



4 January 2018

Committee Chair: Councillor N Kells

Committee Vice-Chair: Councillor D Hollis

Committee Members: Aldermen – F Agnew, W DeCourcy
Councillors – J Bingham, B Duffin, T Girvan, M Goodman, P
Hamill, T Hogg, A Logue, M Maguire, N McClelland, P
Michael, W Webb

Dear Member

MEETING OF THE POLICY AND GOVERNANCE COMMITTEE

A meeting of the Policy and Governance Committee will be held in the **Round Tower Chamber, Antrim Civic Centre on Tuesday 9 January 2018 at 6.30pm.**

You are requested to attend.

An officer from the Finance Team will be available from 4.00 pm on the day of the Policy and Governance Committee meeting to meet with any Member who wishes to review the payments made over the previous month. If you wish to avail of this opportunity, please report to reception at Antrim Civic Centre who will contact Finance accordingly.

Yours sincerely

A handwritten signature in black ink that reads "Jacqui Dixon".

Jacqui Dixon, BSc MBA
Chief Executive, Antrim & Newtownabbey Borough Council

For any queries please contact Member Services:

Tel: 028 9034 0098/028 9448 1301 memberservices@antrimandnewtownabbey.gov.uk

A G E N D A

- 1 Apologies.
- 2 Declarations of Interest.
- 3 Report on Business to be considered:

ITEMS FOR DECISION

- 3.1 Local Government Finance Act (NI) 2011
- 3.2 Attendance Policy Review
- 3.3 Retention and Disposal of Records Schedule – Planning Section
- 3.4 Policy on Payment for Annual Leave

ITEMS FOR INFORMATION

- 3.5 Draft Rates Estimates Update 2018/19
- 3.6 Agency Staff Update

ITEMS IN CONFIDENCE

- 3.7 Performance Update – RIDDOR Reporting

- 4 Any Other Relevant Business.

REPORT ON BUSINESS TO BE CONSIDERED AT THE POLICY AND GOVERNANCE COMMITTEE MEETING ON TUESDAY 9 JANUARY 2018

ITEMS FOR DECISION

3.1 FC/FA/1 LOCAL GOVERNMENT FINANCE ACT (NORTHERN IRELAND) 2011

Members are reminded that under the requirements of the Local Government Finance Act (Northern Ireland) 2011 and the Prudential Code, the Council is required to have regard to a number of reports and to approve a range of indicators and strategies prior to the prescribed date for striking the rates, 15 February 2018.

Following recent consultation by CIPFA on the Prudential Code a revised Code is due to be published by CIPFA in January 2018 with an implementation date of 1 April 2018 (2018/19).

The following reports are prepared based on the 2011 Code, should the revised Code materially affect the content of these reports, updated reports will be reported back to Committee.

(a) FC/FA/3 Minimum Revenue Provision Policy 2018/2019

Under Regulation 6 of the Local Government (Capital Finance and Accounting) Regulations (Northern Ireland) 2011, councils have a statutory requirement to charge to their general fund an amount of Minimum Revenue Provision (MRP) which it considers to be 'prudent' in respect of the financing of capital expenditure.

A copy of the Council's MRP Policy 2018/2019 is **enclosed**.

RECOMMENDATION: that the MRP Policy 2018/2019 be approved.

Prepared by: Richard Murray, Management Accountant
Agreed by: John Balmer, Head of Finance

(b) FC/FA/4 Prudential Indicators 2018/2019 to 2020/2021

The council is required by Regulation to have regard to the current edition of the Chartered Institute of Public Finance and Accountancy (CIPFA) Prudential Code for Capital Finance in Local Authorities when carrying out its duties under Part 1 of the Local Government Finance Act (Northern Ireland) 2011. In doing so, the Council is required to set and monitor a series of Prudential Indicators, the key objective of which is to ensure that,

within a clear framework, the capital investment plans of the Council are affordable, prudent and sustainable and that treasury management decisions are taken in accordance with good professional practice.

A report showing the Council's Prudential Indicators 2018/2019 to 2020/2021 is **enclosed**.

RECOMMENDATION: that the Prudential Indicators 2018/2019 to 2020/2021 be approved.

Prepared by: Ann Hamilton, Financial Controller

Agreed by: John Balmer, Head of Finance

(c) FC/FA/5 Medium Term Financial Plan 2018/2019 to 2020/2021

The Prudential Code requires the council to develop three-year revenue forecasts and three-year capital expenditure plans. These are shown in the Medium Term Financial Plan 2018/2019 to 2020/2021, a copy of which is **enclosed**.

RECOMMENDATION: that the Medium Term Financial Plan 2018/2019 to 2020/2021 be noted.

Prepared by: Richard Murray, Management Accountant

Agreed by: John Balmer, Head of Finance

(d) FC/FA/2 Treasury Management Strategy

The Local Government Finance Act (Northern Ireland) 2011 and the Local Government (Capital Finance and Accounting) Regulations (Northern Ireland) 2011 requires the council, in carrying out its capital finance functions, to have regard to the current editions of the CIPFA Treasury Management in the Public Services: Code of Practice and Cross-Sectoral Guidance Notes and the Prudential Code.

The council is therefore required to set out its Treasury Management Policy and Strategy and to prepare an Annual Investment Strategy which sets out the council's policies for managing its investments and for giving priority to the security and liquidity of those investments.

Copies of the above policy and strategies are enclosed.

RECOMMENDATION: that

- i) the council adopts the CIPFA Treasury Management in the Public Services: Code of Practice and Cross-Sectoral Guidance Notes**
- ii) the Treasury Management Policy be approved**
- iii) the Treasury Management Strategy 2018/2019 be approved**
- iv) the Annual Investment Strategy 2018/2019 be approved**

Prepared by: Ann Hamilton, Financial Controller

Agreed by: John Balmer, Head of Finance

(e) FC/FA/6 Report by the Chief Financial Officer on the Robustness of the Estimates and Adequacy of Reserves

Section 4 and 6 of the Local Government Finance Act (Northern Ireland) 2011 requires the Council to have regard to a report, a copy of which is enclosed, from the Chief Financial Officer on the robustness of the estimates and adequacy of reserves when considering the estimates for the next financial year.

RECOMMENDATION: that the Report by the Chief Financial Officer on the Robustness of the Estimates and Adequacy of the Reserves be noted.

Prepared by: John Balmer, Head of Finance

Agreed by: Jacqui Dixon, Chief Executive

3.2 ATTENDANCE POLICY REVIEW

Members are advised that currently there are 4 attendance policies being applied across the Council. In practical and operational terms this makes the management of attendance difficult.

To support the effective management of attendance across the Council, it is proposed that the Council apply one Attendance Policy to all staff.

Previously management and trade unions had engaged in developing one Attendance Policy for new Antrim and Newtownabbey Borough Council employees. A further review of this Attendance Policy has now been completed and is **attached** at Appendix 1. This policy has been benchmarked against best practice and Lisburn & Castlereagh City Council.

The key refinements made to the Attendance Policy to apply to all staff are:

- One Single Trigger Process
- One Cautionary Review Process
- One Formal Case Review Process

Alongside the Managing Attendance Policy the Council offers a range of wellbeing initiatives to employees such as: counselling services; WRAP (Wellness, Recovery Action Plan); reduced membership fees for Council leisure centres; physiotherapy; screening services of the Action Cancer Big Bus; and men's health checks.

RECOMMENDATION: that the Council approves in principle, subject to trade union consultation, the draft Attendance Policy.

Prepared by Joan Cowan, Head of HR

Approved by Andrea McCooke, Director of Organisation Development

3.3 P/PLAN/027 RETENTION AND DISPOSAL OF RECORDS SCHEDULE – PLANNING SECTION

Following the transfer of the majority of planning powers to local Councils on 1 April 2015 the Council's Retention and Disposal Schedule (RADS) for planning files remained in line with the previous DOE Planning schedule pending review.

All 11 of the new Councils, through the Planning Senior Administrative Officer Group and in liaison with representatives from PRONI, have now reviewed the position and are proposing a revised RADS schedule (copy enclosed) which is consistent across all Councils. This revised RADS schedule will allow the Council to comply with both the current Data Protection Act 1988 and the forthcoming new General Data Protection Regulations which are due to come into operation in May 2018. The revised RADS schedule will also be taken in account in the specification for a new Planning Portal system to enable the Councils' to apply the retention and disposal requirements to both hard copy and electronic files.

The revised RADS schedule remains broadly in line with the previous DOE Planning schedule. The main change is the reduction in the retention period for planning files from 10 years to 6 years. Members are asked to note that Section 242 of the Planning Act (NI) 2011 requires for the permanent retention of a Public Register and therefore the main documents from planning application files, such as the application form, decision notice and stamped drawings and any other documents relevant to Section 242 of the 2011 Act will be permanently retained.

RECOMMENDATION: that the revised RADS schedule for planning files be approved.

Prepared by: Carol Houston, Deputy Principal, Planning

Approved by: Majella McAlister, Director, Community Planning & Regeneration

3.4 HR/ER/001 POLICY ON PAYMENT FOR ANNUAL LEAVE

In line with the Working Time Regulations, the Council makes provision for annual leave and, as part of its duty of care, encourages all employees to use their full entitlement throughout the year.

Arrangements are in place which allow employees to carry forward 5 days' annual leave automatically. In exceptional circumstances employees may carry up to 10 days' annual leave and/or up to 20 hours' Time in Lieu (TOIL), subject to approval from the Corporate Leadership Team. These arrangements are adequate to deal with the majority of employees.

In rare and exceptional cases where there are ongoing pressing service requirements, it may not be possible for an employee to use in excess of 10 days' annual leave and/or up to 20 hours' TOIL.

If permission is given to carry forward in excess of 10 days' annual leave and/or 20 hours TOIL, the problem could arise again the following annual leave year.

For this reason, it is proposed that consideration be given to paying up to the amount of untaken annual leave in excess of 10 days' and/or 20 hours' TOIL.

The **attached** policy has been drafted for Members consideration so that payment can be made for annual leave/TOIL in exceptional circumstances.

RECOMMENDATION: that the policy be approved.

Prepared by: Joan Cowan, Head of Human Resources

Approved by: Andrea McCooke, Director of Organisation Development

ITEMS FOR INFORMATION

3.5 FI/FIN/11 DRAFT RATES ESTIMATES UPDATE 2018/19

Members are reminded that detailed estimates were reported to the relevant committees in December 2017.

A revised draft rates calculation and estimates summary by service are **to follow** for Members' information.

RECOMMENDATION: that the report be noted.

Prepared by: Richard Murray, Management Accountant

Agreed by: John Balmer, Head of Finance

3.6 ST/HS/207 AGENCY STAFF UPDATE

Members are reminded that agency staff are used across the Council to provide temporary cover for absence such as:

- Maternity leave
- Secondments
- Sickness absence
- Vacant posts.

The use of agency staff is subject to a rigorous approval process, which requires the approval of the Corporate Leadership Team.

There is budgetary provision for the majority of posts filled via departmental salary budgets, salary contingency and grant funding.

The table below provides an update for Members on the use of agency staff as at November 2017 as compared to November 2016 and notes a reduction of 26 seasonal grounds maintenance operatives who left in October 2017.

Reason for Agency Worker	Nov 2017	Position Covered	Nov 2016	Comments
Additional Resource	14	4 x Seasonal Grounds Maintenance Ops Cleaner, Sentry Hill Receptionist Antrim Forum 6 x On Call Recreation Assistant/Leisure Attendant at Antrim Forum for Sunday early opening On Call Recreation Assistant/Leisure Attendant Antrim Forum On Call Leisure Attendant at Sixmile	23	Reflects the reduction of additional resources, some of which were related to temporary projects.
Filling Funded Posts	5	3 x Affordable Warmth Project Officer Grange Community Project Officer PCSP Support Officer (PT)	6	Changes in Affordable Warmth
Covering Sickness/ Maternity Leave	5	3 x Waste Operative, ESD Receptionist (Valley) Building Control Surveyor	5	

Covering vacancies until structures filled	32	Conferencing & Cultural Events Manager 2 x Arts Technician Front of House Sales Assistant, Old Court House Receptionist (Clotworthy) Tackling Deprivation Officer Clerical (Building Control) Systems Support Assistant	11	Increase due to vacant posts
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		Payroll Manager HR Officer HR Assistant Activity Coach – Disability 2 x Recreation Attendants Pavilion Attendant (Lilian Bland Pavilion) Team Leader Parks CSD 4 x Grounds Maintenance Operative Caravan Park Attendant (JLSP) Central Services Supervisor 4 x Waste Operatives, CSD 3 x Waste Operatives, ESD 3 x Driver Site Operatives		
Covering career breaks/secondments	6	Systems Support Assistant E Communications Officer Clerical Officer Leisure Grounds Maintenance Operative Waste Operative Clerical Officer Waste	4	Additional Secondments/Career Breaks
TOTAL	62		49	

The table above excludes limited ad-hoc agency cover, which is necessary to provide operational cover, at short notice.

Appendix one (**enclosed**) sets out expenditure on agency workers in November 2017. The cost of agency staff has reduced for the period 1 April 2017 to 30 November 2017 at 7.63% of all staffing costs compared to 7.91% for the same period last year.

RECOMMENDATION: that the report be noted.

Prepared by: P Greer, Human Resources Officer

Reviewed by: J Cowan, Head of Human Resources

Approved by: A McCooke, Director of Organisation Development