Purpose:
To consider progress on the matters arising from previous Governance & Audit Committee meetings.

Recommendation: That members note progress on the matters arising and request corrective action if necessary.

Matters arising Schedule

Active/Closed	Active			
Meeting	Governance and Audit Committee			
Row Labels	**Action Required**	**Assigned To**	**Comments**	**Due Date**
Amber				
MINERVA TRAINING FOR ALL MEMBERS	**extract from mins of meeting 27/2/14** **In light of the increased use being made of Minerva, the Committee further indicated that they would welcome some all Member training on using and navigating the site.** **Please arrange such training, demo services happy to assist in comms etc.**	Reeks, Alex		30/04/2014

Black					
67 ELSWITHA SMART ACTION PLAN – PROGRESS UPDATE (GA.46 13/14)	**Extract from mins of mtg 27/2/14** **In the ensuing debate, Members challenged the status of action number 20/140 as completed and considered there was still some work to undertake before it could be deemed that a comprehensive framework for disseminating information to members has been put in place. On reflection Officers were in agreement, and undertook to change this item to an amber status and took the opportunity to outline some of the ideas to aide communication which were being developed.** **please amend status on action**	Sturgess, Mark			30/04/2014
Asset Management Progress Report	**Members of G&A Committee would like an update in advance of their next meeting and a report, at their next meeting, on progress concerning the following outstanding Audit Recommendations:** **2. Asset Management- John Rice** **The Committee would like the above-mentioned officers to attend the Committee in person.**	Rice, John	**OFFICER WILL BE IN ATTENDANCE AND AN UPDATE SCHEDULE IS ATTACHED TO THIS MATTERS ARISING REPORT AS APPENDIX B**		26/06/2014

Asset Management Updates	To circulate to Members of G&A updates on progress on the Asset Management Actions highlighted in the Internal Audit Plan	Rice, John	**SEE APPENDIX B TO THE MATTERS ARISING REPORT PREPARED FOR CTTEE MEETING ON 26 JUNE 14**	26/06/2014
Localism Progress Report	**Members of G&A Committee would like an update in advance of their next meeting and a report, at their next meeting, on progress concerning the following outstanding Audit Recommendations:** **1. Localism- Jo Riddell** **The Committee would like the above-mentioned officers to attend the Committee in person.**	Riddell, Joanna	**Officer will be in attendance and an update schedule is attached to this matters arising report as Appendix A**	26/06/2014
NNDR and Growth Progress Update	**Members of G&A Committee would like an update in advance of their next meeting and a report, at their next meeting, on progress concerning the following outstanding Audit Recommendations:** **3. NNDR and Growth- Mark Sturgess** **The Committee would like the above-mentioned officers to attend the Committee in person.**	Sturgess, Mark	**OFFICER WILL BE IN ATTENDANCE.** **AN UPDATE SCHEDULE IS ATTACHED TO THIS MATTERS ARISING REPORT AS APPENDIX D**	26/06/2014

Partnership Progress Report	Members of G&A Committee would like an update in advance of their next meeting and a report, at their next meeting, on progress concerning the following outstanding Audit Recommendations: 4. Partnerships -Alex Reeks The Committee would like the above-mentioned officers to attend the Committee in person.	Reeks, Alex	OFFICER WILL BE IN ATTENDANCE. AN UPDATE SCHEDULE IS ATTACHED AT APPENDIX E TO THIS MATTERS ARISING REPORT	26/06/2014
Project management progress report	Members of G&A Committee would like an update in advance of their next meeting and a report, at their next meeting, on progress concerning the following outstanding Audit Recommendations: 5. Project Management- John Rice The Committee would like the above-mentioned officers to attend the Committee in person.	Rice, John	OFFICER WILL BE IN ATTENDANCE AND AN UPDATE SCHEDULE IS ATTACHED TO THIS MATTERS ARISING REPORT AS APPENDIX C	26/06/2014
Green				
Matters Arising Updates	To ensure that all Matters Arising from the Committee are followed up and completed appropriately by officers to which they are assigned	McGarry, Jeanette		26/06/2014

Findings, Recommendations and Agreed Actions Localism Audit – APPENDIX A

No	Findings	Recommendations	Agreed Actions	Priority	Responsibility & Timescale	Current Activity
1	The localism strategy has focused on initial work up to and including the area summits. Since completion of summits officers have received less strategic direction resulting in: ■ Confusion over direction. ■ No clear milestones. ■ The programme is not a priority for some. ■ A varying level of focus on the areas from their teams.	Management should develop a localism strategy or overarching project plan which maps out objectives, key milestones in achieving these and includes responsibilities and timescales so that progress can be tracked, successes celebrated and delays or issues addressed promptly.	The idea of a Localism Strategy is something that the localism team wish to progress. This will be scoped as a project and be presented to the Localism Board. Due to the current capacity in the team they will not be in a position to move forward with the scope until April 2013	Medium	Jo Riddell – Head of Localism 31 May 2013	Ruth Farningham took up the position of Team Manager in March 2013. One of her priorities has been to develop the Localism Strategy, including a vision, objectives and work plans for the team. She has regular one to ones with the team and has had an away day to develop this. The Challenge and Improve Committee, through a Member/Officer working group have carried out a strategic review of the Localism Programme The results of this are being presented to Challenge and Improve Committee and prosperous Communities Committee.

2	Senior Management thinking on what the 'Area Plans' for each of the six areas should cover and look like has changed from that included in the original methodology and clarity is needed for progress to be made. It is unclear what plans will focus on, who will produce them and the format they will take. As such production of the plans has fallen behind the original schedule.	Focus, format and responsibility for producing the area plans should be agreed among Senior Management and the methodology updated to reflect this. The approach should be clarified with all relevant staff. We also advise a basic template for plans is made available to responsible staff as this will aid them and ensure some consistency across the six areas.	A meeting with the directors will be held in January to scope the approach to area plans. Spatial issues i.e. housing, development need to be includes, as well as community issues so the approach to these will be further developed. A template has now been developed which guides how the plans will look and what information officers need to record.	Medium	Mark Sturgess- Chief Operating Officer 31st January 2013	There have been a number of meetings to discuss the use of Area Plans. It was agreed that these should include spatial as well as community issues and be led by the Planning and Regeneration Team. It is considered that further discussion needs to take plan with regard to Area Plans and their use, including who is going to lead on these. JR to discuss with Mark.
3	Delivery of outcomes is varied across the priority neighbourhoods, but we noted that there are no action plans to track progress for the South West of Gainsborough or Park Springs. In addition the local	Action plans need to be developed for these priority neighbourhoods to define approach, key actions and allow progress to be measured. Focus on relationship building and developing effective communication channels for Park	The Park Springs action plan has been scheduled to be completed in 2013, using the completed South West of Gainsborough plan as a template and guide.	Medium	Jo Riddell – Head of Localism 30 June 2013	An action plan for the Park Spring area is not being progressed at this time due to priority working being undertaken in the SWW and the Ex MOD villages. There is work on going in the Park Springs area, which is being led by Acis.

	team did not have detailed knowledge or progress examples for Park Springs as regular communication and feedback with the lead partner is not as established as it is for South West of Gainsborough and the Ex MOD villages.	Springs should also be a priority.				

Findings, Recommendations and Agreed Actions - Appendix B

No	Findings	Recommendations	Agreed Actions	Priority	Responsibility & Timescale	Evidence of action
1	The WLDC Corporate Asset management plan 2012-15 is primarily based on a copy of Northampton Council's asset plan and it was not clear that it had been fully updated and tailored to WLDC assets needs. It contains some gaps in key information and makes reference to what still needs to be done to be a complete detailed document. This does not provide assurance that the strategy can fulfil its aim of detailing the Councils approach to asset management. The possible impact on the Council is that this can undermine the processes, governance and Council ambition to maximise asset use.	The Council reviews the Asset Strategy to gain assurance that the document is fit for purpose, reflects district needs and contains sufficient detail to support the section and Council's asset aims.	The Asset strategy is to be reviewed This review links to updating and populating the new asset software. Work is ongoing to do this and includes valuation surveys, stock condition surveys and energy performance certificate work which need to be completed.	High	John Rice, Interim Commercial Director 31.06.2014	Scoping study undertaken to ID gaps and action required. RICS qualified Interim Manager commissioned to deliver Institute of Asset Management standards compliant asset management policy framework and an integrated AMP. Corporate Asset Management Policy by 30/06/14. Balance of policies and plan by 31/12/14. (NB for the Plan framework please refer to the attachment at the end of the table).

No	Findings	Recommendations	Agreed Actions	Priority	Responsibility & Timescale	Evidence of action
2	The Asset strategy makes reference to a service plan, which should provide the link between day to day staff duties and high level strategies. We found there is no implementation or service plan by which the service can implement the strategy and measure success. The lack of a service or implementation plan undermines the effectiveness and objective of the asset strategy. It also does not provide assurance that section day to day issues are being managed.	To support the service in achieving its objectives a detailed service plan should be in place. Management could consider how this will address current issues in the section by linking targets and day to day section tasks with strategic outcomes defined in the strategy.	Service plans are being introduced and all services will complete a plan as part of the new approved codes of practice. The Service Plan will incorporate a clear improvement plan and performance management systems to ensure the more effective management of the Council's assets.	High	Mark Sturgess Chief Operating Officer 31.Mar.2014	Service plan produced. Closed

No	Findings	Recommendations	Agreed Actions	Priority	Responsibility & Timescale	Evidence of action
3	We found for the Asset section there is no robust performance and reporting system in place for management to monitor performance and issues. Over the last 12 – 18 months the Asset section has been subject to significant changes, including a 50% reduction in staff. Inevitably this has impacted on the delivery of some key tasks. Issues identified include, • A lack of performance indicators and internal reporting on performance, • Regular minuted one to ones not maintained. • No service or implementation plan to support the asset strategy and document how issues in the section will be addressed, • No regular reporting of voids or yields, • Maintenance costs not fully recorded and documented. • A decision on an asset	The Council caries out a review of how the asset service can be supported and managed. To provide assurance on performance, issues and that capacity and workloads match Council ambitions and requirements on asset management and commercial aims. Issues that could be considered include, 1. Performance reporting requirements to provide assurance that services are managing day to day demands, 2. Assessing workloads and staff structures, 3. Documented hand over of duties when staff move.	The introduction of the service plan together with the approved codes of practice will address workload and responsibilities. Performance details and reporting will be addressed through the update and management of the new data base for assets. The Director will undertake a thorough review of performance management, work prioritisation, workloads and leadership in the strategic growth service areas and agree revised arrangements as required for effective	High	Mark Sturgess Chief Operating Officer 31.Mar.2014 M.Sturgess Director 31.July.2014 Mark Sturgess Chief Operating Officer 31.Mar.2014	Balanced scorecard being introduced across services. Asset Management Indicators included. Workload prioritisation work undertaken which has identified serious gaps in the resourcing of the service. Options appraisal underway to ID solutions to increase resources but within existing resources.

No	Findings	Recommendations	Agreed Actions	Priority	Responsibility & Timescale	Evidence of action
	specific IT system has taken over twelve months to resolve.		performance management.			

No	Findings	Recommendations	Agreed Actions	Priority	Responsibility & Timescale	Evidence of action
4	We found that officers were not clear on the governance, roles and responsibilities and reporting lines for asset work. The links and inter dependencies of the Asset section, Land and Property Group, Special Projects Group and Business Improvement section were not fully understood by all staff. It is important for staff and for clear decisions making that governance and roles and responsibilities are understood. Where this is not clear it risks undermining Council ambitions and aims on asset utilisation and asset commercial decisions.	Roles, responsibilities and reporting lines should now be documented and agreed for all asset work. Including clarity on the role and reporting requirements of the Land and Property Group, Business Improvement, the Asset section and the Special Projects Group. Management should ensure that they consider how these all align to the Asset strategy and the Commercial strategy for a clear link between services, actions and strategic aims.	The adoption of the new codes of practice will address roles, responsibilities and reporting lines.	Medium	J.Rice Interim Commercial Director / Mark Sturgess Chief Operating Officer 31.March.2014	Weekly Property Group created and operational from February 2014. Meeting includes Team Leaders from Asset Management, Business Improvement (Empty Homes), Housing, Regeneration and the Commercial Accountant. Meeting used to update on progress and agree / task future actions. Email circulated clarifying roles and responsibilities between Groups. Completion of the Corporate Management Restructuring will deliver further clarification and rationalisation of roles.

No	Findings	Recommendations	Agreed Actions	Priority	Responsibility & Timescale	Evidence of action
5	The Council is investigating and acquiring new assets without an approved acquisitions and disposal policy in place. It is important that an approved strategy is in place before new assets are purchased. To ensure that decisions are made and supported in line with Council approved policy.	The Council should complete and approve an asset acquisition and disposal strategy. This should reflect the Councils overall asset plan and asset utilisation strategy and ensure that newly acquired assets support agreed Council aims and approved policies.	Agreed, the policy will be approved through the P&R committee and will be used to inform the asset strategy review.	High	J.Rice Interim Commercial Director 31.May.2014	See response top No1 re; Asset Management Plan. Draft Policy prepared together with procedural document. For consideration by CMT 28/05/14, then Prosperous Communities Committee July 2014. Accelerated Guidance under development with S151 Officer. ALL new acquisitions and disposals are now reported to the next available Policy & Resources Committee as a result of changes to the delegated powers in the Constitution. First report April 2014.

No	Findings	Recommendations	Agreed Actions	Priority	Responsibility & Timescale	Evidence of action
6	In November 2012 a number of assets were identified for potential sale. These were mostly small packets of land identified by the asset section. No follow through decision has been made about these assets. There is a risk that opportunities are missed to release assets and realise capital. It could also suggest that the Council should develop its decision making process and clarify its approach to asset disposals.	The Council could revisit the list and decide on the future approach of the identified assets and evaluate against the current strategy. Governance and communications need to be embedded to ensure that decisions are clear to all relevant sections and relate to Council strategy and policy.	The identified assets have been reviewed and discussed with the Leader of the Council (the portfolio holder to agree an action plan with short, medium and long-term actions. The Leaders Group have also been briefed. First site subject to a report to P&R Committee on 20/02/14 to seek agreement to progress development of the site.	Medium	J.Rice Interim Commercial Director 31.May.2014	Forward development plan created and reporting to CMT 28/05/14 and to go to Prosperous Communities Committee July 2014. Corringham Road site reported to P&R Committee Feb 2014. Site development plan commissioned and reporting to Members Group 06/05/14 with draft designs. Detailed designs and costing underway. Planning application June 2014; P&RC 04/09/14 completion on site April 2015. Broader proposal and options to be reported to Members for consideration September 2014 (see 8. below). Regular updates with Leader, CMT and Corporate Priories Group.

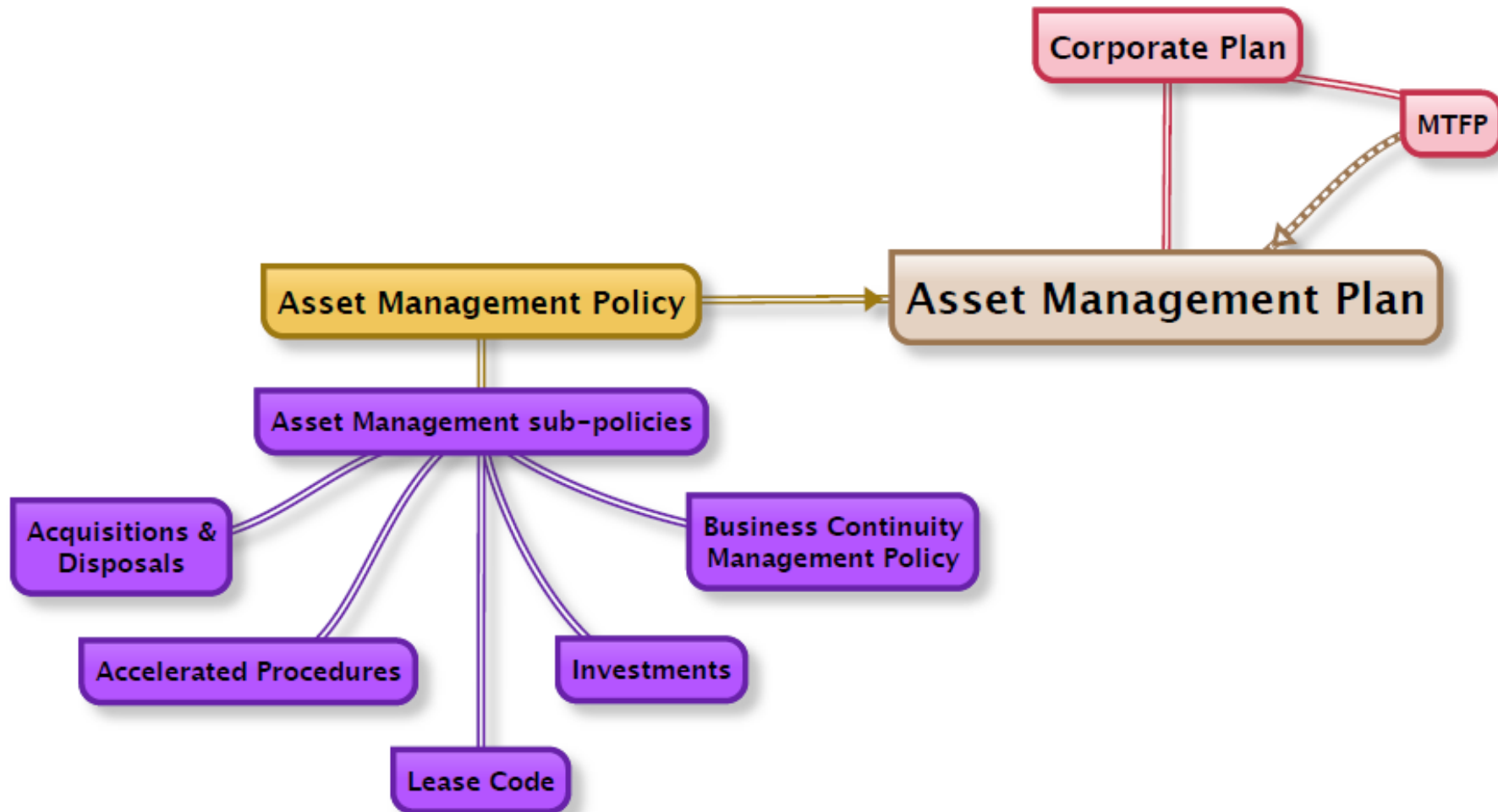| No	Findings	Recommendations	Agreed Actions	Priority	Responsibility & Timescale	Evidence of action
7	The Council should consider a review of processes for asset acquisition. We found that current practices and records do not provide assurance that officers understand the process and are not clear on roles and responsibilities. Our review identified, • There is no approved asset acquisition and disposal policy, • There is no minimum standard for record retention and audit trail of decisions, • Documented decisions made when business cases are presented to boards are not recorded. • We found no central records documenting challenge and scrutiny on presented business cases to boards, Working papers and supporting information are not centrally filed and retained.	Management are assured that processes and staff understanding are embedded for asset acquisition. Review and quality assurance of purchases and document retention can provide assurance to management that systems are in place and complied with.	The Commercial Director has become the single point of contact for these decisions. All outstanding business cases have been reviewed and action agreed. Future viable Business cases will be reviewed by the Director before they go to the Commercial board for decision. Providing a single point of contact for asset acquisitions and disposals will improve coordination and together with the APCOP (see action 4. above) will remove any future uncertainty.	High	J.Rice Interim Commercial Director 31.May.2014	The acquisition and disposal policy – see 5. Above. Council has adopted a new format for the Commercial Board. This requires the submission of a business case template at four Gateway Stages. Copies of all documentation retained on Minerva and progress checked via same system. Records taken of all decisions at the meetings. All acquisition and disposals require consultation with the S151 Officer which is undertaken as part of developing the business case report to the Commercial Board, or for small acquisitions (e.g. empty homes in SW Ward) through a business case template. Council has an agreed

No	Findings	Recommendations	Agreed Actions	Priority	Responsibility & Timescale	Evidence of action
						document management and disposal policy.

No	Findings	Recommendations	Agreed Actions	Priority	Responsibility & Timescale	Evidence of action
8	Several properties had been investigated for purchase then put on hold to ensure that purchases align to strategic and commercial aims. The Council should develop its Commercial Strategy to ensure purchases fit into its overall vision and reduce the risk of assets being purchased which may not fit. Several services, boards and groups have been set up to manage asset projects and decision making. Some staff were not clear on the lines of governance or roles and responsibilities.	The Council ensures it has an agreed strategic vision on asset management and commercial asset purchases. This should include the Commercial strategy and how cross section working in Economic Growth, Asset Section, Business Improvement and Land and Property Group work together.	All outstanding business cases have been reviewed and a decision communicated through the Commercial Director. The Commercial Director will provide a single point of contact and review at the Commercial board will provide a corporate view.	High	J.Rice Interim Commercial Director Completed	All property acquisitions subject to the Business Case and Gateway review process created by the Commercial Board. Approach embedded. The Commercial Strategy is under development to ID future direction for asset management. Options appraisal underway to explore the use of companies that will assist the Council in fulfilling commercial approaches. The first is planned to be the creation of a Property Company for the acquisition and management of housing and other property assets.

No	Findings	Recommendations	Agreed Actions	Priority	Responsibility & Timescale	Evidence of action
9	We found that the constitution makes reference to informing and gaining members' approval before asset purchases are made, if certain conditions are applicable. This scrutiny provides assurance that decisions are appropriate and in line with Council objectives. This is a compliance issue rather than a material impact. Our audit identified a number of purchases that should have obtained member approval – for example a land purchase called Baltic Mill and a property purchase 5-7 Market Place. Consequently the constitution has not been complied with and the decisions have not been subject to committee member scrutiny. This applies for purchases made at below market value, as specified in the constitution.	Management ensure that the constitution is complied with member approval is sought where applicable and all relevant officers are clear on the process and that the correct part of the constitution is referenced in documents.	The constitution has been amended and now states that all decisions will be reported to members. Codes of practice and Commercial Director input will ensure the constitution is correctly referenced and complied with.	High	J.Rice Interim Commercial Director Completed	Revised Constitution report to Council March 2014. Plus further revisions proposed and reported to the Annual Council Meeting May 2014.

Asset Management Plan Development Framework

Findings, Recommendations and Agreed Actions – Appendix C

No	Findings	Recommendations	Agreed Actions	Priority	Responsibility & Timescale	Evidence
1	We found that many of the findings raised in this report have already been raised in previous audit reports including, • Formalised change management procedures need to be developed. • Project governance requirements should be reviewed to establish whether current arrangements are operating as intended. • Staff need to receive appropriate direction and training so they can fulfil their role. Performance issues need to be addressed as appropriate • Cultural issues need to be addressed to ensure that staff are engaging with operational requirements. This does not provide assurance that the Council is improving its project management systems.	To provide robust assurance that project management systems and processes are improving the Council should carry out its own regular quality assurance review. This should cover staff understanding, project management processes and project documentation, which should all comply with an agreed set standard.	Implemented • The role of the Commercial board has been strengthened. • Programmes have been streamlined to match corporate priorities • New templates have been adopted • Refined projects and work as usual to reduce projects to 28. • Project managers are updating all documents with previous or new templates and reporting to the next board meetings. • WMT have had a training workshop on project management.	High	J.Rice Interim Commercial Director **Complete**.	• Commercial Board revised ToR. • New Business case adopted and used from Jan 2014. • Minutes of Commercial Board Jan streamlined Projects, Feb – streamlined programs • All Projects in new format and maintained in Project Office in Minerva. • 2 x Managers sessions to embed ToR. Programme and Project methodologies.

No	Findings	Recommendations	Agreed Actions	Priority	Responsibility & Timescale	Evidence
2	There is a difference of opinion between project leads and the Business Improvement section on training and support. Project staff reported that changes to the project management process were too frequent and could be communicated better. Specifically staff felt that multiple changes to reporting requirements, template highlight reports and support for Share Point and Minerva had not been delivered or effectively communicated. There is a risk that projects are not well managed and do not deliver as staff do not feel supported or clear on what is required from them	The Council should review its process for changes and communication on project management systems. It should consider, • Agreeing templates for project management documentation. • Communications and assurance that all staff understand changes. • Clear roles and responsibilities regarding developing project management systems. • Justification or approval for changes. • The interaction of the Business Improvement section with Project Managers. •	This has been addressed through recent updates. See the management response on the main body of the audit report. Complete Codes of practice being developed. As above Changes require CMT and SMT approval. See above.	High	J.Rice Interim Commercial Director 31. March 2014. **Completed**	Code of Practice developed as ACOPS for PM – completed Feb 2014.

No	Findings	Recommendations	Agreed Actions	Priority	Responsibility & Timescale	Evidence
3	The Council should have corporate awareness of on-going project work to ensure workloads and progress are managed. At the time of the audit the Council did not have a complete list of all live projects.	The Council creates a project register as part of the current review of project management. This should include documenting roles and responsibilities and expectations for the updating and management of the register.	The register is being created and updated. Roles and responsibilities will be clear and form part of the documentation, supported by clarity on what the roles mean.	High	A.Reeks Assistant Chief Executive 31. March.2014.	Register created and updated as Gateways passed through. Minerva
	We found that there were over 80 projects and no system in place to categorise them. There is a risk that 'big ticket' projects which are critical to the Councils aims and commercial strategy are not adequately covered at board meetings.	The Council implements a system to prioritise projects. This will assist the Council in managing a large number of projects and allow management to concentrate resource on the most critical.	This is in place and projects and work as usual have been further defined to reduce the amount of projects to be managed.		J. Rice Interim Commercial Director	Fundamental review of Projects undertaken by the Commercial Board January 2014. Number of projects reduced to 27 with the remainder either obsolete or business as usual work. Feb 2014 Board, the Programmes rationalised to the 5 Corporate Plan themes and projects clustered within a programme. CB time allocation to big ticket items evolving but WIP.

No	Findings	Recommendations	Agreed Actions	Priority	Responsibility & Timescale	Evidence
4	The Council has carried out its own review of project management and corporate governance. These reports make recommendations around strengthening project management. Findings and responses are being reported to the Corporate Management Team. The Council should ensure that findings and actions are monitored and implemented to provide assurance that systems are being improved. In order to manage the risk that project management systems will not develop and projects are not delivered to support the Council and its Commercial objectives.	The Council ensures that there is a managed response to all findings from its own internal reviews and this audit. As part of implementation and monitoring of project recommendations management are clear on the purpose of guidance and systems including, • Clarity of process • Staff understanding and feedback • Compliance A six month review is carried out to test compliance and understanding of project management systems, once findings have been implemented.	New procedures and systems have been agreed and now need to be embedded. Including codes of practice, a new register of projects, project manager training on Minerva system and compliance with project management processes. gateway	High	A.Reeks Assistant Chief Executive 31. Dec 2014. J. Rice Interim Commercial Director	See 1 above Minerva project office site still under development and so training delayed. Project Manager training for the Commercial Board and project methodology completed January 2014.

No	Findings	Recommendations	Agreed Actions	Priority	Responsibility & Timescale	Evidence
5	A key control for the management of projects is the boards, set up to monitor progress and drive performance. We found that the work of the boards could be strengthened. Feedback from our testing showed that project leads thought the monitoring and management of board meetings could be more effective. Comments included training for the Chairs to support targeting time and resource on key projects. Improved time management and minutes from meetings to support clear records of decisions.	To provide robust assurance that the board management systems and processes are improving the Council should carry out its own regular quality assurance review. This should cover board member understanding, board management processes and documentation, which should all comply with an agreed set standard.	Internal procedures will be introduced to track and challenge non-compliance. The Commercial board TOR have been revised, the Corporate Plan Board has been deleted and the other boards TOR are under review.	High	J.Rice Interim Commercial Director 31. Dec 2014. *Reeks Assistant Chief Executive* *30/06/14*	ToR revised and implemented. Challenge included in Board at each Gateway stage. Evidence Gateway reports and Minutes of CB. However, the Board has taken control of all corporate projects which has created large agendas. WIP to evolve the system and to allocate sufficient time to each project. Draft guidance prepared to assist the Board members challenge / help prepare project managers for improved business plans. WIP

No	Findings	Recommendations	Agreed Actions	Priority	Responsibility & Timescale	Evidence
6	The Councils own internal governance report make reference for the need of clear audit trails and supporting documentation for projects and performance management. Some staff had difficulty in locating documents during testing. These were stored in various locations on shared drives, e-mail accounts and Minerva. There is a risk that project records are incomplete and key documents could be lost. The Council may not be able to provide evidence of decisions due to the way records are retained. Documents should not be stored in e-mail accounts.	As part of any plan to address project management improvements, document retention is included. Complete records of actions and decisions should be retained and easily accessible.	Training will be given on the use of Minerva folder system to record project management documents. Guidance will be completed to support new codes of practice which are being completed.	High	A.Reeks Assistant Chief Executive 31. Dec .2014.	See progress under 5. Above. ACOPS completed Feb 2014 for Programme and Project Management.

No	Findings	Recommendations	Agreed Actions	Priority	Responsibility & Timescale	Evidence
7	Feedback from our testing and review of the Councils internal report on project management shows that many staff are not complying with project management procedures. The issue this creates is that critical projects could be delayed, opportunities missed and staff morale could suffer.	The Council considers the option of creating a project management team to manage all projects as oppose to training and supporting all staff who might be called upon to project manage	The Council has considered this and does not wish to proceed with a project management team.	Medium	**Not agreed**	NFA but better integration of projects, templates etc. on Minerva.

No	Findings	Recommendations	Agreed Actions	Priority	Responsibility & Timescale	Evidence
8	A review of highlight reports used to report project progress, showed that many different versions existed and that these were not launched corporately. This was adding to the confusion felt by officers on project management procedures and documentation.	Management ensure that there are clear roles and responsibilities for officers involved in the development of project management systems and documentation. There should be clarity on responsibilities and duties and all changes to documents and process should only be through an approved change management process.	Discussed at WMT, a focus group has been set up to review the highlight report template and agree the most useful design for reporting project progress and status.	Medium	A.Reeks Assistant Chief Executive 31. March.2014.	Limited progress. Interim Director intervention May 2014 to secure further progress and completion.

Findings, Recommendations and Agreed Actions – Appendix D

No	Findings	Recommendations	Agreed Actions	Priority	Responsibility & Timescale	Evidence of action
1	We found that the project had been run in an informal way and project management processes had not been complied with. Project management processes have been in place to support timely and successful delivery of projects at WLDC. Compliance with these systems provides confidence that project aims will be delivered in line with Council expectations. Specifically we found that 1. There were no deadlines agreed for delivery 2. Lead officers had not been appointed. 3. There were no documented highlight reports to the relevant board, 4. No project documentation recorded on Minerva, the Councils project management system and	We recognise that the project is still in an early stage but to give confidence on progress and on successful delivery the Council should consider pausing and reviewing progress so far. Specifically it should consider, ☐ Whether the stated aims qualify as a project, or are business as usual performance outcomes. ☐ If this is a project, clarity and definition on what is business as usual and project aims and targets. ☐ A review of what the project objectives are and how these support increasing the	Highlight report completed for the Growth board. The project management sub group will review the aims of the project. The PID will be refreshed around clear outcomes and objectives. Roles and responsibilities will be identified and this will all be reported on Minerva.	High	Alan Robinson 31st March 2014	Highlight report produced and reviewed by the Growth Board. PID reviewed and report issued to the Corporate Management Team. **Complete**

No	Findings	Recommendations	Agreed Actions	Priority	Responsibility & Timescale	Evidence of action
	5. No central retention on Council systems of project supporting documents.	NNDR tax base and maximising collection. ☐ Project officer role definition ☐ Realistic timescales for stage completion and				
2	The board governance structure was introduced to provide guidance, scrutiny and direction to project management. It should also provide an audit trail of key decisions and queries to support successful project management. There have been no documented reports to the board on this project and updates have been verbal. Therefore there is no evidence to show that the board has carried out its role of support and challenge and this undermines the governance of the project. While we are sure that some progress and discussion has taken place the Council should ensure that systems and	The role of the boards and officers attending is reviewed to ensure project management systems are complied with and that staff are clear on what their role is. Good governance structures risk being undermined by a lack of basic supporting documentation	Agreed, key decisions and stages will be documented	High	Alan Robinson 31st March 2014	All Growth Board meetings are now minuted and key actions are recorded. – Minutes of Growth Board are available **Complete**

No	Findings	Recommendations	Agreed Actions	Priority	Responsibility & Timescale	Evidence of action
	processes put in place to provide confidence on project delivery are working and that this is evidenced.					
3	The use of highlighting risks and issues in project management has not been effectively applied. We found the project has three risks listed and there is no evidence to show that there is a system of monitoring and review. The detailed identification of risks and issues and continued monitoring and amendment is a key part of project management. This is not in line with project methodology and risks undermining project delivery and successful outcomes.	As part of a pause and review of the project, risk management systems and monitoring are reviewed.	Risks will be managed at the appropriate level. The project group will review risks and escalate to the growth board where necessary.	High	Alan Robinson 31st March 2014	Risks are articulated on the Highlight report and are routinely reviewed. **Complete**
4	A key part of the project is gathering information on planning and economic growth. Actions for this had been given to members of the Joint Planning Unit (now called	The project team ensure that there are processes in place to clarify dependencies and ensure officer actions are recorded,	The gathering of this information will be channelled through the Central Lincs	Medium	Suzanne Fysh Head of Service Planning 30.June.2014	Arrangements are in place. Data has been passed to City Of Lincoln Council for inclusion in the Strategic Housing Market Assessment **Complete**

No	Findings	Recommendations	Agreed Actions	Priority	Responsibility & Timescale	Evidence of action
	the local plans team) who had recently left. This could effect delivery of project outcomes. Management should acknowledge dependencies of the JPU to ensure there are systems in place to monitor this and reassign workloads to support delivery of actions	monitored and reported on regularly. To provide assurance that project progress is managed.				
5	It is important that the Council has up to date district business intelligence to ensure plans, actions and projects are based on accurate data. We found some evidence to suggest that internal information had been requested but not supplied in sufficient detail to base projections on. External support was engaged to provide a robust basis and provide estimates on NNDR trends and local and national economic projections. The report is two years old however there have been regular updates to ensure that we understand changes in the local economy.	As part of the project refresh the Council considers how economic growth, local knowledge, revenues and planning information and national forecasts on the economy can be used to provide regular updates to finance. To feed into budget setting and long term plans	Collect information on forth coming developments on a short, medium and long term basis, from records held across the Council. Gather local economic business intelligence through the Economic Development and feed into the project. To be done on a	High	A.Robinson Head of Service 30.June.2014 J.Walker Team Manager Quarterly starting 01.April.2014 30.June.2014 01.September.2014 31.December.2014	Arrangements in place. The NNDR3 Government return completed using data from various sources. **Complete**

No	Findings	Recommendations	Agreed Actions	Priority	Responsibility & Timescale	Evidence of action
			periodic basis to inform key decisions such as whether or not to join a pool. Use 2Analyse Local2 products to provide key data going forward			

Partnership Audit 2014 Update   appendix E

Finding	Due Date	Recommendations	Agreed Management Response	Allocated To	Managers Updates
The council does not have a corporate partnership process in place. There is a risk that partnerships are not consistently managed, do not align to council priorities and do not support important outcomes for the council	31/03/2014	The council develops a corporate partnership process to support a consistent approach to partnership work. This should include all areas of partnership management including recommendations from the 2011 partnership audit	An agreed code of practice has been prepared detailing partnership governanace arrangements and prioritisation approach, performance management and internal communications channels. ACOP to be approved by CMT March 2014	Reeks, Alex	The findings have been included in the Partnership ACOP which is currently awaiting approval by CMT.
We found that there was no formal reporting on partnerships performance and delivery. Consequently with no system to report on detail the Council cannot be assured the time and expense of officers attending is value for money or supports the council's corporate objectives.	31/03/2014	The Council agrees a reporting process which focusses on governance and accountability. Reporting requirements are proiportionate to the level of partnership criticality.	A process for reporting on partnership performance and delivery is included as a requirement in the partnerships approved code of practice	Reeks, Alex	The findings have been included in the Partnership ACOP which is currently awaiting approval by CMT.
There is no formal system for handover of duties where a new officer takes over the role of lead partnership officer. There is a riks that officers do not understand their role when attending partnership meetings. The Council is going through a staff restructure and it is important that any new	31/03/2014	the Council ensures that there is a system in place to support new roles for staff uncluding taking the lead on formal partnership working	The handover of duties between officers is included in the approved code of practice	Reeks, Alex	The findings have been included in the Partnership ACOP which is currently awaiting approval by CMT.

Finding	Due Date	Recommendations	Agreed Management Response	Allocated To	Managers Updates
partnership roles for officers are supported by training					
The council does not keep a register of all current partnerships. A register should be used to record all partnerships for management awareness. The register should be used to divide partnerships into formal and informal and risk score the formal ones depending on value and importance to the Council.	31/03/2014	A central register of partnerships is developed which gives management a detailed breakdown of all partnerships, their objectives and rates then in accordance of risk and importance to the Council.	A partnership register has been created		The findings have been included in the Partnership ACOP which is currently awaiting approval by CMT.
We found that document retention polciies are not being complied with. Records for partnerships are not centrally retained and this meant that some officers could not produce the required documentation during review. It is important that complete records are centrally retained to ensure there is a complete audit trail of agreements, actions and decisions	30/06/2014	The Council ensure document management and information governance processes are complied with. Information should not be stored in e-mail in boxes.		Reeks, Alex	The findings have been included in the Partnership ACOP which is currently awaiting approval by CMT.

Finding	Due Date	Recommendations	Agreed Management Response	Allocated To	Managers Updates
We found that document retention policies are not being complied with. Records for partnerships are not centrally retained and this meant that some officers could not produce the required documentation during review. It is important that complete records are centrally retained to ensure there is a complete audit trail of agreements, actions and decisions.	30/06/2014	The Council ensure document management and information governance processes are complied with. Information should not be stored in e-mail in boxes.	The partnership register has been created in the form of a sharepoint document library which allows storage of partnership documents in a central location. all partnerships to be registered and documents stored centrally.	McGarry, Jeanette	The findings have been included in the Partnership ACOP which is currently awaiting approval by CMT.