the Court to have the suspension removed. Dissatisfied tenderers currently have a period of up to three months to instigate court action from the date upon which they become aware or should have been made aware of the issue about which they have complaint. In certain limited circumstances a court has the discretion to extend this period;
- **Contract Award Notice.** As soon as possible after the contract has been awarded the Council will publish a Contract Award Notice in the Official Journal of the European Union. This has the effect of reducing the timescales for court challenge in certain circumstances.

Confidentiality / Duty to disclose

7.1 Disclosure requirements on contracting authorities are increasing as a result of the Freedom of Information Act 2000. **Appendix H** provides guidance notes on Freedom of Information requirements. In particular please note the extended statement which must be included with tenders and contractual documentation.

Evaluation and review of this policy

8.1 The content and operation of Ballymoney Borough Council's Procurement Policy will be subjected to annual review by the Council's Corporate Management Team and reported to Council through its Corporate & Central Services Committee.

Section 75 of the Northern Ireland Act: Equality and Good Relations

9.1 Ballymoney Borough Council is fully committed to meeting its obligations in relation to Equality and Good Relations under Section 75 of the Northern Ireland Act. This policy will be screened using Section 75 guidelines and will be subject to an Equality Impact Assessment if found necessary as a result of the screening process.

Contact details

10.1 Any issues or queries relating to this policy should be addressed to:

Mrs. Elizabeth Johnston
Head of Corporate & Development Services
Ballymoney Borough Council
Riada House
Ballymoney
BT53 6DZ

Telephone: (028) 2766 0244
E-mail: elizabeth.johnston@ballymoney.gov.uk

List of Appendices:

A Receipt of tender / select list summary form;
B Sample invitation to tender letter;
C Sample tender form;
D Successful tender;
E Unsuccessful tender;
F Evaluation Criteria / Mandatory standstill provision;
G Environmental analysis and scoring;
H Freedom of Information;
I Order books;
J. Business cases / economic appraisals.
K. Health and Safety considerations in the selection and management of contractors:
Guidance for Project Managers.

APPENDIX A

RECEIPT OF TENDER SUMMARY FORM

<i>On receipt (unopened)</i>			
TENDER FOR			
Closing day / date			
Closing time			
Received by:		Appointment	
Tender envelope number			
Date received		Time received	
<i>On opening</i>			
Confirm complete tender received	Yes / No		
Price	£		
Comments			
Opened by			
Date opened			

APPENDIX B

SAMPLE INVITATION TO TENDER LETTER

<date>

<name>

<address>

Dear Sir/Madam,

TENDER FOR _____

If you wish to participate in the competition for the award of the above contract, please complete the enclosed tender form and return it to arrive at the above address not later than 12 noon on <specify a date>.

Tender prices must reflect all circumstances affecting, or likely to affect, the provision of the good/services/works. Tender documentation must include all information requested and reach its destination not later than the specified time and date. The tenderer shall be liable for all costs incurred during this tender process. **Tenders received after the specified time will not be considered.**

The contract sum as specified in the tender should be on the basis of a 'fixed price' and time limitations on the fixed price should be clearly stated. Failure to quote a fixed price may result in your tender being excluded for the competition. Please note that the contract sum as specified in the tender should include all delivery, installation, commissioning and handling charges. We reserve the right to accept a part of any tender unless the tenderer clearly states that the tender may only be considered in its entirety.

Please note that the Council reserves the right not to:

- a. Accept any incomplete tenders;
- b. Necessarily accept the lowest priced or any tender.

In certain circumstances a standstill period of ten days may be applied between notification of the award decision in relation to a tender and contract conclusion to allow unsuccessful tenderers a reasonable opportunity for debrief. This period of ten days may be extended for as long as is necessary.

Yours faithfully

APPENDIX C

SAMPLE TENDER FORM

Tender for:

Part 1

I / We hereby offer to provide the above mentioned goods/services/works as detailed in the attached invitation to tender for the sum of £ _____ (exclusive of VAT).

Amount in words: _____ pounds sterling

I / We have read and understand the Conditions of Contract and the Notes/Instruction to Tenderers and agree to the terms and conditions set in this Tender; to any additional terms and conditions set out in the invitation to tender; that having completed this form a binding contract shall be constituted by this Tender and our acceptance thereof.

I / We agree that this tender together with your written acceptance thereof shall constitute a contract between us in relation to the whole of the Tender or any part as may be specified in your written acceptance, subject to the execution of a legally binding contract.

Tender's Signature

(The Tender must be signed by a person authorised to sign on behalf of the contracting firm).

Signature		Date	
Address			
Telephone		VAT Registration Number	

Part 2

SCHEDULE OF QUANTITIES AND PRICES

Item No.	
Description of Goods	
Quantity	
Unit Cost £	
Total Contract Price (excl VAT) £	
VAT amount £	

APPENDIX D

SUCCESSFUL TENDER

<date>

<name of contractor/supplier>

<address>

Dear Sir/Madam

TENDER FOR _____

Thank you for your tender dated <date tender form was dated by tenderer> for the supply and delivery of <details of goods/services> at your quotation price of <contract amount in figures>, <amount in words>j.

I have pleasure in advising that you have been successful as our preferred bidder in this matter. The award decision is summarised in the table below:

The award criteria	
The preferred bidder's (winning) score, breakdown of the score, and name	
Outline any technical nonconformity (if applicable)	
The characteristic and relevant advantages of the winning bid	

However, our tendering procedure requires that we now enter into a standstill period of 10 days between notification of the award decision and the contract conclusion to allow unsuccessful tenderers a reasonable opportunity to seek further information on the tender process and, if necessary, apply in Court for interim measures which could lead to the award decision being overturned. We anticipate that the stand still period will end on <enter date>.

We will contact you again by <enter date> to advise you whether we are able to conclude the contract following this standstill period.

Yours faithfully

APPENDIX E

UNSUCCESSFUL TENDER

<date>

<name of contractor/supplier>

<address>

Dear Sir/Madam

TENDER FOR _____

Thank you for your tender dated <date tender form was dated by tenderer> for the supply and delivery of <details of goods/services> at your quotation price of <contract amount in figures>, <amount in words>].

I regret to inform you that on this occasion you have been unsuccessful. The award decision is summarised in the table below:

The award criteria	
The score obtained by the supplier, contractor or service provider	
The preferred bidder's (winning) score, breakdown of the score, and name	
Outline any technical nonconformity (if applicable)	
The characteristic and relevant advantages of the winning bid	

However, our tendering procedure requires that we now enter into a standstill period of 10 days between notification of the award decision and the contract conclusion to allow unsuccessful tenderers a reasonable opportunity to seek further information on the tender process. Under this procedure you may also request a debriefing on the tender process.

Please do not hesitate to contact me if you require any further details.

Yours faithfully

APPENDIX F**EVALUATION CRITERIA / MANDATORY STANDSTILL PROVISION**

Following the Alcatel judgment, the UK Government agreed that contracting authorities must implement a mandatory minimum standstill period of 10 days between notification of award decision and contract conclusion to allow unsuccessful tenderers a reasonable opportunity to apply in Court for interim measures which could lead to the award decision being overturned.

Application of the Provision

The mandatory standstill procedure must be applied to all contracts covered by the full regime of the EU directives, i.e. where the EU Procurement Threshold figures apply for supplies and services and for works. It has been agreed by Council that the procedure will also apply to Council tenders **above £30,000**.

Requirements of the Provision

The Council must inform any supplier, contractor or service provider that has submitted a tender of its decision in relation to the award of the contract ('notice of award'). This must be done in writing by the quickest means available (which may include fax or e-mail) as soon as possible after the award decision has been made, and includes details of:

- The award criteria;
- The score obtained by the supplier, contractor or service provider;
- The preferred bidder's (winning) score and name;
- Outline any technical non-compliance;
- When the stand still period ends;
- The earliest date for signing;
- The characteristic and relevant advantages of the winning bid.

The Council must allow at least 10 days between the date of dispatch of this information (the 'notice of award') and the date on which it proposes to enter into the contract where the notice has been sent electronically (email, fax). Where the notice is sent by post the Council must allow at least 15 days between the date of dispatch and the date on which it proposes to enter into the contract.

Request for Debrief

By providing written feedback in the award letters, the need for verbal debrief should be reduced. Verbal debriefs can be offered at the discretion of the lead officer.

APPENDIX G

ENVIRONMENTAL ANALYSIS AND SCORING MECHANISM FOR TENDERS

It may be useful, **when relevant to the subject matter of the tender** to use a system to consider and score the environmental aspects of tenders. This suggested assessment and scoring mechanism for the environmental aspects of tenders is based on a system known as Development Path Analysis (DPA) which was developed as a tool to assist with the monitoring of environmental impact. DPA relies on qualitative assessment to evaluate each tender in relation to the following six development paths:

Path 1: Simply Meeting Environmental Regulations. Is the tenderer offering anything different or unusual that helps to protect the environment? If the answer is no, then the tender probably falls under Path 1. Path 1 will include tenders that meet minimum environmental regulations. While important, meeting these regulations is not enough to ensure environmentally sustainable development.

Path 2: Cleaning Up the Mess. Industrial emissions, extensive vehicular travel, intensive farming, high household consumption have all contributed to degrading air and water quality and to compromising the environment. Path 2 considers whether the tender offer could help the Council to clean up this mess.

Path 3: Environmental Infrastructure. Path 3 covers tender offers that will put in place infrastructure that allows the Council carry on with its every-day activities but with less damage to the environment.

Path 4: Helping the Council. Path 4 considers whether the tender offer will help the Council meet and exceed environmental regulations and standards.

Path 5: Resource Efficiency. One way of improving the impact of human activities on the environment is to improve the efficiency of the resources used to support those activities. Path 5 covers tender offers that will help improve the efficiency with which resources will be used by the Council.

Path 6: New Behaviour. Path 6 is for tender offers that actively involve changing the way the Council behaves so that our behaviour has a less damaging or a positive effect on the environment. It relates to activities that are *not* business as usual.

The objective of the tool is to help shift activity away from Path 1 toward activity under Path 6. The paths in between are paths that mitigate the impact of existing Council activity in some way. As part of the tender assessment process, each tender is evaluated on the basis of the development paths outlined above and given a score that relates to one of these development paths. Using the tender details supplied, the likely impact of the tender on the environment can be assessed and scored. Identify only **one** development path and award the points associated with that development path to the tender.

- Simply meeting environmental regulations – 0 points;
- Cleaning up the mess – 1 point;
- Environmental infrastructure – 2 points;
- Helping the Council – 3 points;
- Resource efficiency – 4 points;

- New TENDERER Behaviour – 5 points.

APPENDIX H

Freedom of Information**Tendering Procedures Guidance Notes**

Background The Freedom of Information Act 2000 (FOI) is intended to promote a culture of openness and accountability amongst public sector bodies by providing people with rights of access to the information held by them. It is expected that these rights will facilitate better public understanding of how public authorities carry out their duties, why they make the decisions they do and how they spend public money.

Since 1 January 2005, people have the right to make a request for any information held by a public authority (although this right is subject to a number of exemptions which permit the withholding of information) and the authority will be required to follow the provisions of the Freedom of Information Act in dealing with that request.

Information is defined in Section 84 of the Act as being information recorded in any form, and it covers any information held by the public body in connection with the operation of its functions. The guidance is intended to cover procurement exercises which will vary from the routine to procurement in the wider sense e.g. invitations for expressions of interest or establishing partnerships.

Implementation in other Jurisdictions.

It does not appear to be universal practice in the Republic of Ireland that FOI clauses are inserted into contractual documentation, but it is generally regarded as best practice to do so. There did not appear to have been any universal communication with suppliers at the time of initial implementation of the FOI Act in the Republic.

Whilst there is no official statement used for inclusion in tender documents in the Republic of Ireland, most Councils use a variant of the undenoted:

"Ballymoney Borough Council is subject to the provisions of the Freedom of Information Act 2000. Should any tenderer consider that any of the information supplied by them is either commercially sensitive or confidential in nature, this should be highlighted and the reasons for its sensitivity specified. In such cases, the relevant material will, in response to FOI requests, be examined in light of the exemptions provided for in the FOI Act."

In practice however, tenderers usually either ignore this or else merely state that all information is sensitive or confidential. Some councils indicate that they consult with tenderers prior to release of their information, although this does not appear to be universal practice. Clearly this would delay the process somewhat. It is considered that it is a matter for individual councils to determine, but that it is not necessary if the above statement is utilised, and it is made clear that the decision on what is, or is not commercially sensitive rests with the Council. It is important to note that even if information contained within a tender submission is commercially sensitive, the "public interest test" may dictate that it be released. This has been the case in the Republic of Ireland. The general rule in the Republic appears to be that it is probably in the public interest that details of successful tenders are disclosed, but not that details of unsuccessful ones are disclosed.

An Information Commissioner's decision in one particular case cites:

"...the public interest in openness and accountability resulting from disclosing tender prices outweighed any public interest in preventing commercial harm to tenderers and the tender process"

The guidance on the application of exemptions will be key in directing Councils how to respond to FOI requests of this type. Even though the legal interpretation is likely to lean towards disclosure, there remains a danger that Councils could be taken to Court for damage done if information is wrongly released.

Every opportunity should be taken to provide feedback to unsuccessful tenderers outside the formal Freedom of Information regime.

Publication Scheme.

Councils are advised to ensure that their general tendering processes are available as part of the Publication Scheme. This will ensure that only requests for detailed information re tenders will be subject to FOI procedures. As disclosure of information is likely to be probable rather than possible, the tendering procedures available through the Publication Scheme should reflect this.

General Guidance. The following general statement may be used in any standard documentation which is used by the Council to obtain information e.g. grant application forms:

"Ballymoney Borough Council is subject to the terms of the Freedom of Information Act 2000. Any information, which comes into the possession of Ballymoney Borough Council, will be subject to disclosure under the provisions of that Act, unless an exemption applies. Only Ballymoney Borough Council can make a decision regarding whether information is disclosable or not. In arriving at the decision, Ballymoney Borough Council will take account of the nature of the information, exemptions provided for in the Act, and the Public Interest. If the information is disclosable, Ballymoney Borough Council has no discretion to prevent its disclosure."

Tenders and Contractual Information. Up to and including the evaluation process, all the information provided by tenderers to the Council will be considered to be of a confidential nature and it is unlikely that the information would be disclosed at that time. After evaluation is complete, commercial sensitivities which may have to be applied to that point may no longer be applicable. The evaluation process will be deemed to have been completed when the Council has made its decision, or a Senior Council Officer has decided that the particular tender exercise is not viable.

The following extended statement should be included with tenders and contractual documentation:

"Tenderers should be aware that the information provided in the completed tender and contractual documents could be disclosed in response to a request under the Freedom of Information Act. We will proceed on the basis of disclosure unless an appropriate exemption applies. No information provided by Tenderers will be accepted "in confidence" and Ballymoney Borough Council accepts no liability for loss as a result of any information disclosed in response to a request under the Freedom of Information Act. Ballymoney Borough Council has no discretion whether or not to disclose information in response to a request under the Freedom of Information Act, unless an exemption

applies. Disclosure decisions will be taken by appropriate individuals in Ballymoney Borough Council having due regard to the exemptions available and the Public Interest. Tenderers should be aware that despite the availability of some exemptions, information may still be disclosed if the Public Interest in its disclosure outweighs the Public Interest in maintaining the exemption. Tenderers are required to highlight information that they include in the tender documents, which they consider to be commercially sensitive or confidential in nature, and should state the precise reasons, why that view is taken. In particular, issues concerning trade secrets and commercial sensitivity should be highlighted. Tenderers are advised against recording unnecessary information.

In accordance with the Lord Chancellors Code of Practice on the discharge of public functions¹, Ballymoney Borough Council will not accept any contractual term that purports to restrict the disclosure of information held by the Council in respect of the contract or tender exercise save as permitted by the Freedom of Information Act. The decision whether to disclose information rests solely with Ballymoney Borough Council.

Ballymoney Borough Council will consult with tenderers, where it is considered appropriate, in relation to the release of controversial information. Tenderers will be notified by the Council of any disclosure of information relating to them."

Reports to Council Committee. It is recommended that reports on tenders taken to Council/Committees be as full and detailed as possible, and that Council minutes be sufficiently detailed to provide enough details for the reader to understand the reason for Officers' recommendations and Council's decisions. Discussions on tenders will be taken "in Committee".

Commercial Interests. When considering questions relating to commercial interests or sensitivity, Councils should always act in accordance with Section 8 of the Lord Chancellors Code of Practice on the discharge of public authorities functions which states that, "Unless an exemption provided for under the Act is applicable in relation to any particular information, a public authority will be obliged to disclose that information in response to a request, regardless of the terms of any contract"

The Lord Chancellor's Code of Practice on the discharge of public authorities functions under Part 1 of the Freedom of Information Act 2000 Issued under Section 45 of the Act. Section 43 of the FOI Act sets out an exemption from the right to know if:

- The information requested is a trade secret, although the Council will need to inform the applicant whether it holds the information that constitutes the trade secret, or
- release of the information is likely to prejudice the commercial interests of any person, where the Council can refuse to confirm or deny that it holds such information if this in itself would prejudice commercial interests.

However it is important to bear in mind that the Commercial Interest exemption is the hardest to override on public interest grounds. It is also important to note that when considering the Commercial Interest Exemption, the Commercial Interests of the Council and not just the tenderer should be considered. Councils themselves will have commercial interests in certain circumstances.

APPENDIX I

ORDER BOOKS

1. The use of order books

- The Order Book must be used on all possible occasions for the purchase of Goods and Services.
- Confirmation Orders must be written where urgent items and or services have been ordered by telephone.
- Where a specific Contract has been agreed e.g. Service or Maintenance Contract or Tender has been awarded, an order is not required providing the appropriate Officer checks prices are in accordance with Contract/Tender.
- Where a company is used on a frequent basis e.g. at least once per week, the same order number would suffice for a maximum period of one month only. This should only apply if ordering the exact same goods on an ongoing basis.
- Periodical checks must be made of Order Books to ensure that all goods supplied have been invoiced.
- Use of Order Books must be controlled by designated Officers. All orders over £750 must be approved in advance by Managers. (See authorisation limits for purchase orders and invoices on page 5).
- Where possible, Orders should be raised in accordance with Annual Tender detail or Quotation procedures.
- Where relevant, Orders should be substantiated by copy Minute documentation with the Coding Slip referenced accordingly.
- Orders must be completed to include:
 - Suppliers Full Name and Address;
 - Detailed Narrative of Goods and or Services Required;
 - Cost of Goods and or Services;
 - Coding;
 - Date;
 - Authorising Officer's Signature.
- All original orders must be issued to Suppliers.
- When Goods have been received and the Invoice has been processed for payment, the copy order counterfoil must be detailed as follows:
 - Invoice Number;
 - Invoice Date;
 - Invoice Amount;
 - Month Account Paid.
- Processed Invoices to be passed to the Finance Section of the Central & Leisure Services Department on a weekly basis.

2. Authorisation Limits For Purchase Orders And Invoices

- Orders under £750 can be authorised by Clerical Staff / Foremen / Officers.
- Orders over £750 must be approved and authorised in advance by Budget holders.
- For reasons of financial probity, the person placing the order cannot sign the related invoice.

- To ensure segregation of duties and proper controls are put in place, Invoices under £750 must be authorised by Service Managers.
- Invoices over £750 must be authorised by the Director or Deputy Director or another Director or Chief Executive on all occasions. The Deputy Director can authorise only where that officer has not signed the order.

3. **Tender Prices**

- Prices charged per Invoice documentation must be checked against Annual Tender/Quotation prices. Evidence of a check, by relevant staff, should be shown on each Invoice e.g. checker's initial appearing on the Coding Slip in the tender/quotation box.
- All written notifications of increases must be filed with the original Tenders and be readily available for Audit purposes.

4. **Statements**

- No payment should be made on the basis of a Supplier's Statement.
- If a Statement is used at all, this must be accompanied by the individual certificated Invoice/s and where appropriate, Delivery Notes should be attached.
- Monthly Statements from Suppliers should be checked using copy Remittance Advices, and evidenced as checked.
- Statement file reviewed periodically by management and evidenced as such.

5. **Discount**

All Discounts should be deducted even though the permitted Discount period may have elapsed. The Finance Officer should be consulted in difficult cases.

6. **Arithmetical Check**

Evidence of an arithmetical check, by relevant staff, should be shown on each Invoice. A tick at the bottom of a total would suffice with checker's initial appearing on the Coding Slip.

7. **Credit Notes**

Credit notes should be clearly referenced to the appropriate invoice. Order books should be marked to show that a credit note has been received.

8. **Copy Invoices**

Copy Invoices should only be requested from a Supplier after an exhaustive effort to trace the original has been made and the permission of the Finance Officer has been obtained.

9. **Checking / Certification Procedure**

After Invoices have been thoroughly checked by relevant staff, and the copy Order Counterfoil marked in accordance with relevant Invoice/Month of Payment detail, a Coding Slip must be attached to each individual Invoice/Credit Note.

10. **Coding Slip Completion**

a. **Transaction Type**

- Enter I if you are attaching the Coding Slip to an Invoice.
- Enter C if you are attaching the Coding Slip to a Credit Note.

- b. **Supplier Number.** Each Supplier has been allocated a number and this will be found on your Supplier Listing which is printed in alphabetical order. If a Supplier does not appear on the Supplier Listing, consult the Finance Section and an appropriate number will be allocated.
- c. **Invoice/Credit Note Date.** Enter as detailed per Invoice/Credit Note.
- d. **Invoice/Credit Note Number.** Enter as detailed per Invoice/Credit Note.
- e. **Goods Received/Work Done.** To be initialed by Service Manager or his/her Assistant.
- f. **Order Number.** Enter as detailed per Order.
- g. **Quotation / Tender Minute Reference.** The Officer responsible for checking quotations/tenders should initial this box.
- h. **Order Counterfoil.** The officer processing the Invoice should initial this box.
- i. **Calculations/Totals.** The Officer executing the arithmetical check should initial this box.
- j. **Allocation.** Maximum care should be taken to ensure that Expenditure is allocated accurately on the Coding Slip and that Codes correctly relate to the Facility and Cost concerned.

11. **Petty Cash**

Petty Cash should only be used when the department cannot be invoiced for the goods or services received, or in an emergency. Petty Cash Requisition Vouchers can be obtained from the Finance Section of the Central & Leisure Services Department. Petty Cash Vouchers must be completed to include:

- Name and Address;
- Date;
- Details of payment;
- Amounts should be calculated, that is, NET, VAT and GROSS TOTAL.

The Correct code should be inserted to enable the amount to be debited from the correct account when the voucher is processed on the system. The signing of Petty Cash Vouchers should follow the same principles as purchase orders/invoices ensuring segregation of duties.

All requests for payment must be issued directly to the Finance Officer. The voucher must be accompanied by relevant vouchers, minutes, receipts etc before payment can be made. The omission of appropriate information will render the voucher incomplete and as such should not be passed for payment. Officers must complete all claim forms to the proper recognised standards.

APPENDIX J

1 Page Business Case

Project title			
Concept overview	Succinctly describe the new idea		
Link to Corporate Plan	Reference strategic priority / objectives		
Budget code	Who will pay?		
Target users	Who will benefit?		
User needs	<ul style="list-style-type: none"> • Problem solved? • Need filled? • Learning required? • Service replaced? 		
Evidence of need	Analysis of customers / users?		
Benefits to the Borough	<ul style="list-style-type: none"> • Political • Social • Economic • Environmental • Legal • Wellbeing • Service improvement 		
Other options	What are the alternatives?		
Costs	<ul style="list-style-type: none"> • Initial cost • Annual costs for first 5 years • Income / charges? • Additional staff effort (including internal services) 		
Communications	<ul style="list-style-type: none"> • Consultation required? • Press interest? 		
Distribution	Roll out plan?		
Risks	<ul style="list-style-type: none"> • Security • Health & Safety 		
Other implications	<ul style="list-style-type: none"> • Equality / disability • Environmental • Staffing • Impact on other departments? 		
Technical	<ul style="list-style-type: none"> • ICT consulted? • Technical services consulted? 		
Testing / pilot	Required? / How? / Cost?		
Director approval	Spend over £750	Approved / not approved	Date:

SMT approval	Spend over £5,000	Approved / not approved	Date:
Council approval	Spend over £15,000	Approved / not approved	Date:
Next steps	Rework / additional information		

Full Economic Appraisal

Department of the
Environment
www.docni.gov.uk

Local Government Economic Appraisal Pro Forma for Projects up to £1 Million

Title:

Council:

Completed by:

Grade:

Date:

Signed: _____

Authorised by:

Name:

Grade:

Date:

Signed: _____

Important Note: All the boxes in this form can be expanded and the size of the box bears no relation to the amount of information required. Sufficient information should be included in each box.

If any help is required in filling in this form please contact Local Government Division. Alternatively contact Economics Branch for advice and assistance on 02890 541155 or 02890 540812.

1. Introduction

Please provide a brief introduction/background to the proposed programme or project.

2. Strategic Context

Explain the strategic relevance of the proposed, programme or project. For example, the particular strategic aims and objectives to which it will contribute should be highlighted, and an explanation of how it is expected to contribute to them should be given

Reference should be made to relevant statutes, strategy or policy documents e.g. DRD Corporate Plan, Regional Transport Strategy, Belfast Metropolitan Transport Plan, Regional Development Strategy, DoE Corporate Plan, Health and Safety legislation, Disability Discrimination Act, The Roads (NI) Order 1980, Transport (Amendment) Act (NI) 1971, Planning (NI) Order 1991, Road Traffic (NI) Order 1981, etc.

3. Assessment of Need

Use this section to establish that expenditure is needed. The proposed service provision or financial assistance needs to be justified and the following points should be considered:

- Where appropriate, details should be given of deficiencies in current services, or in the assets or other resources used to deliver them. If possible you should try and quantify the problem.
- Relevant projections of the future nature, and levels, of demand for services over time should be provided and be suitably quantified.
- These future projections should be set in context by providing historical evidence of the development of need e.g. data for the past three to five years.
- If this is recurrent funding or a recurring project please use the results from the evaluation of the last scheme to inform the assessment of need and detail here what improvements, if any, are being proposed compared to the last round of funding.
- What are the implications of not going ahead with this project?
- Would this project go ahead, even if reduced in scope, in the absence of funding from the Department?

4. Objectives, Targets and Constraints

In this section the overall objectives of the proposal should be set out. Targets should also be identified to enable an evaluation of the extent to which objectives have/have not been achieved. Targets need to be well defined in order to aid with evaluating the project. Finally, a series of constraints should be identified to ensure that anything which could impede the successful delivery of the project can be considered at this stage.

4.1 Objectives

The following questions may help to set suitable objectives:

- What are we trying to achieve? What are our objectives? What would constitute a successful outcome or set of outcomes?
- Have similar objectives been set in other contexts that could be adapted?
- Are our objectives consistent with strategic aims and objectives as set out, for example, in the council's service agreements?
- Are our objectives defined to reflect outcomes e.g. improved health, crime reduction or enhanced sustainable economic growth; rather than the outputs e.g. operations, prosecutions or job placements, which will be the focus of particular projects?

For further information on identifying the objectives and targets please go to <http://eag.dfpni.gov.uk/steps/step3.htm>

Please identify the objective(s) in the table below.

Table 4.1: Objectives

Objective(s)

4.2 Targets

It is extremely important that a series of targets are included below. It is important to set out how objectives are measured. The following questions may help to set suitable targets:

- How might our objectives and outcomes be measured?
- Are our objectives defined in such a way that progress toward meeting them can be monitored?
- What factors are critical to success?
- What SMART (*Specific, Measurable, Achievable, Relevant, Time bound*) targets can we then set? What targets do we need to meet?

Please identify targets in the table below.

Table 4.2: Targets

Targets

4.3 Constraints

Important constraints upon the proposals should be explained. These may be technical, legal, financial or political in nature, or they may have to do with timing or location.

Please identify constraints in the table below.

Table 4.3: Constraints

Constraints

N.B. do not be restricted by the number of rows in the tables above. It is important to add or remove rows in order to identify all factors relevant to the circumstances of **your** particular project.

5. Identification of options

It is useful to begin by identifying a 'long list' of options, containing all the initial ideas about possible solutions. This should include not only the conventional solutions, but also any more innovative suggestions, however outlandish they may at first appear.

The options selected for in-depth appraisal should include a baseline or benchmark option. This will usually be the "status quo" option, representing the genuine minimum input necessary to maintain services at, or as close as possible to, their current level.

Alternatives to the status quo are referred to as the 'do-something' options. These should generally cover a range of levels of provision, for example, from 'minimum acceptable provision' to the highest standards of provision. They could reflect variations in the scale, content, timing and location of services.

For further information on this section, go to <http://eaq.dfonl.gov.uk/steps/step4.htm>. The link also provides examples of strategic and operational options and gives a flavour for the information to be considered when designing options.

Give each option a title and provide a short description of the option. Make sure you have at least identified the status quo and one other viable option. Any other option that has been identified can be rejected but an explanation as to why you rejected the option should be given.

Status Quo:

As per HMT Green Book, this option must be brought forward for further analysis

Option 1:

Reject? ☐ Yes ☐ No

If yes please explain why?

Option 2:

Reject? ☐ Yes ☐ No

If yes please explain why?

Option 3:

Reject? ☐ Yes ☐ No

If yes please explain why?

Important note: This pro forma includes four options above, please add additional options if required. This document is protected; therefore, if it is necessary to include additional options for your project, please contact DOE Economics Branch who will assist you with this procedure.

6. Assessment of Monetary Costs and Benefits

6.1 Monetary Costs and Benefits

Appraisals should account for ***all*** the costs and benefits to NI and UK residents, (i.e. consider the total costs of the project not just the cost to the Council). Examples of the costs are:

- Capital cost of carrying work out (e.g. new building, new equipment).
- Cost of contract
- Researchers
- Transport Costs
- In-house cost of managing the project

- Overheads (e.g. electricity, rent, etc)

For each option you have brought forward from the previous section identify a detailed breakdown of the costs and the benefits (revenue) in the tables below.

Please provide details above each table about how the cost and benefits were estimated (i.e. the assumptions).

STATUS QUO

Assumptions for Status Quo

--

Table 6.1: Status Quo Monetary Costs and Benefits

Status Quo			
Costs and Benefits	Year 1	Year 2	Year 3
	Select Yrs	*Select Yrs*	*Select Yrs*
Capital Costs			
Total Capital Cost			
Recurrent Costs			
Total Recurrent Cost			
Total Cost (A)			
Benefits			
Total Benefits (B)			
Total Costs (A-B)*			

* A negative total denotes a total benefit

OPTION 1

Assumptions for Option 1

--

Table 6.2: Option 1 Monetary Costs and Benefits

Option 1			
Costs and Benefits	Year 1	Year 2	Year 3
	Select Yrs	*Select Yrs*	*Select Yrs*
Capital Costs			
Total Capital Cost			
Recurrent Costs			
Total Recurrent Cost			
Total Cost (A)			
Benefits			
Total Benefits (B)			
Total Costs (A-B)*			

* A negative total denotes a total benefit

OPTION 2**Assumptions for Option 2**

--

Table 6.3: Option 2 Monetary Costs and Benefits

Option 2			
Costs and Benefits	Year 1	Year 2	Year 3
	Select Yrs	*Select Yrs*	*Select Yrs*

Total Recurrent Cost			
Total Cost (A)			
Benefits			
Total Benefits (B)			
Total Costs (A-B)*			

* A negative total denotes a total benefit

6.2 Optimism Bias

Optimism Bias refers to the demonstrated, systematic tendency for project appraisers to be overly optimistic; it can only be applied to capital costs.

Do any of the options have capital costs that have been estimated and therefore you are uncertain about?

☐ Yes ☐ No

If you answered yes then you need to carry out an optimism bias adjustment. To do this you need to follow the following link http://www.hm-treasury.gov.uk/media/D/B/GreenBook_optimism_bias.pdf. If further clarification is required please contact Economics Branch for assistance.

6.3 Net Present Value

Appraisals should generally include, for each option, a calculation of its Net Present Value (NPV). This is the name given to the sum of the discounted benefits of an option less the sum of its discounted costs, all discounted to the same base date. Where the sum of discounted costs exceeds that of the discounted benefits, the net figure may be referred to as the Net Present Cost (NPC).

Q1. Is the expected economic life of the project expected to be greater than 3 years?

☐ Yes ☐ No

Q2. Are you trying to compare an option with a high capital cost and to an option with low initial capital cost but high recurrent costs?

☐ Yes ☐ No

If you answered yes to the two questions then you are required to complete NPC calculation. DFP have templates for completing these can be found at <http://eag.dfoi.gov.uk/npc-calculator.xls> and further guidance to the completion of NPCs can be found at <http://eag.dfoi.gov.uk/appendices/appendix7.htm>. Economics Branch can also assist with NPV calculations.

Remember that optimism bias adjustments must be made prior to NPV calculations and included in the NPV calculations.

7. Assessment on Non-Monetary Costs and Benefits

In many assessments there are non-monetary impacts such as environmental, social or health effects that can not be valued cost-effectively. There are two main techniques to illustrate how options compare regarding factors that are not expressed in monetary values

a) Impact Statement

In essence, it consists of a table summarising the impact of each option upon each non monetary benefit.

b) The weighted scoring method

This involves assigning numerical weights to each factor to reflect its comparative importance, scoring the performance of each option against each factor on a numerical scale and calculating a 'weighted score' for each option.

The weighted scoring method is more detailed and is particularly useful when the monetary costs of options are similar and there are minor variations in non-monetary benefits. This pro forma includes an impact statement table but if it is felt necessary to complete a weighted scoring exercise please contact Economics Branch for assistance. Further information regarding non-monetary costs and benefits can be found at <http://eaq.dfn.gov.uk/steps/step7.htm>.

To complete the table below follow these steps:

1. Identify the non-monetary benefits in the benefit column;
2. For each of the non-monetary benefits identified give each option an impact rating using the key below the table and the drop-down lists; and
3. Assess the overall non-monetary benefit of each option.

Table 7.1: Non-Monetary Costs and Benefits

Benefit	Status Quo	Option 1	Option 2	Option 3
Overall				

KEY				
-- highly negative	- negative	\ no impact	+ positive	++ highly positive

Please give a short narrative explaining the non-monetary rankings given to each option.

Status Quo Ranking:

Option 1 Ranking:

Option 2 Ranking:

Option 3 Ranking:

8. Assessment of Risk

A vital first step in the analysis is to identify and analyse the important risks and uncertainties relevant to the case, and to show how they compare under each option. This risk analysis should help inform the adjustments for optimism bias and identification of risk management and mitigation measures.

It is good practice to summarise the relevant information in a table, called a 'Risk Log' or 'Risk Register', which identifies each relevant risk and compares how it impacts upon each option. For further guidance on completing this section please go to <http://eag.dfpni.gov.uk/steps/step6.htm>

Please use the table below to complete an assessment of the risks of each option.

Table 8.1: Risk Assessment

Risk	Impact of risk (H/M/L)	Likelihood of risk (H/M/L)				Mitigation measure
		SQ	Opt 1	Opt 2	Opt 3	
Overall Risk						

Key: H - high M - medium L - low NA - Not Applicable

9. Preferred Option

It is important to include a section which draws together the main findings and conclusions of the appraisal. Please use the table below to summarise the main results for each option.

Table 9.1: Summary of Results

Summary	Status Quo	Option 1	Option 2	Option 3
Total Capital Cost £				
Net Present Cost £				
Average Annual Net Recurrent Cost £				
Non-Monetary Benefits Ranking				
Risk Assessment				

Please explain in more detail the choice of preferred option and why it was chosen.

10. Displacement

Displacement relates to the extent to which the proposed activity under this project will affect similar activity in another area, either in a positive or negative way. That is, will some other similar activity be replaced as a consequence of this project? Ideally, displacement should be minimized. This is particularly relevant for councils given the impending changes under RPA. Councils are encouraged to look beyond their current boundaries to ensure that their proposal will not be displacing activity elsewhere.

Is it likely that displacement could occur with this project?

☐ Yes ☐ No

If yes, please give more details in the box below

11. Additionality

Additionality refers to the net impact of the project over and above what would have happened if the project did not go ahead. In other words, it refers to the extent to which the project would have gone ahead without public sector support. Additionality may be partial. For example, without assistance the project may have been carried out later, a smaller scale, lower standard of quality or carried out in a location of lower priority.

Would the project have gone ahead in any form, without public sector support?

☐ Yes ☐ No

If yes, please give more details in the box below

12. Financing of Preferred Option

What percentage of this project is to be funded by the Department? __%

If this is less than 100% please complete the table below.

Table 12.1: Financing

Funding Organisation	% funding	Funding secured. Yes/No	If no at what stage of negotiations are you at?
	100%		

13. Management, Monitoring and Post Project Evaluation

Business cases should explain the proposed management arrangements for the proposal. A brief statement of how the project will be managed should be provided e.g. formal reports, completion of timesheets, meetings.

Where another organisation is to be the managing authority, a statement of the project management capabilities of that organisation should be provided.

Appraisals should generally include a monitoring and evaluation plan. This should provide details of:

- Who will be responsible for monitoring and evaluation (the organisation, division, post, individual(s));
- Who needs to be consulted. This is important when you have a large number of stakeholders;
- What factors (e.g. costs, outputs, outcomes) will be monitored and evaluated, and how this will be done;
- What staff and other resources will be required;
- When evaluation will be undertaken (the intervals at which monitoring will occur, and the completion dates for evaluations); and
- How the results will be disseminated, including identification of the target audience.

Appendix K

Health and Safety considerations in the selection and management of contractors: Guidance for Project Managers

Introduction

Ballymoney Borough Council (BBC) regularly outsources certain aspects of its work. The result is that many people working on the premises are not direct employees of the organisation, but are controlled through a third party - often termed 'contractors'. Typically contractors carry out activities such as building work, window cleaning, and other maintenance.

There are two main areas of consideration with regard to contract work:

- Ensuring that the contractor is selected to be suitable and capable to do the work required safely; and
- Proper management of the contractor, including suitable information exchange between BBC as the client and the contract organisation.

To achieve this, the actual work requirements for the work must be properly determined before any contractor is sought.

It is a commonly held misconception that when an organisation delegates or hands over its responsibilities by using a contractor, then the contractor has full responsibility. This is not the case. The contractor has the responsibility for undertaking their work correctly with the information they are given, but the client has the responsibility for ensuring that the contractor is properly selected, has been given the correct information and is adequately monitored to ensure they are complying with the requirements of the contract. There should be safe systems of work agreed and there should not be any unforeseen interaction between their work and the work of the client organisation. This policy sets out Council's approach to managing contractors.

Non-notifiable Contracts

In the case of the above contract works, the individual responsible for coordinating the work on behalf of BBC shall:

- Define the work that has to be done including the task and the place of work;
- Consider the hazards that are likely to be introduced by the work and any risks arising from our business affecting the contractors;
- Determine whether it is reasonably practicable to segregate the contractors work from the other activities taking place on site;
- Obtain essential health and safety information about the work (including any residual risks identified such as the presence of asbestos, for example, and ensure that the Asbestos Register is completed), and safety rules, to enable the contractors to take these into account in their tender;

- Discuss detailed work plans with the successful bidder and review their risk assessments and method statements for the work;
 - Ensure that a responsible person meets the contractor's representatives, ensure that they sign in/out and brief them with essential health, safety and emergency information;
 - If the work is particularly hazardous ensure that there are arrangements for issuing permits to work as detailed below;
 - Monitor the execution of the work to ensure that it is being carried out safely.
- Site rules specific to each site will be made available in writing to each contractor and will be signed by the contractor and BBC representative prior to any work commencing.

Competence Assessment

In particular our assessment process shall involve a review of requested information from the contractor including:

- Record of experience in similar contracts;
- Membership of reputable trade bodies or approved contractor schemes;
- Legally required registrations (e.g. Gas Safe Register);
- Health and safety policies and practices;
- Health and safety performance (e.g. number of accidents);
- Selection procedures for sub-contractors;
- Safety method statements and risk assessments;
- Supervision arrangements; *and*
- Arrangements for consulting their workforce (where applicable).

We shall also review the Health and Safety Executive's notices and prosecution database to determine if the potential contractor has been subject to any formal legal sanction. Any claim that a contractor is a member of a trade or professional body or an approved contractor scheme is verified directly with the body to ensure the membership is current and covers the work being offered.

Receiving Information from Contractors

Before any work begins on any BBC site the relevant Head of Service will be informed and the relevant documentation detailed above and below made available. In addition any Building Superintendent/Caretaker and individual departments with responsibility for emergency evacuation must be made aware of contractors on site. Contractors should identify themselves to staff on arrival.

Authorisation / Permits

For particularly hazardous work, a Permit to Work is required. This includes:

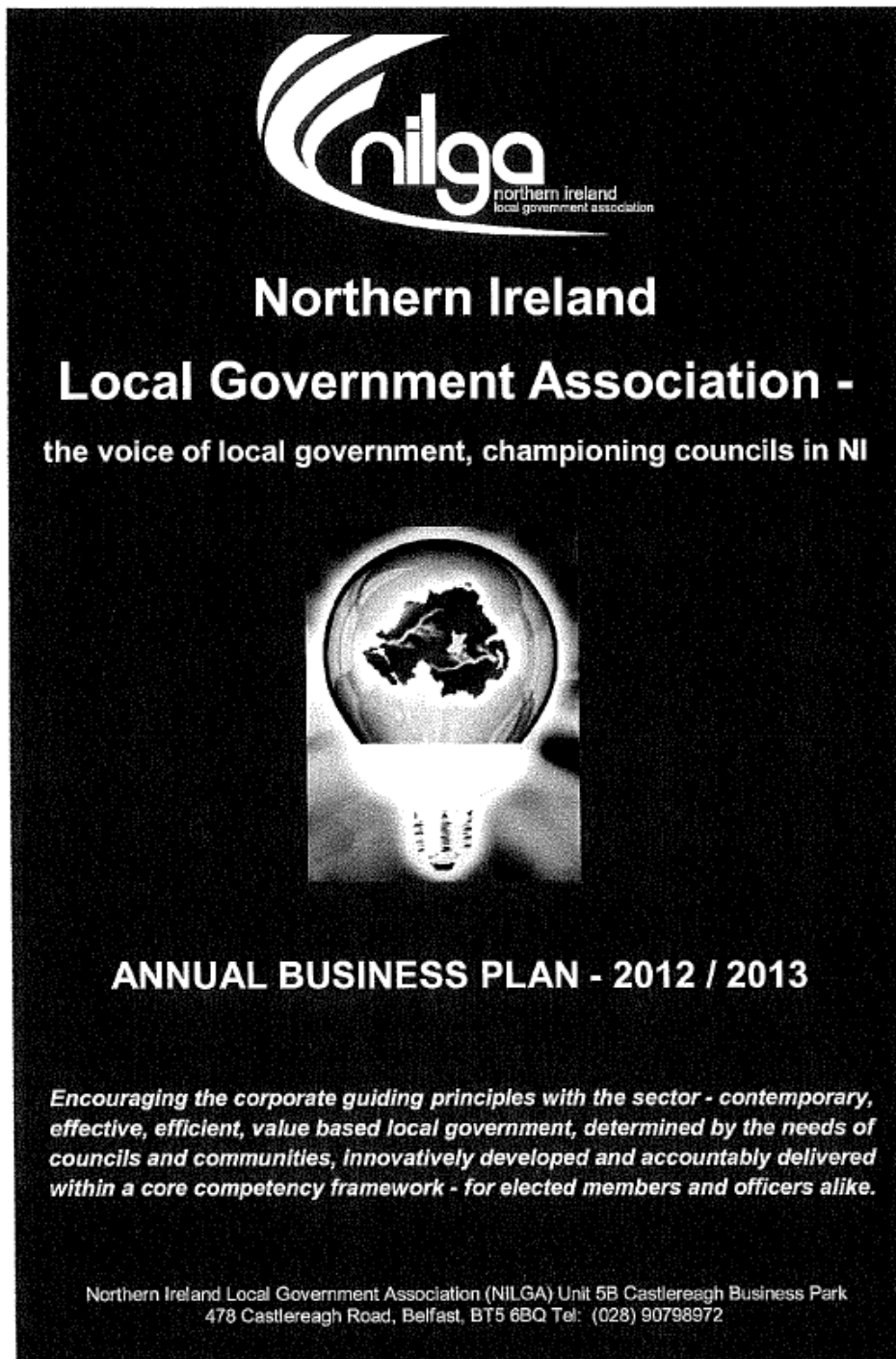
- | | |
|--|---|
| • Confined space work; | • Work on pitched roofs; |
| • Work with asbestos containing materials; | • Work in a lift shaft or pit; |
| • Use of radioactive sources and lasers; | • Work on live electrical equipment; <i>and</i> |
| • Use of mobile cranes; | • Hot work. |
| • Use of explosives; | |

Ballymoney Borough Council representatives will identify work which will require a permit and complete the document with details of the work to be undertaken, foreseeable hazards, the precautions to be implemented by the contractors and the start and finish time of the permit. Both parties will sign to indicate that particular work methods and precautions have been agreed. Contractor's representatives are required to keep a

copy of their permit at the place of work which may be inspected by our managers. At the end of the permitted time, the permit will be closed by sign off from both parties to indicate that the work is finished and the work area is safe.

Contract review / further guidance

All contract work will be subject to review on completion. Further information on this guidance can be requested from the relevant Head of Service for the contract. .



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2012/13 Business Plan – Key Themes / Actions		
STRENGTHENING LOCAL DEMOCRACY		
1. Ensuring Councils are at the forefront of local decision making; providing an increasingly significant contribution to the development of Government policy What we will do in 2012/13:		
1.1	Maintain a strong voice for local government	<ul style="list-style-type: none"> Present evidence and lobby government departments, putting forward a case for the sector on any critical issue affecting NI's Councils Present policy development arrangements that will deliver increased focus on Councils agreed priorities, such as more local input into and delivery of the Programme for Government 2012-2020 Engage actively across the sector to ensure a holistic approach to policy development and political/resource lobbying for all Councils Engage actively with central government departments and other external partners to ensure local government's voice and experience are part of the policy design, planning and service delivery stages for functions which Councils perform or may be required to do Communicate strongly on the Draft Programme for Government, Review of the NI Assembly, Waste, Planning, Economic and Investment Strategies and Urban/Rural Policies, as an arm of government, whilst retaining the sector's independence Develop a Vision for Local Government
1.2	Influence and Negotiate	<ul style="list-style-type: none"> Work jointly with Councils, supporting them to develop sector wide policy positions e.g. economy, waste, planning, community, urban and rural development Represent Councils regionally, nationally and in Europe on all policy areas including negotiating on EU Fines, Structural Funds, Strategic Migration, employment and workforce development issues Lobby for Councils to have greater local decision making through materially influencing the development of regional, national and European policy Ensure that NILGA's working groups adhere to an efficient, effective annual delivery plan, informed by and informing the sector on critical issues affecting Councils Lobby for Councils to have greater power and influence on how localities and economies are developed e.g. through the Draft PFG, Area Plans, Planning and Local Government reform legislation, as well as the transfer of required functions
1.3	Promote and support councillors and their development	<ul style="list-style-type: none"> Develop a Vision for Local Government Identify and ensure delivery, in partnership, of training required for elected members, ensuring they have the skills and capacity to fulfil their roles and responsibilities (identifying and applying investment as required) Provide elected members with the necessary communications to ensure they are adequately briefed on policy and other key issues to facilitate their decision making processes
1.4	Promote the sector in the Media	<ul style="list-style-type: none"> Establish and deliver an effective media strategy to ensure the sector presents a constructive, positive image Anticipate and respond to high profile issues in the media which are relevant to the Association and the Local Government sector Develop improved communications through social media, sector bulletins, engagement events and Annual Conference, for and with Councils Develop and implement a Communication and Engagement Strategy to ensure effective two way communication between NILGA and its partners

BUILDING THE REPUTATION OF THE LOCAL GOVERNMENT SECTOR		
Ensuring the Association and its membership are seen as strong, responsive and customer focused.		
2. What we will do 2012/13:		
2.1	Build a sustainable, needs driven Association with a corporately aligned work plan	<ul style="list-style-type: none"> Consult with Councils, identifying their needs and expectations as required from the Association and develop Corporate, Investment and Staff Development Plans Review NILGA's Constitution to further enhance the needs of Councils; promote balance of party/council representation; and maximise engagement of all Councils, councillors and political parties NILGA Working Groups working to an efficient, effective annual delivery plan, informed by and informing the sector on critical issues affecting Councils Develop improved communications through social media, sector bulletins, engagement events and Annual Conference, for and with Councils Develop improved contractual, resource pooling and investment arrangements with other LGAs in England, Scotland, Wales and the Republic of Ireland to maximise the value of these Associations for Councils in NI.
2.2	Build Strong Partnerships	<ul style="list-style-type: none"> Continue to develop strong relationships to empower Local Government with political parties, SOLACE, LGSC, NAC, LGAs, DOE, NICS Departments, NI Assembly, private and community sectors Bring LGA expertise into NI from England, Scotland, Wales and the Republic of Ireland Identify key issues for local government, agree roles and responsibilities and develop necessary protocols to ensure effective working partnerships are developed and maintained Promote Local Government through motivational events such as NILGA's Conference, Ulster in Bloom, Engagement Events and the Local Government Awards initiative Develop and implement an appropriate Communication and Engagement Strategy to ensure effective two way communication between NILGA and its partners Actively monitor all partnership arrangements to identify growth opportunities of relevance to Councils and minimise dissatisfaction.

SUPPORTING THE DELIVERY OF STRONG AND EFFECTIVE LOCAL GOVERNMENT		
Delivering on the reform of local government		
3. What we will do 2012/13:		
3.1	Lead the Implementation of Local Government Reform	<ul style="list-style-type: none"> Implement reform with the sector's needs at the fore, with NILGA's Executive, Working Groups and Councils, DoE, SOLACE and the NI Assembly Be an effective, valuable and relevant part of the Programme for Government, with Councils Secure appropriate policy, delivery models and funding for the reform of local government, the transfer of functions, community planning and the power of well being Engage with Councils on identification / communication of issues and the minimisation of associated risks – such as increased costs and resource planning issues Facilitate discussion and sharing of good practice bringing new investment and products to Councils Deliver a communication plan and administration support for Local Government reform Engage proactively with the Assembly, Departments and MLAs, as well as communities, business and media, to advance practical, sustainable, effective, innovative, results driven reform which benefits Councils and communities

SUPPORTING COUNCILS TO ACHIEVE GREATER EFFICIENCY AND EFFECTIVENESS IN SERVICE DELIVERY		
Supporting the development and implementation of the ICE Programme		
4. What we will do 2012/13:		
4.1	Provide political leadership, coordination and communication for the ICE Programme	<ul style="list-style-type: none"> Ensure elected members have the necessary knowledge, skills and resources to undertake the roles and responsibilities required Provide secretariat, co-ordination, political analysis and communication support for the ICE Programme Encourage and facilitate sharing of good practice across the sector including products/initiatives brought from other jurisdictions Ensure that the ICE Programme's links with wider reform are properly communicated, and that its distinctiveness is maintained

DELIVERING HIGH QUALITY CUSTOMER SERVICE TO COUNCILS		
Ensuring NILGA delivers a customer focused, value for money service by improved focus on council and councillor needs		
5. What we will do 2012/13:		
5.1	Governance	<ul style="list-style-type: none"> Enhance and simplify governance arrangements for the Association through new constitutional and enhanced corporate accounting arrangements Actively monitor council, party and councillor engagement levels and customer satisfaction to identify areas of benefit, achieve positive participation and minimise areas of dissatisfaction by taking corrective action Review funding arrangements as part of enhancing NILGA's value for money and sustainability requirements Deliver Business Plans, reporting progress against targets as appropriate to Office Bearers, Executive, Full Members and Councils

5.2	Organisational Effectiveness	<ul style="list-style-type: none"> • Deliver a Corporate Plan for the period June 2012 – December 2015 • Staff development plan implementation from 2012 • Ensure that NILGA's working groups adhere to an efficient, effective annual delivery plan, informed by and informing the sector on critical issues affecting Councils • Identify financial resources required and appropriate funding streams, reporting annually through AGM, Annual Report and Councils • Provision of necessary staff, secondments and attachments to ensure the skills, knowledge and experience exist to deliver the Corporate Plan and engage in wider investment and product development to sustain the Association's services for Councils. • Ensure appropriate fiscal and related (resource planning, reporting processes and systems) are in place to deliver services in an efficient, effective manner, with due regard to value for money.
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INCOME	ESTIMATE 2012/13
NILGA - council subscriptions	421,691
EU - DFP	67,270
EU - LGA	30,000
NISMP	102,798
NIJC/JNC	136,725
ULSTER IN BLOOM	8,500
TOTAL INCOME	765,984
EXPENDITURE	
NILGA Core Staffing	320,209
Project Salaries Total	188,410
Total Salaries	508,619
Conference, Overheads, Working Groups, non project work	177,042
Project Expenditure (excluding salaries)	81,323
Total Expenditure	766,984
SURPLUS/DEFICIT	0

NILGA Core Working Groups and their remit						
Group Name	Modernisation Communication and Reform (MCRWG)	Planning (PWG)	Inter-regional/EU Policy and Practice (IEPP)	Waste and Environment (WE)	Agriculture and Rural Development (ARD)	Workforce, Employment and People Development (WEPD)
Key objectives	<ul style="list-style-type: none">Developing a Vision for Local GovernmentPolitical Support / Development of Local Government Reform ProgrammePolitical Support / Development of ICE ProgrammeDevelopment of the NILGA elected member role in key policy discussionsTransfer of Functions - Cost / Impact AnalysisUpdating and implementing PDP / post PDP workDemocratic Scrutiny	<ul style="list-style-type: none">Successful transfer of a fit for purpose Planning ServiceImplementation of Planning reformDesign and delivery of a suitable suite of planning policiesDesign and delivery of new strategic development and community planning systems and policiesDevelopment of the NILGA elected member role in key policy discussionsDemocratic Scrutiny	<ul style="list-style-type: none">Provision of an 'early warning' system on the impact of EU policies and proposalsPromoting sustainable economic growth and development opportunitiesNI local government representation in EuropeStrategic Migration and related UK wide policyEU Structural Funds re-design to benefit Councils & CommunitiesDemocratic Scrutiny	<ul style="list-style-type: none">LG delivery of the NI Sustainable Development Strategy and Implementation PlanImplementation of the NI Waste Strategy against targets on community planning and the power of well-beingRelevant legislation, guidance, policy and practice on Waste, Health and EnvironmentDemocratic Scrutiny	<ul style="list-style-type: none">The development of a Local Government section for the rural white paper action planCAP reformPolitical advocacy relating to the Welfare of Animals Act as it applies to CouncilsThe implementation of the NI Rural Development Programme, and exploration of new opportunities (with the NILGA IEPP)Democratic Scrutiny	<ul style="list-style-type: none">Member development and capacity building (in partnership)Communication - review of NIJC/JNCWorkforce Strategy - supporting HR Structures (I.C.E., LGSC, LGTG)elected member leadership and engagementDemocratic Scrutiny
Wider objectives	<ul style="list-style-type: none">To represent the sector as part of the mechanism to achieve Local Government ReformTo act as a gateway / champion/ communicator for the sector on reform, improvement and transfer of functionsTo assist in designing and developing a capacity building framework and programme for the sector as part of the Vision for local governmentInvestment opportunities – financing future local government	<ul style="list-style-type: none">Assisting in the specification and delivery of the wider capacity building frameworkAssisting in the wider work on the new elected member role and code of conductLobbying on planning issues and a partnership role for Local Government within an integrated Government approach	<ul style="list-style-type: none">Building member capacity on EU issuesDisseminating knowledge and a menu of investment throughout the sectorSupporting elected members and officers to influence policy, plan and deliver investment through spatial planning and lobbying/influenceSupporting elected members on key European bodies	<ul style="list-style-type: none">Successful lobbying activity on relevant issuesDemocratic Scrutiny of:<ul style="list-style-type: none">Waste, health and environment communications activity, across governmentClimate Change / Energy / Carbon Reduction activity in CouncilsHealth Promotion/ Preventative Healthcare activity in partnership with Councils	<ul style="list-style-type: none">Energy efficiency in rural dwellingsRural planning issues (with PWG)Agricultural and Fishing issues as they impact on Councils (e.g. Farm and Fisheries Competitive Fund)Future of rural settlements, rural community cohesion and rural infrastructure	<ul style="list-style-type: none">Linkage with / support for /co-ordination of complementary elected member development initiativesInvestment in future planning for work force



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