



Comhairle Ceantair
Lár Uladh
Mid Ulster
District Council

Finance and Procurement Department

SERVICE PLAN - 2019 / 20

Date

Consulted within staff team

24/05/2019

Discussed & signed off by Director

31/05/2019

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1.0 OVERALL PURPOSE AND SCOPE OF THE SERVICE

1.1. Purpose and Scope of the Service

The Finance department includes the following service areas:-

- Budget setting
- Financial reporting
- Management reporting
- Cash and bank management
- Supplier processing
- Payroll processing
- Income collection
- Treasury management
- Procurement
- Insurance

The finance section has been rationalised to one site in Cookstown with the procurement section remaining in Dungannon.

1.2 Responsibilities

The section is specifically responsible for the following functions:

The department is responsible for:

- Budget setting and ensuring that Council has access to sufficient finance to deliver its services and achieve its objectives
- Financial reporting –this includes preparation and submission of annual financial statements and all other legislative reporting requirements
- Facilitating effective budgetary control by delivering meaningful, accurate and timely reporting of financial performance against budget
- Operation of an efficient and effective banking service and associated treasury management
- Operation of an efficient, effective and timely supplier processing service, which is compliant with Council's policies, procedures and other relevant standards, whether set by Council or other legitimate authority.
- Operating an efficient, effective and timely payroll service, which is compliant with all statutory requirements and Council policy
- Securing all major sources of income, e.g. rate income, rate support grant, de-rating grant
- Facilitating efficient, effective and compliant procurement of goods and services
- Ensuring that Council is adequately insured against all reasonable and foreseeable risks in accordance with statutory requirements and Council's risk appetite

1.3 Customers & Stakeholders

Customers & Stakeholders
<ul style="list-style-type: none">Those we provide payroll services to – Employees, councillors and independents
<ul style="list-style-type: none">Those we pay for goods and services - Suppliers
<ul style="list-style-type: none">Those we make grants and contributions to – Recipients of financial support from Council
<ul style="list-style-type: none">Those we report to internally – Councillors, Senior Management Team, Heads of Service, etc.
<ul style="list-style-type: none">Those we report to/communicate with externally – LG Audit, DfC, HMRC, NILGOSC, funding bodies, public etc.
<ul style="list-style-type: none">Those we collaborate with – other councils

1.4 Performance Overview in 2018/19

The following table provides a progress summary and the impact made by last years' Service Plan (2018-2019). It also details key successes, a summary of the end of year progress, remaining challenges for the Service and how it made a difference.

2018/19 Performance Overview	End of Year Progress Status: Completed/Commenced/Other
<ul style="list-style-type: none">Multi-disciplinary team established and populated with all team members appointed and demonstrating capability and experience of working across all transactional functional areas	<ul style="list-style-type: none">Completed
<ul style="list-style-type: none">Documented MUDC standing financial instructions and financial operating procedures in place	<ul style="list-style-type: none">CommencedProject was delayed due to need to comply with HR procedures associated with relocation to Cookstown Office and staff restructuringA considerable amount of work has been undertaken regarding documenting procedures. Procedures have been documented for the three agreed priority areas of creditors, weekly payroll and income and bank and have been operational from 1 March 2019.

	<ul style="list-style-type: none"> • It has not been possible to complete work on drafting STI's by 31 March 2019. • This action has been subsumed within the design and implementation of the new Financial Management Information system, which Council authorised the procurement of in December 2018
<ul style="list-style-type: none"> • Weekly payrolls merged and operational 	Completed
<ul style="list-style-type: none"> • Budget setting – improvement in process to ensure Rate struck and budgets agreed by prescribed date and with improved engagement with budget holders, SMT and Members throughout the process 	Completed
<ul style="list-style-type: none"> • New reports and enquiries developed and existing reports reviewed 	Completed
<ul style="list-style-type: none"> • Advancement of process to specify and make recommendation to Council to procure financial accounting application 	Completed
<ul style="list-style-type: none"> • Procurement – review of policies, guidance and templates to ensure aligned with e-ordering 	<ul style="list-style-type: none"> • This has not been able to be progressed due to: <ul style="list-style-type: none"> • increased workload in this area (number of procurement exercises increasing from 61 to 99 year on year); • training/ support required to be provided to staff generally following roll-out of e-ordering since 1 April 2018; and • increased number of funded projects with BREXIT related deadline for procurement, which necessitates focus on procurement exercises as opposed to review and update of documentation.
<ul style="list-style-type: none"> • Retender banking service and cash collection service 	Completed
<ul style="list-style-type: none"> • Tender property valuation service 	<ul style="list-style-type: none"> • Procured via ESPO framework • Unable to tender until Department for Communities

	concludes its discussions with the NIAO in relation to the specification of the service to be tendered
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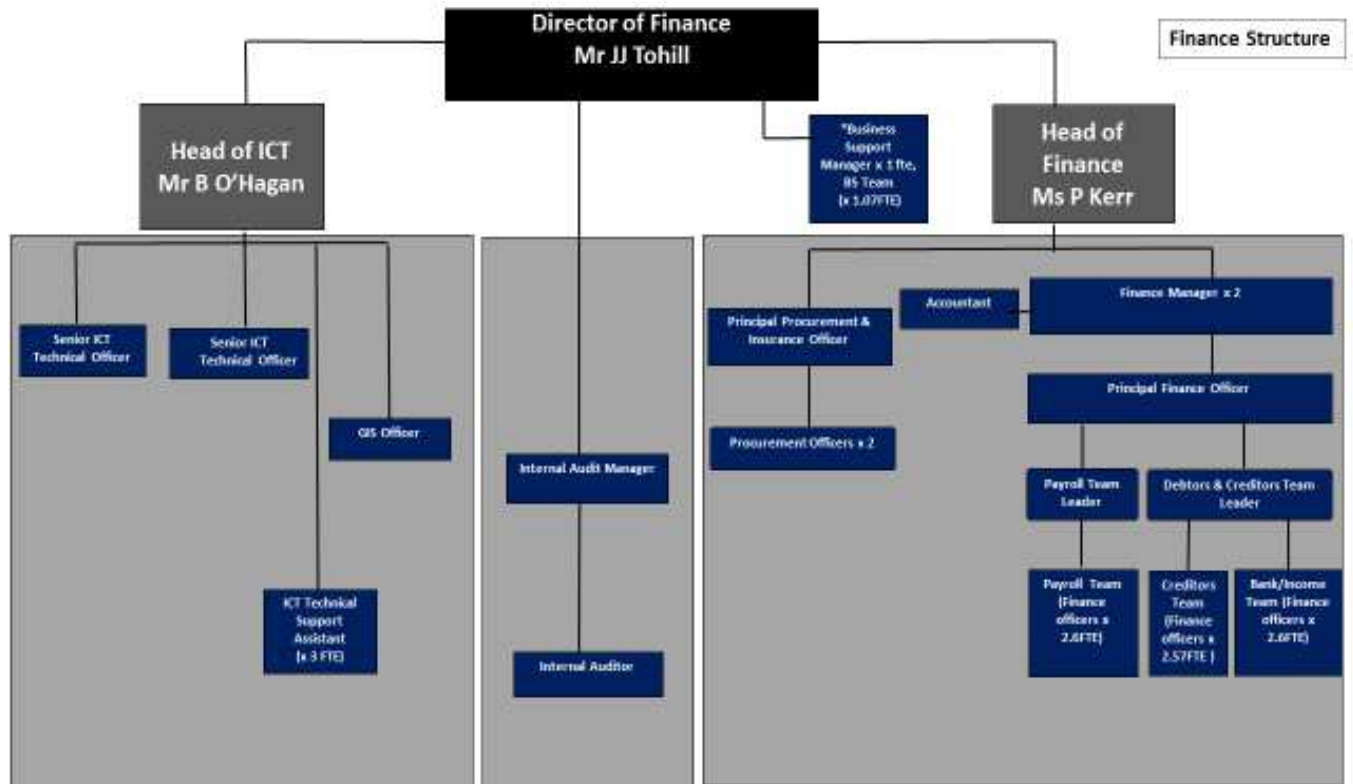
2.0 SERVICE WORKPLAN 2019/20

The following tables confirm the resources, financial and people, which the Service has access to throughout 2019-20 to deliver its actions, activities and core business.

2.1 Budget 2019/20

Service Budget Headings	£
Staffing costs	669,501
Insurance	751,905
Other	84,870
Interest payable	301,833
Minimum Revenue Provision and capital financing	4,637,700
Gross Budget	6,445,809
Income	0
Net Budget for 2019-20	6,445,809

2.2 Staffing Complement - 2019/20



Staffing	No. of Staff
Head of Service	1
Managers	2
Officers	7
Remaining Team	7.46
Total	17.46

SERVICE WORK PLAN

Link to Community Plan Theme:	Corporate Plan Theme						
Choose an item.	Choose an item.						
Service Objective	How Will we measure the impact of our work (PI's)	Where are we now? (Baseline data)	What do we want to achieve? (Targets)	How Will we get there?			
				Key Actions	Dates	Owners	Outcome
Council's new financial system – Technology One - Successfully delivered within agreed timescales	Key Milestone & governance issue – appropriate plans in place	Draft plan and Strategy and Quality plan presented	Agreed planning documentation	<p>*Note all dates are per draft project plan</p> <ul style="list-style-type: none"> Project plan and Strategy and Quality plan agreed 	*	Council project Board	Both plans approved by project board
	How system configured is key to future operation	At beginning of workshops no detailed knowledge of system functionality	Understand system flexibility and configuration options	<ul style="list-style-type: none"> Solution verification workshops 	12/03/19 to 05/06/19	Council project team	Workshops attended by relevant staff
	Key Milestone – design sign off	Draft System Design Documents (SDD's) - presented	SDD's formally approved	<ul style="list-style-type: none"> Solution verification documentation agreed 	August 2019	Council Project Board	Design agreed by project board

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				Key Actions	Dates	Owners	Outcome
Councils new financial system – Technology One - Successfully delivered within agreed timescales	Ensuring proper project governance in place	New project	Problems identified early, and appropriate corrective action taken	<p>* Note all dates are per draft project plan</p> <ul style="list-style-type: none"> Weekly Project Management catch up call in place Board Meetings taking place every 3 weeks 	<p>*</p> <p>Weekly from 12/03/19</p> <p>Every 3 weeks from the 05/04/19</p>	<p>Council project manager</p> <p>Project Board Director</p>	<p>Weekly catch up calls taking place</p> <p>Calendar of meetings in place</p>
	Key data sets transferred from old system to new	Support required to extract data from old system	Key data sets migrated to new system	<ul style="list-style-type: none"> Data Migration 	Ongoing for duration of project	Council project manager	Data successfully migrated

SERVICE WORK PLAN

Link to Community Plan Theme:	Corporate Plan Theme						
<i>CMP 1.1 Economic Growth - We prosper in a stronger & more competitive economy</i>	<i>CRP 1.1 Delivering for Our People - High performing services focused on customer and value for money</i>						
Service Objective	How Will we measure the impact of our work (PI's)	Where are we now? (Baseline data)	What do we want to achieve? (Targets)	How Will we get there?			
				Key Actions	Dates	Owners	Outcome
Council's new financial system – Technology One - Successfully delivered within agreed timescales	By having a robust testing plan in place with key milestones re moving through the cycles	New system so no base-line knowledge or experience of Technology One – cycle 1 and 2 will be followed by further training by Tech One	Successful completion of 3 cycles of testing giving assurance to the Council that the system is sufficiently robust to “go live”	<p>* Note all dates are per draft project plan</p> <ul style="list-style-type: none"> Detailed resourced testing plan agreed User acceptance testing - cycle 1 lasting 4 weeks User acceptance testing - cycle 2 lasting 3 weeks User acceptance testing - cycle 2 lasting 3 weeks 	<p>*</p> <p>August 2019</p> <p>November 2019</p> <p>January 2020</p> <p>February 2020</p>	<p>Project Board</p> <p>Council Project manager</p> <p>Council Project manager</p> <p>Council Project manager</p>	<p>Testing plan approved</p> <p>Testing cycle 1 completed</p> <p>Testing cycle 2 completed</p> <p>Testing cycle 3 complete</p>

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				Key Actions	Dates	Owners	Outcome
Councils new financial system – Technology One - Successfully delivered within agreed timescales	Identified key users have received appropriate training	New system so no base-line knowledge or experience of Technology One	Key users trained to extent that they can train others to facilitate testing plan	* Note all dates are per draft project plan <ul style="list-style-type: none"> Key User training – this will be provided by Tech One, but these users will need to train others to facilitate testing 	September /October 2019	Council Project Manager	Key user training completed
	System configured in accordance with agreed SDD's	Test environment created with limited configuration	System configured to Council specification, permissions and workflows	<ul style="list-style-type: none"> System configuration – as the system provides great flexibility and can be configured in lots of different ways it means everything has to be configured to suit. 	September /October 2019	Council Project Manager	System configuration completed

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				Key Actions	Dates	Owners	Outcome
Councils new financial system – Technology One - Successfully delivered within agreed timescales	Successful implementation of these 3 milestones will mean that Council's Technology One finance system fully operational	In project planning / verification phase	We want to achieve the "go live" date	* Note all dates are per draft project plan	*		
				• Cut over plan agreed and implemented	16/03/19	Council project manager	Cut over date met
				• Go live date	31/03/20	Project board	Go live date achieved
				• Handover to technical support and end user training	15/05/19	Project board	All major issues resolved, and handover agreed

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Service Objective	How Will we measure the impact of our work (PI's)	Where are we now? (Baseline data)	What do we want to achieve? (Targets)	How Will we get there?				
				Key Actions	Dates	Owners	Outcome	
To provide an effective and efficient finance function for all Councils stakeholders by adhering to finance's schedule of work within agreed timelines	Statutory obligations are being adhered to.	All statutory deadlines have currently been met.	To continue to meet all statutory deadlines in relation to financial reporting and taxation	• Draft Financial Statements for the year ended 31 March 2019 filed with the department	30 June 2019	Head of Finance	Signed accounts with the department by timeline	
				• Financial Statements for the year ended 30 September approved by Council and published	30 September 2019	Head of Finance	Approved accounts published by timeline	
				• Whole of government accounts, Treasury return, VAT, CIS and all other statutory	Various	Finance Managers	Completed and submitted by timelines	

				returns completed and submitted			
SERVICE WORK PLAN							
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Service Objective	How Will we measure the impact of our work (PI's)	Where are we now? (Baseline data)	What do we want to achieve? (Targets)	How Will we get there?			
				Key Actions	Dates	Owners	Outcome
To provide an effective and efficient finance function for all Councils stakeholders by adhering to finance's schedule of work within agreed timelines	Rates struck, and budgets agreed by prescribed date and with improved engagement with stakeholders throughout the process	Rates struck, and budgets agreed by the prescribed dates – reporting and profiling are areas for improvement	Early presentation of accurate budgetary information for consideration by SMT and members	• Process and timetable agreed for 2020/21	31/08/19	Head/Director of Finance	Agreed timeline with SMART objectives
				• Accurate and prompt adjustment of draft budget to incorporate additional information and potential alternative delivery methods and timely reporting to same to SMT and members	Ongoing	Director of Finance	Greater opportunity for officers/members to consider issues and options in relation to 2020/21 budget

				<ul style="list-style-type: none"> Budget struck by 15/02/20 	15/02/20	Director of Finance	Budget struck by 15/02/20
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SERVICE WORK PLAN SERVICE WORK PLAN

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				Key Actions	Dates	Owners	Outcome
To provide an effective and efficient finance function for all Councils stakeholders by adhering to finance's	Internal management reporting deadlines are being adhered to	Some internal reporting deadlines are being missed	We want to meet all internal reporting targets	<ul style="list-style-type: none"> Monthly Financial Report to SMT 	Per Financial reporting timetable	Finance Managers	Agreed timetable adhered to
				<ul style="list-style-type: none"> Monthly Financial Report to P & R committee 	Per committee	Head of Finance	Agreed timetable adhered to

schedule of work within agreed timelines				<ul style="list-style-type: none"> Monthly Over-time and payroll reports 	meeting schedule Monthly to SMT	Finance managers	Provided monthly to SMT
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				Key Actions	Dates	Owners	Outcome
To provide an effective and efficient finance function for all Councils stakeholders by adhering to finance's schedule of work within agreed timelines	Creditor and payroll payment runs being made to agreed timetable	Invoices going through manual clearing is increasing the payment time for some suppliers	We want to meet all internal payment targets	• Agreed timetable for creditor and payroll payments	Ongoing	Team Leaders	Timetable agreed
				• Creditor and payroll payments being made within agreed timescales	Per timetable	Team Leaders/ Team members	Agreed timetable adhered to
				• Creditors control reconciled	Monthly	Team Leaders	Completed and approved by team leaders

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Service Objective	How Will we measure the impact of our work (PI's)	Where are we now? (Baseline data)	What do we want to achieve? (Targets)	How Will we get there?			
				Key Actions	Dates	Owners	Outcome
To provide an effective and efficient finance function for all Councils stakeholders by adhering to finance's schedule of work within agreed timelines	Receipting, invoicing and reconciliations being carried out to agreed timetable	From Oct 18 bank accounts have been reconciled in 10 working days – debtors and creditors reconciliations timelines have not always been met	To maintain the bank reconciliation KPI of 10 working days and have both creditors and debtors reconciliation carried out monthly	• Receipting of income and monthly invoice runs	Per monthly cut off schedule	Team members	Cut off schedule adhered to
				• Debtor account reconciled	Monthly	Team Leaders	Completed and approved by team leaders
				• Bank accounts reconciled	10 working days	Finance managers	All bank accounts reconciled and approved by finance managers

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				Key Actions	Dates	Owners	Outcome
To provide an effective and efficient procurement function for all Councils stakeholders by adhering to procurement's schedule of work within agreed timelines	The number of procurement exercises carried out by the procurement department	Number of procurement exercises carried were:- 2017/18 = 61 2018/19 = 99	We want to process Council's procurement exercises within agreed timescales	• Tender opportunity returns from department to be collated for Director of Finance to report to SMT	June 2019	Procurement officers	Agreed schedule of tenders with SMT prioritisation
				• To progress the compliant procurement exercises per the tender opportunity schedule and in accordance with SMT prioritisation	Ongoing	Principal procurement and insurance officer	Procurement exercises carried out in accordance with the schedule

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Service Objective	How Will we measure the impact of our work (PI's)	Where are we now? (Baseline data)	What do we want to achieve? (Targets)	How Will we get there?			
				Key Actions	Dates	Owners	Outcome
To provide an effective and efficient procurement function for all Councils stakeholders by adhering to procurement's schedule of work within agreed timelines	The contract and DAC register are part of the governance arrangements in relation to the Councils Procurement policies	Monthly reporting has been in place in 2018/19	We want to work with directorates to improve quality of the information	• Contract register updated to Director / Head of Service shared folder monthly	Monthly	Principal procurement and insurance officer	Monthly update provided
				• Contracts register reported monthly to P & R committee	Per committee meeting schedule	Head of Finance	Agreed timetable adhered to
				• DAC register reported monthly to P & R committee	Per committee meeting schedule	Head of Finance	Agreed timetable adhered to

SERVICE WORK PLAN

CMP 1.1 Economic Growth - We prosper in a stronger & more competitive	CRP 1.1 Delivering for Our People - High performing services focused on customer and value for money						
Service Objective	How Will we measure the impact of our work (PI's)	Where are we now? (Baseline data)	What do we want to achieve? (Targets)	How Will we get there?			
				Key Actions	Dates	Owners	Outcome
To ensure that the appropriate level of insurances are in place and provide advice and guidance to Councils stakeholders in relation to insurance matters	Governance issue – that Council is adequately insured against all reasonable and foreseeable risks	Some uninsured losses but arising from legacy claims	Do not want to be exposed to uninsured claims	<ul style="list-style-type: none"> To provide the Director of Finance with the relevant renewal information To bring Insurance renewal report to P & R committee 	As per contract with current brokers Per committee meeting schedule	Principal procurement and insurance officer Director of Finance	Annual renewal information provided Agreed timetable adhered to

3.0 IMPROVING OUR SERVICE AND MANAGING PERFORMANCE

3.1 Annual Improvement Objectives and Associated Programs

The Council has set a number of annual improvement objectives and associated programs (projects and activities) for 2019/20, which aim to bring about improvement. The improvement objectives and key improvement programs, set out Council's contribution to the sustainable Community Plan for the District; against which we can monitor and report progress.

Each Council department provides resources to assist with the improvement activities contained within each improvement project (individual service improvement contribution activity linked to corporate improvement programs can be found in 3.2 of the service plan). The annual improvement objectives also align to the Council's main corporate planning document, which contains the council's strategic direction and main priorities.

The Council will focus on the following improvement objectives for 2019 to 2020:

- 1. To assist the growth of the local economy by increasing the number of visitors to our district.*
- 2. To improve the average processing time of Local Planning Applications (New).*
- 3. To improve the accessibility of our services by increasing the number available online.*
- 4. To support people to adopt healthier lifestyles by increasing usage of Council Recreational Facilities.*

We utilise outcome based accountability methodology to manage our performance. This tells us the impact our services are having on communities. Further detailed information relating to Council's improvement objectives, associated activities, outcome indicators, projects and targets is available at www.midulstercouncil.org/Council/Performance (Mid Ulster Council's Improvement Plan 2019- 2020) or by contacting the Democratic Services Team on 03000 132132.

4.0 Equality

The council is committed to fulfilling its obligations under Section 75 of the Northern Ireland Act 1998. This commitment is demonstrated by allocating the appropriate time, people and resources to fulfil our equality duties. The Equality Scheme commits us to implementing our duties effectively and in a timely way alongside implementing this Service Plan. Without impacting upon our obligations, when carrying out our equality duties we will also take into account the desirability of promoting good relations between people of different religious belief, political opinion or racial group. We are also required to take into account the need to

promote positive attitudes towards people with a disability and encourage the participation of people with a disability in public life. Mid Ulster District Council are committed to fulfilling our disability duties and we set out how we intend to do this in our disability action plan.

3.2 Service Contribution to the Corporate Improvement Objectives/Projects

Link to Community Plan Theme:		Corporate Plan Theme						
CMP 4.2 Health & Wellbeing - We have better availability to the right service, in the right place at the right time.		CRP 1.2 Delivering for Our People - Increase Access to services and customer experiences across the district						
Improvement Plan Objective	Service Objective	How Will we measure the impact of our work (PI's)	Where are we now? (Baseline data)	What do we want to achieve? (Targets)	How Will we get there?			
					Key Actions	Dates	Owners	Outcome
3.0 To improve the accessibility of our services by increasing the number available online	To continue to lead and facilitate Council's advancement of CIP 3	Progress towards CIP 3 targets and milestones	See CIP 3 baseline (2019/20)	See CIP 3 milestones and targets (2019/20)	<ul style="list-style-type: none"> See CIP 3 milestones and targets (2018/19) 	Ongoing	JJ Tohill	Improved accessibility of services by increased number available online

3.3 RISK MANAGEMENT OF SERVICE

The purpose of risk management is to manage the barriers which prevents the Council from achieving its objectives. This section of the service plan includes space for the Service to input their key risks (in summary form), which have been identified during the business planning process. The Council uses risk management to maximize opportunities and minimize risks. This improves its ability to deliver priorities and improve outcomes. This is why the Council deems it important to link business planning and risk management. Risk Management aims to:

- Help the Council achieve its overall aims and objectives
- Manage the significant risks the Council faces to an acceptable level
- Assist with the decision-making process
- Implement the most effective measures to avoid, reduce and control those risks
- Balance risk with opportunity
- Manage risk and internal controls in the most effective way.

This table illustrates the risks identified to deliver the Services business in 2019-20.

Risk Ref Number	Description of Risk	Risk Rating	Mitigation Activity
1.	Technology One Finance Project – failure to deliver within budget, timescales and scope due to scheduling, budgetary, resource, technical and data risk factors	16	<p>Ongoing project management to include monitoring against progress in attaining project objectives while maintaining BAU</p> <p>Meeting between the 2 relevant directors to discuss resource implications and potential solutions/compromises to ensure that HR/Payroll project does not derail Technology One Finance project</p> <p>Project board meeting every 3 weeks</p> <p>Bid for non-recurring resources as necessary to maintain BAU</p>
2.	Staff resourcing difficulties – may not be sufficient staff with technical procurement exercise to resources the level of tenders	12	<p>Ongoing monitoring of workload and projected workload together with potential for unforeseen and uncontrollable delays elsewhere (i.e. not in Procurement section) in procurement related activity</p> <p>Tender opportunity schedule being prepared to inform SMT and assist, where necessary, with prioritisation of Procurement section effort</p>

			Bid for non-recurring resources as necessary to maintain BAU with particular emphasis on ensuring that funding is not lost to Council
3.	Potential for uninsured losses	9	Early identification of potential uninsured losses Consideration of potential to insure uninsured activities cost effectively Legal advice commissioned as appropriate Where appropriate, financial provision made as soon as practicable
4.	Treasury management – investments may be at risk due to bank failure	8	Treasury management policy updated to reflect best practice in relation to minimisation of risk based on principles of security, liquidity and yield
5.	Central government fails to set budget	8	Monitor situation and lobby central government as appropriate in absence of NI Assembly
6.	Inadequate cover – employers liability	5	Discuss with insurance broker, obtain affordable excess layer cover to satisfy Council's risk appetite
7.	Landfill site provision – discount factor financial provision	6	Take appropriate professional advice as necessary re valuation and ensure compliance with accounting and technical standards

8.	Procurement policy not being followed	9	New financial system has a newly released 'sourcing module' which offers significant opportunity to improve controls, notably in relation to decentralised procurement (< £30,000)
9.	Rates support grant	6	Continue to monitor potential for Department and/or 'losing' (reference outcome of Court of Appeal decision re calculation of distributable amounts between eligible councils) councils and, where appropriate, make necessary submissions and/or interventions
10.	Legacy financial procedures	9	Work on documenting priority procedures has been completed Documentation of remaining procedures subsumed within implementation of new finance system
11.	Fraud, bribery and theft	8	Continue to monitor and evaluate internal control environment to ensure that it remains effective for the prevention of fraud, bribery and theft Continue to be alert to the possibility of whistleblowers

Rating	Descriptor
16 - 25	Extreme Risk (immediate action required)
10 - 15	High Risk (urgent action required)
7 - 9	Moderate Risk (action required)
1 – 6	Low Risk (keep under review)