

# Governance, Risk and Audit Committee



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30<sup>th</sup> November 2020

A meeting of the **Governance, Risk and Audit Committee** of North Norfolk District Council will be held in the **remotely via Zoom** on **Tuesday, 8 December 2020** at **2.00 pm**.

At the discretion of the Chairman, a short break will be taken after the meeting has been running for approximately one and a half hours

Members of the public who wish to ask a question or speak on an agenda item are requested to notify the committee clerk 24 hours in advance of the meeting and arrive at least 15 minutes before the start of the meeting. This is to allow time for the Committee Chair to rearrange the order of items on the agenda for the convenience of members of the public. Further information on the procedure for public speaking can be obtained from Democratic Services, Tel: 01263 516047, Email: [matthew.stembrowicz@north-norfolk.gov.uk](mailto:matthew.stembrowicz@north-norfolk.gov.uk).

Anyone attending this meeting may take photographs, film or audio-record the proceedings and report on the meeting. Anyone wishing to do so must inform the Chairman. If you are a member of the public and you wish to speak on an item on the agenda, please be aware that you may be filmed or photographed.

Please note that Committee members will be given priority to speak during the debate of agenda items

**Emma Denny**  
**Democratic Services Manager**

**To:** Mr J Rest, Mr S Penfold and Mr C Cushing

All other Members of the Council for information.

Members of the Management Team, appropriate Officers, Press and Public



**If you have any special requirements in order to attend this meeting, please let us know in advance**

If you would like any document in large print, audio, Braille, alternative format or in a different language please contact us

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## A G E N D A

**1. TO RECEIVE APOLOGIES FOR ABSENCE**

**2. SUBSTITUTES**

**3. PUBLIC QUESTIONS**

To receive public questions, if any.

**4. ITEMS OF URGENT BUSINESS**

To determine any items of business which the Chairman decides should be considered as a matter of urgency pursuant to section 100B(4)(b) of the Local Government Act 1972.

**5. DECLARATIONS OF INTEREST**

Members are asked at this stage to declare any interests that they may have in any of the following items on the agenda. The code of conduct for Members requires that declarations include the nature of the interest and whether it is a disclosable pecuniary interest.

**6. MINUTES**

1 - 8

To approve as a correct record, the minutes of the meeting of the Governance, Risk & Audit Committee held on 29<sup>th</sup> September 2020.

## 7. CIVIL CONTINGENCIES REPORT

9 - 14

<b>Summary:</b>	Annual report from the Resilience Manager on Civil Contingencies.
<b>Options considered:</b>	This is a briefing report only.
<b>Conclusions:</b>	Not applicable.
<b>Recommendations</b>	<b>To note the report and the council's contributions to the Norfolk Resilience Forum and the British Red Cross.</b>
<b>Reasons for Recommendations:</b>	A better understanding of the challenges in the past year and the role of the Norfolk Resilience Forum and British Red Cross in emergency preparedness planning and incident response will help to discharge our obligations under the Civil Contingencies Act, 2004.

### **LIST OF BACKGROUND PAPERS AS REQUIRED BY LAW**

*(Papers relied on to write the report, which do not contain exempt information and which are not published elsewhere)*

N/A

Cabinet Member(s)	Ward(s) affected
Nigel Lloyd	All

Contact Officer, telephone number and email: Alison Sayer, Resilience Manager, 01263 516269, [alison.sayer@north-norfolk.gov.uk](mailto:alison.sayer@north-norfolk.gov.uk).

8. **PROGRESS REPORT ON INTERNAL AUDIT ACTIVITY: 19TH SEPTEMBER 2020 TO 25TH NOVEMBER 2020** 15 - 22

**Summary:** This report examines the progress made between 19 September 2020 and 25 November 2020, in relation to delivery of the annual internal audit plan for 2020/21.

**Conclusions:** Progress in relation to delivery of the internal audit plan is in line with expectations.

**Recommendations:** **It is recommended that the Committee notes the outcomes of the assurance audit completed between 19 September 2020 and 25 November 2020.**

Cabinet member(s):  
All

Ward(s) affected:  
All

Contact Officer, telephone number,  
and e-mail:

Fiona Dodimead  
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9. FOLLOW UP ON INTERNAL AUDIT RECOMMENDATIONS 31 MARCH 2020 TO 25 NOVEMBER 2020 23 - 40

**Summary:** This report provides an overview of progress made in implementing agreed audit recommendations due for completion between 31 March 2020 and 25 November 2020.

**Conclusions:** Progress continues to be made in addressing audit recommendations.

**Recommendations:** **It is recommended that the Committee notes management action taken to date regarding the delivery of audit recommendations.**

Cabinet member(s):  
All

Ward(s) affected:  
All

Contact Officer,  
number, and e-mail:

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- 10. NEW PROJECT GOVERNANCE AND MANAGEMENT FRAMEWORK** 41 - 96
- To review and comment on the new project governance and management framework.
- 11. CORPORATE RISK REGISTER** 97 - 108
- To review and note the Corporate Risk Register.
- 12. GOVERNANCE, RISK AND AUDIT COMMITTEE UPDATE AND ACTION LIST** 109 - 110
- To monitor progress on items requiring action from the previous meeting, including progress on implementation of audit recommendations.
- 13. GOVERNANCE, RISK AND AUDIT COMMITTEE WORK PROGRAMME** 111 - 112
- To review the Governance, Risk & Audit Committee Work Programme.
- 14. EXCLUSION OF THE PRESS AND PUBLIC**
- To pass the following resolution, if necessary:
- “That under section 100A(4) of the Local Government Act 1972 the press and public be excluded from the meeting for the following items of business on the grounds that they involve the likely disclosure of exempt information as defined in part 1 of schedule 12A (as amended) to the Act.”

## GOVERNANCE, RISK AND AUDIT COMMITTEE

Minutes of the meeting of the Governance, Risk and Audit Committee held on Tuesday, 29 September 2020 at the remotely via Zoom at 2.00 pm

### Committee

#### Members Present:

Mr J Rest (Chairman)	Mr S Penfold (Vice-Chairman)
Mr T Adams	Mr C Cushing
Mrs J Stenton	Mr H Blathwayt (Substitute)

#### Members also attending:

Mrs A Fitch-Tillett (Observer)	Ms V Gay (Observer)
Mrs P Grove-Jones (Observer)	Mr E Seward (Observer)
Miss L Shires (Observer)	Ms L Withington (Observer)
Ms V Gay (Observer)	Mr A Brown (Observer)

#### Officers in Attendance:

Chief Technical Accountant (CTA), Head of Legal & Monitoring Officer (HLS), Head of Finance and Asset Management/Section 151 Officer (HFAM), Director of Internal Audit (AD), External Auditors (EA)

### 29 TO RECEIVE APOLOGIES FOR ABSENCE

Apologies were received from Cllr J Toye.

### 30 SUBSTITUTES

Cllr H Blathwayt for Cllr J Toye.

### 31 PUBLIC QUESTIONS

None received.

### 32 ITEMS OF URGENT BUSINESS

None received.

### 33 DECLARATIONS OF INTEREST

None declared.

### 34 MINUTES

The minutes of the meeting held on 4<sup>th</sup> August 2020 were approved as a correct record subject to the following amendment:

Cllr A Fitch-Tillett stated that on page 4 of the minutes, it was suggested that NNDC had consulted with other districts in respect of expertise, but this was not the case. The DS&GOS confirmed that he would amend the minutes.

## **35 PROGRESS REPORT ON INTERNAL AUDIT ACTIVITY**

The AD informed Members that the Internal Audit Team were working to a revised audit plan as a result of the impact and delays caused by Covid-19, which also meant that the majority of the work was scheduled for quarters three and four. It was reported that the quarter three work was ready to begin with a terms of reference agreed for each audit. It was noted that assurance mapping had taken place during quarter two that would help to inform the planned audit work by providing assurances on identified risks, checking existing audits for Covid related risks, and considering any additional work required. The AD stated that there were no concerns at present and that work was progressing well.

### Questions and Discussion

- i. Cllr C Cushing referred to the EY Audit Results Report and asked whether Internal Audit reviewed the report and whether they took any action in relation to issues identified. The AD confirmed that they did take the report and its actions into account, and used it to help inform any additional work that might be required.

### **RESOLVED**

**To note the report.**

## **36 ANNUAL GOVERNANCE STATEMENT & LOCAL CODE OF CORPORATE GOVERNANCE**

The HFAM introduced the report and informed Members that the Annual Governance Statement was a statutory requirement for the Council, whilst the Local Code of Corporate Governance was a CIPFA best practice recommendation. He referred Members to pages 30-31 which covered the key issues of the AGS, such as an action plan for governance improvements which included improvements to service planning, performance targets and performance monitoring. The HFAM noted that a number of additional actions were also planned to improve the Council's governance arrangements, such as changes to the project management process and the introduction of a new CIPFA financial code of management.

### Questions and Discussion

- i. The Chairman stated that he was happy to see that improvements would be made to project management and performance monitoring.
- ii. Cllr S Penfold referred to governance actions identified on page 30, where deadlines for implementation had already passed, and asked if these actions had been completed. The HFAM confirmed that the actions had been completed, such as a review of the Corporate Plan, with a report on a revised Delivery Plan scheduled for the next Cabinet meeting. Cllr S Penfold then referred to the action on the Council's appraisal process, and sought confirmation that it had been completed. The HFAM replied that this work had been completed and that HR were in the process of implementing a 'Check-in' process to replace the existing appraisals process with less formal one to one discussions.



- iii. The recommendation was proposed by Cllr J Rest and seconded by Cllr S Penfold.

## **RESOLVED**

**To review and approve the Annual Governance Statement along with the updated Local Code of Corporate Governance.**

### **37 FINAL STATEMENT OF ACCOUNTS 2018-19**

The CTA introduced the report and informed Members that it showed the performance and balances of the Council for the year ended 31<sup>st</sup> March 2019. She added that the draft accounts were presented to the Committee in June 2019 and were due to be signed-off in July, however as the external audit had not been completed at this time as there were a number of outstanding issues that had to be resolved prior to sign-off. It was reported that these issues had now been resolved and the accounts were ready to be approved. The CTA stated that there had been three main changes since the accounts were presented in draft form, which included changes to financial instruments accounting, for which CIPFA advice had been sought. Additionally, property plant and equipment balances had required alterations for impairment and depreciation, and finally, going concern in relation to the Coronavirus outbreak had necessitated some changes. It was reported that whilst the final issue had occurred after the closure of the accounts, as they were yet to be agreed, the impact of Covid on the Council's finances had to be noted, and remained subject to minor amendments.

#### Questions and Discussion

- i. The Chairman thanked officers for their hard work in preparing the accounts and asked when the next accounts would be ready for sign-off. The CTA replied that the draft accounts for the following year were included in the same agenda, and the process for the following year would begin in six months.
- ii. Cllr C Cushing referred to page 75 on which savings of £728k for the 2019/20 financial year were reported, increasing to £744k from 2021 onwards, and asked whether any further details could be provided. The CTA replied that she would reply via email once the additional information had been clarified.
- iii. It was proposed by Cllr J Stenton and seconded by Cllr C Cushing to approve the annual accounts for the 2018-19 financial year.

## **RESOLVED**

**To approve the annual accounts for the 2018-19 financial year.**

### **38 LETTER OF REPRESENTATION**

The HFAM introduced the report and informed Members that the Letter of Representation was an annual requirement to provide guarantees to the auditors that due process had been followed in preparing the accounts. He added that this year's representation included minor amendments due to Covid-19 and changes in

legislation that would impact central and local Government pensions.

**RESOLVED**

**To receive and note the Letter of Representation.**

**39 AUDIT RESULTS REPORT**

The EA introduced the report and informed Members that the auditors were working with a materiality level of £1.1m for the 2018-19 accounts. He referred to a list of outstanding actions to be completed on page 209 that were standard procedure and would take place after the meeting. It was noted that audit differences were listed on page 224, though no unadjusted audit differences remained, and the three material adjusted differences had already been covered during discussion of the accounts. The EA added that if these differences had not been corrected then they could have had a significant impact on the accounts. It was stated that pages 213-217 covered the risks outlined in the audit plan and how these had been mitigated to provide the assurances and audit opinion given. Finally, an unqualified audit opinion was contained in section three of the report for the 2018-19 financial statements, which included an emphasis note in relation to the impact of Covid-19, as it had taken place within twelve months of the audit opinion being given. It was reported that the opinion also included an unqualified value for money conclusion on page 227, and that the letter of representation was for standard requests only. The EA stated that there were good assurances given for the draft financial statements, with the audit adjustments complete and no significant matters to bring to attention.

Questions and Discussion

- i. Cllr C Cushing referred to the summary of adjusted differences on page 225, and asked whether more information was available on these differences. The EA replied that these were in relation to the audit risk on property, plant and equipment referenced earlier, and added that the largest value of £6.5m was the result of prior year depreciation that had required correction. It was stated that whilst this was a significant figure, it was an occasional occurrence in local authority accounts, and had now been corrected. The other figures were not of such significant magnitude and were not as uncommon, and were therefore of lesser concern, but had also been corrected.

**RESOLVED**

**To receive and note the Audit Results Report for the 2018-19 financial year ended 31st March 2019.**

**40 DRAFT STATEMENT OF ACCOUNTS 2019-20**

The CTA introduced the report and informed Members that the draft accounts were for the year ending 31<sup>st</sup> March 2020, and had been published on the Council's website by the revised deadline at the end of August, moved from May due to the impact of Covid-19. It was reported that the deadline for publishing audited accounts had also moved from July to November, though ongoing delays meant that the auditing of the 2019-20 accounts was yet to begin. The CTA reminded Members that there was no obligation to provide draft accounts to the Committee, but it provided a chance for Members to comment and ask questions prior to their approval in the coming months.

### Questions and Discussion

- i. The Chairman requested that any questions asked in relation to the accounts via email, be shared with Committee Members to improve wider knowledge.

### **RESOLVED**

#### **To note the Draft Statement of Accounts.**

## **41 CORPORATE RISK REGISTER**

The HFAM introduced the report and informed Members that in addition to a number of updates and improvements, the new performance monitoring software would include a risk module to improve monitoring of the risk register. This would also allow for better presentation of the register, and enable the tracking of risk trajectory.

### Questions and Discussion

- i. The Chairman stated that he had raised concerns regarding some issues with the delivery of the Electric Vehicle Charging Points Project (EVCP), and had requested that it be considered for inclusion in the in the CRR. The HFAM replied that a number of projects had their own risk registers, such as the Splash project, though these wouldn't normally be escalated to the CRR unless they posed a significant risk to the Council or had already presented a corporate level risk. He added that whilst there had been a slight delay in the installation of the EVCPs in some parts of the District, he did not feel that it presented a significant reputational risk that warranted adding the project to the CRR. In terms of the project's budget, the HFAM noted that the EVCP remained a relatively small project that was being monitored at a project level. It was confirmed that the individual project risk registers were available to view upon request. The HFAM noted that if a second lockdown were to occur, then this would have significant cost implications for the existing Splash facility that justified its continued inclusion on the register.
- ii. Cllr P Grove Jones referred to the EVCP and asked if there was a specific reason that Stalham had not been included in the project. The Chairman suggested that it might be necessary to direct this question to the relevant Cabinet Portfolio holder, and asked if officers had and further details. The HFAM replied that this could have been as a result of the lower numbers that used the NNDC carpark in Stalham, though further EVCPs could be implemented in the future, depending on the success of the initial project. He added that supermarkets such as Tesco may also look to install their own EVCPs in the future.
- iii. Cllr C Cushing referred to the Splash project and noted that if there were no further Covid related impacts, the CRR indicated that the associated risks were reducing whilst the project remained on budget, and asked if the HFAM could confirm this. The HFAM replied that some of the largest unknown financial risks of the project had arisen as a result of the groundworks, which had not been found despite the appropriate surveys being undertaken. As a result, now that the groundworks were complete and the construction was underway, there

was less risk that the project would go over budget, unless Covid caused further issues.

- iv. The Chairman asked if any further information could be provided on the Cromer Tennis Hub project that had been canceled and no longer appeared on the CRR. The HFAM replied that he had taken the project off the CRR as it had now formally been closed, with all outstanding issues addressed and the payments made outlined in the statement of accounts. It was reported that a position statement audit was being undertaken, in order to draw lessons from the project. It was noted that in the future, project boards would be run similar to a Cabinet Working Party that would allow for more accountable decision making to address previous issues. It was confirmed that the Tennis Hub position statement would be brought to the Committee once complete.
- v. Cllr Angie Fitch-Tillett stated that despite issues with other project boards, the recent coastal protection projects had been delivered on time and on budget using the existing project board model.
- vi. Cllr H Blathwayt asked whether the procurement of new waste vehicles should be included on the CRR. The HFAM replied that the procurement was complete with a budget in place so this did not present a current risk. It was known that there was a nine month lead-in time for the delivery of the vehicles that had likely been further delayed by Covid. It was reported that payments for the vehicles would be made in mid-October, and as such it did not present any immediate concerns necessitating its inclusion on the CRR.

## **RESOLVED**

**To note the Corporate Risk Register.**

### **42 GOVERNANCE, RISK AND AUDIT COMMITTEE UPDATE AND ACTION LIST**

- i. The DS&GOS informed Members that Cabinet had approved the Anti-Corruption, bribery and fraud policy as recommended by the Committee.
- ii. In regards to the Committee's recommendation to Cabinet on the formation of project boards, the DS&GOS informed Members that the recommendation had not been accepted as worded. Cabinet had instead resolved to note the comments regarding the establishment of project boards, and to monitor and review the progress of a new model for the management of projects and to request that GRAC had oversight of this. The HLS added that the position statements on the Egmere and Splash projects had raised concerns about how the previous project boards had resulted in unclear decision making between Members and officers. She suggested that Cabinet Working Parties would provide more formal oversight for projects, and this would be discussed at an upcoming Constitution Working Party meeting.

### **43 GOVERNANCE, RISK AND AUDIT COMMITTEE WORK PROGRAMME**

The DS&GOS informed Members that the EY Annual Audit Letter would come to the

December meeting alongside the Civil Contingencies update. He added that the latter could be subject to significant changes as a result of the pandemic, and encouraged Members to submit any concerns that they felt should be addressed in the report.

The meeting ended at 2.55 pm.

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Chairman

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## Civil Contingencies Report

<b>Summary:</b>	Annual report from the Resilience Manager on Civil Contingencies.
<b>Options considered:</b>	This is a briefing report only.
<b>Conclusions:</b>	Not applicable.
<b>Recommendations</b>	<b>To note the report and the council's contributions to the Norfolk Resilience Forum and the British Red Cross.</b>
<b>Reasons for Recommendations:</b>	A better understanding of the challenges in the past year and the role of the Norfolk Resilience Forum and British Red Cross in emergency preparedness planning and incident response will help to discharge our obligations under the Civil Contingencies Act, 2004.

### **LIST OF BACKGROUND PAPERS AS REQUIRED BY LAW**

*(Papers relied on to write the report, which do not contain exempt information and which are not published elsewhere)*

N/A

Cabinet Member(s)	Ward(s) affected
Nigel Lloyd	All

Contact Officer, telephone number and email: Alison Sayer, Resilience Manager, 01263 516269, [alison.sayer@north-norfolk.gov.uk](mailto:alison.sayer@north-norfolk.gov.uk).

## **1. Introduction**

- 1.1 The last 12 months have been exceptionally busy for the Civil Contingencies Team, at times dealing with multiple concurrent incidents on top of the ongoing Covid-19 response and EU Exit Transition reporting requirements. The North Norfolk Safety Advisory Group has had fewer events to deal with than usual, mainly due to cancellation re Covid-19, but those going ahead have required enhanced support.

## **2. Emergency Planning and Incidents**

- 2.1 The Civil Contingencies Act, 2004 sets out a number of duties around emergency preparedness and response. As a Category 1 Responder under the Act the council has a duty to assess risk, put emergency plans in place and to share information and cooperate with other local responders. In respect of emergency preparedness planning this is generally achieved through the Norfolk Resilience Forum (NRF) with an annual programme of multi-agency group meetings progressing work streams and reviewing plans. North Norfolk District Council pays an annual contribution to the NRF towards administration costs and the training and exercising programme. This year, as last, the council's contribution is £2,386.

North Norfolk District Council hosted the quarterly Norfolk Local Authority Resilience Partnership Meeting on 6 March 2020. Shortly after this the annual programme of meetings was put on hold by the NRF due to Covid-19 response and the standing up of Command and Control structures.

The pre-planning work has recently resumed with a pool of emergency planners across Norfolk, including the NNDC Resilience Manager, working together virtually two afternoons a week to review and revise the multi-agency, countywide plans; including updating those for shelter and evacuation in light of Covid-19 and revisiting the Mutual Aid Agreement. This close collaboration is intended to improve the resilience across the County and simplify mutual aid when it is required.

- 2.2 The national 'CoastEx 2020' exercise, planned for 6-8 October, was postponed due to Covid-19. This was designed to exercise national and county response, information exchange and mutual aid during a major flooding incident along the East Coast from Northumbria to Kent. It has been rescheduled to 12-14 October 2021 when it is anticipated that NNDC will take the opportunity to test local response.
- 2.3 In respect of single agency plans, the Council's Operational Flood Plan has been updated and the Rest Centre plans have been reviewed.
- 2.4 The Norfolk Civil Protection Volunteer group disbanded at the end of 2019. As a result of this, the NNDC rest centre equipment (bed frames, bedding, welfare packs etc), which was previously stored in the NCPV premises at Aylsham, has been moved to North Walsham Police Station.

The council has a Memorandum of Understanding (MoU) with the British Red Cross (BRC) re support at rest centres to supplement the numbers of council staff. This costs £1200 per year and is particularly important during the concurrent pandemic as additional rest centre staffing will be required. A new 'Emergency Response Cooperation Agreement' has been drawn up to replace the existing MoU with the same £1200 contribution. Five members of NNDC staff attended the BRC's Rest Centre Manager Refresher training sessions in November 2020.

- 2.5 A new Senior Flood Warden and reinvigorated flood warden group for Sea Palling has been supported this summer to improve community resilience. A virtual meeting of the Senior Flood Warden Liaison Group was held in November. The Environment Agency acknowledged that the intelligence, pictures and videos from the council and coastal and river flood wardens had been very useful to them; they will be reviewing alert levels and their wording as a result. This should help to fine-tune the alerts creating more confidence in the system.
- 2.6 Following the NNDC Resilience Manager's discussions at the beginning of October with the Project Engineer from the Water Management Alliance (WMA) about river flooding and rainfall issues, the WMA is now invited to attend the NRF Severe Weather & Flood Risk meetings. It is hoped that the inclusion of the WMA in these meetings will increase resilience.
- 2.7 **EU Exit Transition** - The council has been working with our partners in the NRF to help plan for the UK's exit from the European Union. The Government's Reasonable Worst Case planning assumptions have been



reviewed and responses from departments have been collated and submitted to the NRF on behalf of the EU Transition Lead Officer for NNDC, the Head of Economic & Community Development, who will now lead this work going forward.

- 2.8 **Covid-19** - Planning for, response to and reporting around the Coronavirus pandemic have, understandably, taken up the majority of the Civil Contingencies Team's time since January. The early set up of command and control structures within the council, with regular reporting, analysis and Silver and Gold Group meetings being held at least weekly throughout the emergency, has helped to ensure a timely response to fast-moving situation and, at times, seven-day a week working.

The inclusion of the Leader of the Council on the Gold Group has ensured a member-perspective; something other districts have not had. The council's reporting structures have helped to inform both internal decision-making and external shared situational awareness with partner agencies in the NRF and the Ministry of Housing, Communities and Local Government, sometimes at very short notice.

The breadth and depth of the response to Covid-19 has largely been covered in the report by the Chief Executive to the Overview and Scrutiny Committee on 22 July 2020 so will not be repeated here. There is ongoing attendance at Tactical and Strategic Coordination Groups and with internal and external Cells, currently including both Mass Vaccination and Mass Testing Cells and ongoing daily reporting and analysis.

- 2.9 **Other incidents in the past 12 months** – The Environment Agency has issued coastal flood alerts from Old Hunstanton to Cley on 12 occasions, from East Cley to Salthouse on 14 occasions and from Bacton to Ostend including Walcott on 5 occasions. They issued three flood warnings in November; for Wells Quay, Salthouse and East Cley and for Bacton to Ostend including Walcott. Alerts have been in place on the Broads rivers in December from the End of September to the middle of October and again rivers were reduced due to Covid-19 but have been reinstated Each occurrence requires a minimum of notification and coordination and follow up and, depending upon the severity, physical response.

Since the last annual report to the Governance Risk and Audit Committee the following incidents have required a response:

- 22 Dec 2019 - Response to Flooding of Lathams in Potter Heigham. Subsequently chaired a follow-up meeting in January with businesses, the Environment Agency and the Broads Authority to consider notification and operational issues.
- 6-7 Jan and 16 Jan 2020 - Coordination of response to Trimmingham House Caravan Park cliff falls plus several subsequent monitoring/reassurance visits. The Head of Coastal Partnership East noted that this worked well; asked to share learning with people developing the Suffolk Erosion Plan.
- 16 Jan - Coordination of response to Flood Warning on the River Wensum in Fakenham. Environmental Health rangers deployed to speak with

businesses and residents while Resilience Manager attended Trimmingham House Caravan Park and at-risk properties.

- 16 Jan – Flooding issue re the River Glaven at Cley (nearly property-level flooding due to a damaged sluice, over-pumping required). As requested, the Environment Agency installed temporary telemetry to check on the water level at Cley Glaven outfall in order to better understand the tide locking issue and gather data to inform future discussions re improving flood warning information in the area. The sluice has been repaired.
- 2 Feb - Gas Leak at Cromer offices. Power outage in Cromer and surrounding area. Utilities issue debriefed.
- 9 -10 Feb - Storm Ciara, Amber Wind Warning, Flood Alert, flood gates closed at Bacton and Walcott following consultation with the Environment Agency Flood Warning Duty Officer
- 15 Feb - Storm Dennis. Wind Warning, flood alerts on parts of coast and the Broads.
- 22 Feb Liaison re continuing high river levels at Ludham Bridge boat yard.
- 10 May- 11 May - High Tides and flood alerts, flood gates closed at Bacton and Walcott.
- 2 Jul – Pollution Report 60 nautical miles off Cromer coast, no action required.
- 22 Jul - Suspected unexploded ordinance on Cromer Pier. Tested readiness to set up a rest centre if required; would have been able to do so within an hour and a half.
- 16 Aug - Sheringham surface water flooding. Set up Local Coordination Group in the office, internal and multi-agency debriefs.
- 27 Aug - Thunderstorm warnings and high winds re Storm Francis.
- 18-20 Sep - Liaison re high astronomical tides and coastal flood alerts for Old Hunstanton to Cley. Advised 12 camper vans parked on beach roads at Cley and Salthouse to move out early before the following day's high tide.
- 25-27 Sep - Severe weather (rain and high winds) – flood alerts on rivers/some overtopping in Horning, Ludham and Potter Heigham, surface water flooding in Fakenham, wind-blown sand issue at Bacton and Walcott, highways issues with downed trees and power outages (coordination of response and internal debrief, input to multi-agency debrief).
- 2-6 Oct - Mini Spring Tide and rainfall alerts. Coordination with partner agencies and Water Management Alliance. Visits to Ludham Bridge, Potter Heigham and Horning post river flooding. Noted drains issues at Ferry Road in Horning and passed to Environmental Protection Manager and Anglian Water for action. Attended subsequent virtual meeting re flooding at Horning Ferry Road.

- 17-19 Oct - Spring tides, Flood Alerts on western parts of the North Norfolk coast, flood gates closed at Bacton and Walcott for community reassurance after liaison with Environment Agency Flood Warning Duty Officer, Parish Council and Coastguard.
- 4 Nov - river overtopping at Potter Heigham and Ludham Bridge.
- 19 Nov - Spring tides; Flood Alerts along whole coast, Flood Warnings in three locations, flood gates closed. Attended site and arranged for Police and Coastguard presence at Walcott re public safety concerns over the Coast Road.

### **3. Business Continuity**

- 2.1 The number of emergency planning incidents has resulted in some of the planned Business Continuity Management work being de-prioritised; the revised business continuity plan template has not been rolled out yet, and the Corporate Business Continuity plan has not yet been revised as the existing plans are all fit for purpose. However, the new Business Impact Analysis documentation was introduced as planned, the BIAs were completed and the Critical Activities were reviewed by the Gold group in March as part of the response to Covid-19.
- 2.2 The council has continued to maintain all its critical activities, and to maintain service to our customers throughout the Covid-19 emergency and lockdown periods. Put simply, the council's business continuity management arrangements have been tested and work.
- 2.3 There are currently 28 business continuity plans, of which 14 are for teams undertaking NNDC-Critical activities. An NNDC-critical activity has a Recovery Time Objective of 48 hours or less. Plans are considered current when they have been reviewed within 12 months.

The target for current critical plans is 85%; 100% are up to date.

There is no target for non-critical plans; overall, 79% are up to date.

The Management Restructure will result in some changes which will be reflected in the business continuity plans so it is anticipated that the overall percentage of current plans will increase in the next few months.

### **4. Conclusion**

The Civil Contingencies Team and the wider council has continued to discharge its responsibilities under the Civil Contingencies Act, 2004.

### **5. Implications and Risks**

It is acknowledged that the ongoing response to Covid-19 and upcoming EU Transition means that additional concurrent severe weather incidents etc will be a stretch.

### **6. Financial Implications and Risks**

There are no financial implications and risks directly arising from this report.

### **7. Sustainability N/A**

There are no sustainability implications directly arising from this report.

**8. Equality and Diversity**

There are no equality and diversity implications directly arising from this report.

**9. Section 17 Crime and Disorder considerations**

There are no Section 17 Crime and Disorder implications directly arising from this report.

## **Progress Report on Internal Audit Activity: 19 September 2020 to 25 November 2020**

**Summary:** This report examines the progress made between 19 September 2020 and 25 November 2020, in relation to delivery of the Annual Internal Audit Plan for 2020/21.

**Conclusions:** Progress in relation to delivery of the internal audit plan is line with expectations.

**Recommendations:** **It is recommended that the Committee notes the outcomes of the assurance audit completed between 19 September 2020 and 25 November 2020.**

Cabinet member(s): Ward(s) affected:

All All

Contact Officer, telephone number, and e-mail: Fiona Dodimead  
fiona.dodimead@ttaa.co.uk

### **1. Background**

1.1. This report reflects progress made regarding assignments featuring in the revised Annual Internal Audit Plan for 2020/21 which was approved by the Audit Committee on 4 August 2020.

### **2. Overall Position**

2.1. The overall position in relation to the completion of the Internal Audit Plan is within the attached report.

### **3. Conclusion**

3.1 The completion of the Internal Audit Plan is line with expectations.

### **4. Recommendation**

4.1 It is recommended that the Committee note the outcomes of the assurance audit completed between 19 September 2020 and 25 November 2020.

### ***Appendices attached to this report:***

Progress Report on Internal Audit Activity

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# Eastern Internal Audit Services



North Norfolk District Council

Progress Report on Internal Audit Activity

Period Covered: 19 September to 25 November 2020

Responsible Officer: Faye Haywood – Internal Audit Manager for North Norfolk District Council

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## 1. INTRODUCTION

- 1.1 This report is issued to assist the Authority in discharging its responsibilities in relation to the internal audit activity.
- 1.2 The Public Sector Internal Audit Standards also require the Chief Audit Executive to report to the Audit Committee on the performance of internal audit relative to its plan, including any significant risk exposures and control issues. The frequency of reporting and the specific content are for the Authority to determine.
- 1.3 To comply with the above this report includes:
  - Any significant changes to the approved Audit Plan;
  - Progress made in delivering the agreed audits for the year;
  - Any significant outcomes arising from those audits; and
  - Performance to date.

## 2. SIGNIFICANT CHANGES TO THE APPROVED INTERNAL AUDIT PLAN

- 2.1 At the meeting on 4 August 2020, the revised Internal Audit Plan 2020/21 for the year was approved due to unprecedented circumstances surrounding the Coronavirus Pandemic. Since the last Committee meeting there has been no further changes made to the revised internal audit plan.

## 3. PROGRESS MADE IN DELIVERING THE AGREED AUDIT WORK

- 3.1 The current position in completing audits within the financial year to date is shown in **Appendix 1**. This shows that progress is in line with expectations.
- 3.2 In summary, 57 days of programmed work has been completed, equating to 43% of the revised Internal Audit Plan for 2020/21.
- 3.3 The Executive Summary of all reports finalised in this period can be found at **Appendix 2**.

## 4. THE OUTCOMES ARISING FROM OUR WORK

- 4.1 On completion of each individual audit an assurance level is awarded using the following definitions:

**Substantial Assurance:** Based upon the issues identified there is a robust series of suitably designed internal controls in place upon which the organisation relies to manage the risks to the continuous and effective achievement of the objectives of the process, and which at the time of our review were being consistently applied.

**Reasonable Assurance:** Based upon the issues identified there is a series of internal controls in place, however these could be strengthened to facilitate the organisation's management of risks to the continuous and effective achievement of the objectives of the process. Improvements are required to enhance the controls to mitigate these risks.

**Limited Assurance:** Based upon the issues identified the controls in place are insufficient to ensure that the organisation can rely upon them to manage the risks to the continuous and effective achievement of the objectives of the process. Significant improvements are required to improve the adequacy and effectiveness of the controls to mitigate these risks.

**No Assurance:** Based upon the issues identified there is a fundamental breakdown or absence of core internal controls such that the organisation cannot rely upon them to manage



risk to the continuous and effective achievement of the objectives of the process. Immediate action is required to improve the controls required to mitigate these risks.

- 4.2 Recommendations made on completion of audit work are prioritised using the following definitions:

**Urgent (priority one):** Fundamental control issue on which action to implement should be taken within 1 month.

**Important (priority two):** Control issue on which action to implement should be taken within 3 months.

**Needs attention (priority three):** Control issue on which action to implement should be taken within 6 months.

- 4.3 In addition, on completion of audit work “Operational Effectiveness Matters” are proposed. These set out matters identified during the assignment where there may be opportunities for service enhancements to be made to increase both the operational efficiency and enhance the delivery of value for money services. These are for management to consider and are not part of the follow up process.

- 4.4 During the period covered by the report no Internal Audit reports have been finalised. The Executive Summary of final reports are attached at **Appendix 2**, a full copy can be requested by Members.

## 5. PERFORMANCE MEASURES

- 5.1 The Internal Audit Services contract includes a suite of key performance measures against which TIAA is reviewed on a quarterly basis. There is a total of 11 indicators, over 4 areas.

- 5.2 There are individual requirements for performance in relation to each measure; however performance will be assessed on an overall basis as follows:

- 9-11 KPIs have met target = Green Status.
- 5-8 KPIs have met target = Amber Status.
- 4 or below have met target = Red Status.

Where performance is amber or red a Performance Improvement Plan will be developed by TIAA and agreed with the Internal Audit Manager to ensure that appropriate action is taken.

- 5.3 Quarter two of the 2020/21 Internal Audit plan has now been completed and a report on the performance measures provided to the Head of Internal Audit. Performance is currently at green status with targets having been satisfactorily met.

**APPENDIX 1 – PROGRESS IN COMPLETING THE AGREED AUDIT WORK**

Audit Area	Audit Ref	No. of days	Revised Days	Days Delivered	Status	Assurance Level	Recommendations				Date to Committee
							Urgent	Important	Needs Attention	Op	
<b>Quarter 1</b>											
<b>TOTAL</b>		<b>0</b>	<b>0</b>	<b>0</b>							
<b>Quarter 2</b>											
Assurance Mapping	NN2101	8	8	8	Draft Report						
<b>TOTAL</b>		<b>8</b>	<b>8</b>	<b>8</b>							
<b>Quarter 3</b>											
Corporate Governance	NN2102	4	8	8	Draft Report						
Accounts Payable	NN2103	12	12	8	In progress						
Council Tax and NNDR	NN2104	15	15	12	In progress						
Local Council Tax Support and Housing Benefit	NN2105	15	15	12	In progress						
Payroll and HR	NN2106	15	15	2	In progress						
Procurement Contract Management	NN2107	10	10	5	In progress						
<b>TOTAL</b>		<b>71</b>	<b>71</b>	<b>0</b>							
<b>Quarter 4</b>											
Key Controls and Assurance	NN2108	10	10	0	Being scheduled						
Coronavirus Response and Recovery	NN2109	15	15	0	Being scheduled						
Private Sector Housing DFG	NN2110	10	10	0	Being scheduled						
<b>TOTAL</b>		<b>35</b>	<b>35</b>	<b>0</b>							
<b>IT Audits</b>											
Remote Access	NN2111	10	10	0	Being scheduled						
<b>TOTAL</b>		<b>10</b>	<b>10</b>	<b>0</b>							

Audit Area	Audit Ref	No. of days	Revised Days	Days Delivered	Status	Assurance Level	Recommendations				Date to Committee
							Urgent	Important	Needs Attention	Op	
Follow Up											
Follow Up	NA	5	5	2	In progress						
<b>TOTAL</b>		<b>5</b>	<b>5</b>	<b>2</b>							
<b>TOTAL</b>		<b>129</b>	<b>129</b>	<b>57</b>			0	0	0	0	
Percentage of plan completed				<b>43%</b>							

**APPENDIX 2 – AUDIT REPORT EXECUTIVE SUMMARIES**

No final reports to date

## Follow Up on Internal Audit Recommendations 31 March 2020 to 25 November 2020

**Summary:** This report provides an overview of progress made in implementing agreed audit recommendations due for completion between 31 March 2020 and 25 November 2020.

**Conclusions:** Progress continues to be made in addressing audit recommendations.

**Recommendations:** **It is recommended that the Committee notes management action taken to date regarding the delivery of audit recommendations.**

Cabinet member(s): All  
Ward(s) affected: All

Contact Officer, telephone number, and e-mail: Faye Haywood, Internal Audit Manager for North Norfolk DC  
01508 533873, fhaywood@s-norfolk.gov.uk

### 1. Background

- 1.1. In accordance with agreed internal audit review and reporting cycles, we revisit the status of audit recommendations on a 6-monthly basis and last presented our findings in this area to the Audit Committee in June 2020.
- 1.2. This report now seeks to provide an update on the status of audit recommendations following recent verification work performed by the Contractor, which examined the level of activity concerning the delivery of audit recommendations falling due between 31 March 2020 and 21 November 2020.

### 2. Overall Position

- 2.1. The overall position in relation to the implementation of Internal Audit Recommendations is within the attached report.

### 3. Conclusion

- 3.1 We recommend that officers now focus on completing recommendations raised during 2017/18 as these are now significantly overdue. As requested, the Committee continue to observe the progress made against completion of the one remaining important recommendation made during the 2010/11 review of Development Management, in relation to the Section 106 Arrangements.

### 4. Recommendation

- 4.1 It is recommended that the Committee notes management action taken to date regarding the delivery of audit recommendations.

***Appendices attached to this report:***

Follow Up Report on Internal Audit Recommendations

# Eastern Internal Audit Services



## NORTH NORFOLK DISTRICT COUNCIL

### Follow Up Report on Internal Audit Recommendations

Period Covered: 1 April 2020 to 25 November 2020

Responsible Officer: Faye Haywood –Internal Audit Manager for North Norfolk DC

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**1. INTRODUCTION**

- 1.1 This report is being issued to assist the Authority in discharging its responsibilities in relation to the internal audit activity.
- 1.2 The Public Sector Internal Audit Standards also require the Chief Audit Executive to establish a process to monitor and follow up management actions to ensure that they have been effectively implemented or that senior management have accepted the risk of not taking action. The frequency of reporting and the specific content are for the Authority to determine.
- 1.3 To comply with the above this report includes:
  - The status of agreed actions.

**2. STATUS OF AGREED ACTIONS**

- 2.1 As a result of audit recommendations, management agree action to ensure implementation within a specific timeframe and by a responsible officer. The management action subsequently taken is monitored by the Internal Audit Contractor on a regular basis and reported through to this Committee. Verification work is also undertaken for those recommendations that are reported as closed.
- 2.2 **Appendix 1** to this report shows the details of the progress made to date in relation to the implementation of the agreed recommendations. This appendix also reflects the year in which the audit was undertaken and identifies between outstanding recommendations that have previously been reported to this Committee and then those which have become outstanding this time round.
- 2.3 In relation to the historic recommendations (i.e. those prior to the 2016/17 financial year), there is one important recommendation from a 2010/11 review on Development Management. The most recent management response can be seen at **Appendix 2**.
- 2.4 In 2017/18 internal audit raised 50 recommendations; 44 of which have been implemented by the agreed date, and six of which are outstanding (five important and one needs attention).

Number raised to date	50	
Complete	44	88%
Outstanding	6	24%

The five important recommendations can be seen at **Appendix 3** to the report. Management responses in relation to Environmental Health and Waste Management have not been provided.



- 2.5 A total of 40 recommendations were raised during 2018/19. 36 have been completed. Four recommendations are now outstanding (one important, three needs attention).

Number raised to date	40	
Complete	36	90%
Outstanding	4	10%

Management responses in relation to one important recommendation has not been provided. The important recommendation can be seen at **Appendix 4** to the report.

- 2.6 A total of 61 recommendations were agreed in 2019/20. 22 have been completed. A total of 22 important and eleven needs attention recommendations are now outstanding, and six are not yet due.

Number raised to date	61	
Complete	22	36%
Outstanding	33	54%
Not yet due	6	10%

The 22 important recommendations can be seen at **Appendix 5** to the report. Management responses have not been received for four areas.

- 2.7 We recommend that officers now focus on completing recommendations raised during 2017/18 as these are now significantly overdue. As requested, the Committee continues to observe the progress made against completion of the one remaining important recommendation made during the 2010/11 review of Development Management, in relation to the Section 106 Arrangements. During our recent review of this area we have been unable to verify that this has been completed and it therefore continues to be monitored.

## APPENDIX 1 – STATUS OF AGREED INTERNAL AUDIT RECOMMENDATIONS

			Completed bt 31 March 2020 and 25 November 2020			Previously reported to Committee as outstanding			(New) Outstanding			Total Outstanding	Not Yet Due for implementation		
			Priority 1	Priority 2	Priority 3	Priority 1	Priority 2	Priority 3	Priority 1	Priority 2	Priority 3		Priority 1	Priority 2	Priority 3
Audit Ref	Audit Area	Assurance Level													
<b>2010/11 Internal Audit Reviews</b>															
NN1112	Development Management, Building Control and Land Charges	Adequate					1					1			
<b>2017/18 Internal Audit Reviews</b>															
NN1803	Land Charges	Reasonable					1					1			
NN1807	Environmental Health	Reasonable					2	1				3			
NN1816	Procurement	Reasonable					1					1			
NN1817	Waste Management	Reasonable					1					1			
<b>2018/19 Internal Audit Reviews</b>															
NN1905	Homelessness and Housing Options	Reasonable						1				1			
NN1906	Accounts Payable	Reasonable						1				1			
NN1910	Corporate Governance	Substantial			1							0			
NN1914	Environmental Health	Reasonable		1	2		1	1				2			
<b>2019/20 Internal Audit Reviews</b>															
NN2001	Project Management Framework	N/A		1						9		9			
NN2003	Leisure	Substantial			1							0			
NN2004	S106 Agreements	Reasonable					3			2		5			
NN2005	Accountancy Services	Substantial			2						1	1			
NN2006	Accounts Receivable	Reasonable						1			1	2			
NN2007	Income	Reasonable			5							0			
NN2009	Planning and Development	Reasonable		2	1					2		2			
NN2010	Risk Management	Reasonable								1		1			
NN2011	Key Controls and Assurance	Substantial										0		1	
NN2012	Procurement	Reasonable		1	1							0	1		
NN2013	Property Services	Reasonable		1	1							0	3	1	
NN2014	Affordable Housing and Enabling	Reasonable								1		1			
NN2015	Business Continuity	Reasonable			2						3	3			

			Completed bt 31 March 2020 and 25 November 2020			Previously reported to Committee as outstanding			(New) Outstanding			Total Outstanding	Not Yet Due for implementation		
			Priority 1	Priority 2	Priority 3	Priority 1	Priority 2	Priority 3	Priority 1	Priority 2	Priority 3		Priority 1	Priority 2	Priority 3
Audit Ref	Audit Area	Assurance Level													
NN2016	Cyber Security	Reasonable								2	2	4			
NN2017	GIS Application	Reasonable								2	3	5			
<b>TOTALS</b>			<b>0</b>	<b>6</b>	<b>16</b>	<b>0</b>	<b>10</b>	<b>5</b>	<b>0</b>	<b>19</b>	<b>10</b>	<b>44</b>	<b>0</b>	<b>4</b>	<b>2</b>

**APPENDIX 2 - OUTSTANDING INTERNAL AUDIT RECOMMENDATIONS – 2010/2011**

Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Status	Latest Response
NN1112 Development Management	Written guidance detailing the roles and responsibilities for monitoring the key requirements of Section 106 Planning Agreements should be produced to ensure appropriate action is taken to enforce the conditions contained therein. The guidance should be accompanied by a collated record of all Section 106 Planning Agreements, detailing the trigger points and accompanying obligations. This should include key responsibilities and contacts for the obligation and state action to be taken as and when those trigger points are reached. Where trigger points have been reached, action should be taken in a timely manner to enforce those conditions.	2	Agreed	Head of Planning	30/11/2011	30/11/2021	Outstanding	A complete list of S106 agreements has now been produced covering all agreements from the last ten years. This is being used as the current reference point and will form the basis of the data for when the new software system is introduced. Progress with the software remains as per previous update - it is expected that the new planning system, Uniform, will be installed in December 2019 and the S106 module, Exacom, will be added once Uniform is fully functional.

### APPENDIX 3 – OUTSTANDING INTERNAL AUDIT RECOMMENDATIONS – 2017/18 AUDIT REVIEWS

Job	Recommendation	Priority	Management Comments	Responsible Officer	Due Date	Revised Due Date	Status	Latest Response
NN1803 Land Charges	<p>Recommendation 1: Procedure notes be produced for all aspects of the local land charge service. These notes to be version controlled and reviewed on a regular basis.</p> <p>Rationale &amp; risk: Ensuring procedure notes are in place and up to date for all aspects of the service will provide assurance to management that staff are following correct practices.</p> <p>This reduces the risk of errors being made within the process where staff follow incorrect practice, leading to reputational damage and financial loss for the Council.</p>	2	The service accept that the current procedural manual is incomplete and could be improved to include version control and recent changes that have occurred within the service.	Property Information Team Leader	31/12/2017	30/01/2021	Outstanding	The Uniform project has been delayed again (until December 2020), which has resulted in a knock-on delay to the implementation of this audit recommendation.
NN1807 Environmental Health	<p>Recommendation 1: All the Environmental Health procedures, policies and guidance, including those related to the scope of the audit, be reviewed and updated to ensure that current statutory and non-statutory requirements, where applicable, are included.</p> <p>Rationale and risk: The processes in the procedures may no longer be relevant as current statutory requirements and legislations may not be included in the procedures, policies and guidance. This may lead to non-compliance with the relevant statutes and legislations, errors and delays in processing licences and permits and inconsistent practice arising.</p>	2	The BPR and IT implementation are scheduled to continue until April 2018. Therefore, not all processes will have been completed within the timescale recommended. BPR will tackle the largest volume work first and so processes which deal with the most workload will be addressed first.	Head of EH	30/04/2018	31/03/2020	Outstanding	The focus of the BPR continues to be on implementing the new IT system, which has taken significantly longer than originally anticipated. New processes are being developed and reviewed within the separate teams of Environmental Health and once these have been agreed then the associated new procedure notes can be produced.

Job	Recommendation	Priority	Management Comments	Responsible Officer	Due Date	Revised Due Date	Status	Latest Response
NN1807 Environmental Health	Recommendation 2: A process for sharing data relevant to the Environmental Health Team which can be used for identifying businesses requiring licences be agreed with other Council departments including Planning and Revenues (CTAX/NNDR). Rationale and risk: The risk of businesses operating illegally which may harm the members of the public or the environment through unregulated activities carried out by the businesses.	2	Agreed.	Head of EH	31/01/2018	New date required	Outstanding	This has been delayed due to staff absence within the IT team. However, the required Crystal report development has now been scheduled in over the next few weeks with the Application Support team, so the reports should be available soon after this.
NN1816 Procurement	Recommendation 4: A new Procurement Strategy be produced, approved and communicated to staff. Rationale and risk: Clear communication of a strategy will provide officers responsible for procurement with the most up to date guidance when procuring goods and services on behalf of the Council. This will also help to confirm that the Council complies with its regulatory responsibilities.	2	The current Procurement Strategy will be reviewed and updated in time for the new 2019/20 financial year.	Procurement Officer	31/03/2019	31/03/2021	Outstanding	This has been delayed due to the Procurement Officer being on long term sick leave. Further changes to the strategy are also expected as a result of an ongoing senior management restructure.
NN1817 Waste Management	Recommendation 1: A review of M3 users is carried out and any accounts belonging to staff who have left the Council are deactivated. Future leavers should be deactivated when notification of their departure is received from HR. Rationale and risk: Promptly deactivating old user accounts will help manage systems access more effectively by ensuring only those requiring access actually have access. If users are not removed, especially from the administrators group, there is a risk of inappropriate changes being made using these accounts.	2	Agreed. Access Policy and Procedure to be written which covers granting access to new users and removal of leavers. This is being tied in to the implementation of the Assure System. In the meantime the Environmental Protection Manager is acting as the control point for all new user access.	Environmental Protection Manager	28/09/2018	30/11/2021	Outstanding	This is still in progress and will be actioned once the service is in a position to be able to do so as part of the IT implementation. The same controls as in the last update are still in place.

**APPENDIX 4 OUTSTANDING INTERNAL AUDIT RECOMMENDATIONS – 2018/19 AUDIT REVIEWS**

Job	Recommendation	Priority	Management Comments	Responsible Officer	Due Date	Revised Due Date	Status	Latest Response
NN1914 Environmental Health	Recommendation 2: An updated version of the licence register is published on the Council's website, using the method used prior to Assure implementation if necessary.	2	Agreed	Environmental Protection Manager	30/05/2019	31/03/2021	Outstanding	The software functionality is still not available to the Council. It is expected to be in place by March 2021.

**APPENDIX 5 OUTSTANDING INTERNAL AUDIT RECOMMENDATIONS – 2019/20 AUDIT REVIEWS**

Job	Recommendation	Priority	Management Comments	Responsible Officer	Due Date	Revised Due Date	Status	Latest Response
NN2001 Project Management Framework	Action Point 1: Develop and implement a formal process for selecting which proposed projects should go ahead. This should include assessing whether the project is: suitable (i.e. meets the Council's corporate objectives) acceptable (to various stakeholders) feasible (sufficient resources, both financial and officer availability)	2	Agreed. Progress will be monitored by Internal Audit.	Head of Legal Services and Monitoring Officer		31/03/2021	Outstanding	The issues raised in the Position Statement of last August have been shared with SLT and reported to GRAC - however, with issues within the SLT and then the COVID response the majority of the recommendations have yet to be implemented in full. It has been proposed to establish a small Corporate Delivery Unit, which will develop and provide oversight to project governance and management arrangements. This team will meet with the Chief Executive in early November to agree a revised project appraisal process, with project thresholds clearly defined for Small, Medium and Large projects. At the same time the Cabinet, at their meeting of the 5th October, agreed a refined set of Delivery Plan objectives (three key actions under each of the six Corporate Plan priority objectives) which will prioritise activities over the next 6 - 9 months recognising the reality of reduced capacity due to COVID and operating as far as possible Business As Usual. The project governance principles will be applied to both these 18 priority actions and new and emerging projects - with the first projects



								discussed with the CDU team being the existing Sheringham Leisure Centre Replacement Project (under construction); the North Walsham Heritage Action Zone Project (which has its own reporting framework which will need to reflect / be aligned with the wider corporate framework); the proposed Tree Planting Project; and a "new" project - Fakenham A148 Roundabout project - which is arguably the "first" project which would be taken through the new framework arrangements from a standing start.
NN2001 Project Management Framework	Action Point 2: Update the guide to project management. In particular, this should include: removing outdated references to posts/staff members developing a template for progress reports add Finance representation to project teams to advise on financial matters update project risk scoring to align with corporate risk scoring.	2	Agreed. Progress will be monitored by Internal Audit.	Head of Legal Services and Monitoring Officer		31/12/2020	Outstanding	To be actioned by the new Corporate Delivery Unit.
NN2001 Project Management Framework	Action Point 3: Ensure consistency of documentation and record keeping for all projects, using a central database. Use of standard templates will enable more effective comparison between projects.	2	Agreed. Progress will be monitored by Internal Audit.	Head of Legal Services and Monitoring Officer		31/12/2020	Outstanding	This is under development through the CDU - will be a refinement of what is currently in place rather than a complete new start.
NN2001 Project Management Framework	Action Point 4: Regular updates to senior management on project progress to be provided, including details of issues arising and remedial actions required. This should include updates on projects within the Digital Transformation Programme, although not at the same level of detail. Updates need to be at a frequency which allows the information presented	2	Agreed. Progress will be monitored by Internal Audit.	Head of Legal Services and Monitoring Officer		31/03/2021	Outstanding	This will be addressed through the new management structure, which will focus on accountability for delivery.

	to be meaningful/informative and allow queries/challenge.							
NN2001 Project Management Framework	Action Point 6: Ensure that funding is formally confirmed and in place for all projects prior to approval and commencement – this links to the 'feasibility' criteria in Action Point 1.	2	Agreed. Progress will be monitored by Internal Audit.	Head of Legal Services and Monitoring Officer		31/03/2021	Outstanding	There is a need to strike a balance between investing some small or very small amounts of funding for some "seed-bed" projects approved by the Cabinet, which do then not move forward without a very clear "traffic light" type of system such that there isn't a "formal start" until a full funding package is secured or the project is broken down into deliverable "chunks" or phases to minimise risk of abortive works / expenditure. There have been examples of style being implemented effectively, such as the Deep History Coast Project.
NN2001 Project Management Framework	Action Point 7: Funding requests to Cabinet/Council should be robust and have input from Finance, to reduce the risk of budget overspend and to more accurately control the Council's budgets.	2	Agreed. Progress will be monitored by Internal Audit.	Head of Legal Services and Monitoring Officer		31/03/2021	Outstanding	This does happen to some extent but will be developed further in the context of the new arrangements.
NN2001 Project Management Framework	Action Point 8: Initial risk assessments be completed consistently between projects, using a standard template and methodology. Risk assessments are subject to regular review and update including those in respect of the DTP projects.	2	Agreed. Progress will be monitored by Internal Audit.	Head of Legal Services and Monitoring Officer		31/12/2020	Outstanding	This is essentially in place but will be given wider ownership under the new management structure.
NN2001 Project Management Framework	Project objectives and milestones are defined at the beginning of the project and progress against these is regularly reported on.	2	Agreed. Progress will be monitored by Internal Audit.	Head of Legal Services and Monitoring Officer		31/12/2020	Outstanding	This is essentially in place but will be given wider ownership under the new management structure.
NN2001 Project Management Framework	Post-implementation reviews to be completed for all major projects to identify areas of success and lessons learnt for future projects.	2	Agreed. Progress will be monitored by Internal Audit.	Head of Legal Services and Monitoring Officer		31/03/2021	Outstanding	There are good examples of this being implemented - the best being the post project review and evaluation of the Bacton & Walcott Sandscaping Project - where an

								independent post-completion evaluation was undertaken by a department of the UEA and have project team meetings proposed to review performance of the scheme annually. However, this still needs to be implemented across the board.
NN2004 - Section 106 Agreements	Recommendation 1: Individual obligations and triggers from S106 agreements are recorded and monitored on a systematic basis, by a designated officer.	2	Agreed, but requires a single officer to be designated for monitoring of S106. This provision is linked to delivery of integrated monitoring software.	Head of Planning	30/04/2020	31/03/2021	Outstanding	No single officer has been appointed to monitoring role. The role remains operational under the case officer, property information, housing and finance officers. Responsibility remains under Head of Planning. To be reviewed once planning applications software system has been updated in January 2021.
NN2004 - Section 106 Agreements	Recommendation 2: Deadlines for spending financial contributions be recorded with each sum received. Deadlines to be routinely monitored and decisions made in respect of the use of monies at agreed intervals prior to deadlines approaching, including the two cases found where the deadlines had passed.	2	Agreed. Short term pre Q2 2020 meetings to be held on with group accountant quarterly to risk assess upcoming spend deadlines. Mid to long term software introduction for trigger monitoring	Head of Planning	30/04/2020	31/03/2021	Outstanding	Remains subject to internal meetings for spending review, to be reviewed once planning applications software system updated (January 2021 onwards).
NN2004 - Section 106 Agreements	Recommendation 4: Parish and town councils are regularly informed of money from S106 agreements that is available for them to spend and be required to submit expenditure commitments within given deadlines, giving explanations for monies held for extended periods with no commitments, through a quarterly statement of existing and new receipts that is updated and returned to the Councils designated officer.	2	Agreed. Short term – pre 30/04/2020 lead by quarterly meeting with group accountant. Mid / longer term Post 30/04/2020 software is publically viewable and monitoring officer will be tasked with contacting PC/ TC.	Head of Planning	31/01/2020	31/01/2021	Outstanding	Capacity implications have arisen from Covid-19 response, meaning this has not been completed. Now awaiting new software introduction to implement this.
NN2004 - Section 106 Agreements	Recommendation 5: The process for approving the expenditure of S106 funds and	2	Agreed. Process map to be agreed by the Major Projects Manager, or the Head of	Head of Planning	31/01/2020	31/01/2021	Outstanding	This remains subject to internal meetings for spending review, to be

	ensuring that it is in accordance with the agreement be formally agreed and consistently applied, with evidence retained.		Planning and group accountant.					reviewed once planning applications software system updated (January 2021 onwards).
NN2004 - Section 106 Agreements	Recommendation 3: Legal advice is to be sought for S106 agreements where contributions are not spent within the given timeframe. The advice should include whether the Council must repay the monies should be refunded to the developer, with interest, or whether the developer has legal right to request a refund on monies spent after the deadline.	2	Agreed. This will be on a bespoke case by case basis legal consultation will be undertaken where triggers are missed.	Head of Planning	30/11/2019	31/01/2021	Outstanding	The terms of S106 vary on this matter, historically there was little if any provision for unspent commuted sum to be refunded, while more recent agreements from 2016 onwards include repayment clauses. Records on new system to include alert to spending triggers.
NN2009 - Planning Applications and Development Management	Recommendation 2: Response time targets and fees for pre-application work be reviewed, to ensure that they enable good quality, timely responses to be provided to applicants.	2	Agreed, but to be actioned post go-live of UNIfarm system. NNDC customer satisfaction survey to correlate with review of Pre-application advice service. This will commence on 1st July 2020, to complete by 31st October 2020.	Head of Planning	31/10/2020	30/06/2021	Outstanding	Unfortunately due to the Council's response to the Coronavirus pandemic we have not yet got UNIfarm live. However, this is happening imminently on 7th December 2020. There are a number of necessary updates to UNIfarm required quickly post go live (to be completed by end of March 2021) and thereafter we can look to review the pre-application advice service and alongside this a customer survey.
NN2009 - Planning Applications and Development Management	Recommendation 4: Monthly reconciliations of planning fee income be reinstated and subject to independent review.	2	Agreed. Meeting with Finance to ascertain procedures and regularity of reconciliation to be arranged and then actioned. The timescales will be as follows:28/02/2020 (meeting)31.03.2020 (procedures in place, staff trained as necessary)01.04.2020 (new procedures commence for start of financial year)	Head of Planning / Head of Finance	01/04/2020	31/01/2021	Outstanding	Unable to recommence due to capacity issues arising from redeployment to Covid-19 response and delivery of new planning software. To be reviewed in January 2021, as the new planning software may assist with the process.
NN2010 Risk Management	Recommendation 1: A clear decision-making process be defined for escalating and de-escalating risks from service risk or project risk to corporate risk, and vice versa.	2	Agreed – this can be added in to the framework for agreement and monitored through the new InPhase risk module. However the process has been discussed and	Policy and Performance Manager	30/11/2020	New date required	Outstanding	

			shared with SLT and any service level or project risks that are scored within the 'red' zone ie a score of 15 or more.					
NN2014 - Affordable Housing and Housing Enabling	Recommendation 1: The Council is to review the sums available and liaise with partners and community groups regarding potential uses for these funds, to ensure that they are to deliver affordable housing in the district, in accordance with the S106 agreement.	2	Agreed. The Council will review the procedures for holding these S106 receipts and evaluate options for putting it to use in the delivery of affordable housing in a timely manner and in a way that does not jeopardise the receipt or use of such funds in the future. Such procedures can be set out in the forthcoming Housing Strategy.	Housing Strategy & Delivery Managers	01/09/2020	28/02/2021	Outstanding	A report was recently presented to Business Planning (an informal meeting of Cabinet) which set out the level of s106 receipts and also made some initial recommendations for their use. This report was supported by members. A request has been made to establish a "s106 housing enabling" budget in next year's capital programme. Decisions on individual uses of the s106 monies can then be made under delegated authority or via a Cabinet report – depending on the level of the contribution to an affordable housing scheme recommended.
NN2016 Cyber Security	To achieve level 4 the secure configuration of digital assets has to be proactively monitored by the use of regular vulnerability scans. Appropriately trained personnel must be responsible for the maintenance of secure configurations.	2	Agreed.	Head of Business Transformation	30/06/2020	New date required	Update required	Management update required.
NN2016 Cyber Security	To achieve level 4 user accounts must be regularly reviewed to ensure access is appropriate. Account usage has to be monitored and adverse incidents investigated. Security concerns must be reported to senior management for action.	2	Agreed.	Head of Business Transformation	30/04/2020	New date required	Update required	Management update required.
NN2017 – Cadcorp SIS (GIS) Application Audit	Recommendation 2: The Council to ensure that the formally documented operational Cadcorp policies and procedures are reviewed on a regular basis.	2	Agreed. We have documentation but it does need reviewing and updating and with a new member for the team to be recruited it will be ideal timing to bring them up to speed too	ICT Applications Manager	31/07/2020	31/12/2020	Outstanding	This work is in progress, but Covid-19 has had the impact of an increased workload initially. Also, the Council has not been able to recruit a replacement for its GIS Support Officer currently, due to a change

								in funding this year, so the resources needed to complete this task have not been available.
NN2017 – Cadcorp SIS (GIS) Application Audit	Recommendation 1: Management to ensure the GIS service is resourced appropriately according to workload to ensure that continued appropriate seamless support and resilience for the Cadcorp environment is put in place.	2	The role of GIS Administrator has been recruited and the successful candidate starts in post on 14/02/2020. The successful candidate is Carlos Jara Alvarez, previous incumbent of the GIS Support Officer role therefore the shortfall in GIS resource remains. The GIS Support Officer post was a fixed term contract due to end in October 2020 so this is currently under review by the Head of Digital Transformation and IT. Once the term of this post has been clarified it will be recruited accordingly	ICT Applications Manager	01/05/2020	30/04/2021	Outstanding	Recruitment on hold until next year's budget due to Covid-19.

## Project Management - Approval, Governance and Reporting (DRAFT)

### Project approval

#### 1. Completion of project proposal and determination of project size

The initial stages of any project starts with the completion of a **Project Proposal**. This template seeks to determine the scope and potential budget of a proposed project and encourages the writer to think about potential risks, timeframes, consultees etc. but just as importantly, should provide sufficient information to inform a decision regarding its outcomes and deliverability. The proposer determines the size of a project using a simple Q&A matrix. Examples of complete project proposals will be available to help those who have not completed one before. We would estimate it should take no longer than 1 hour to complete the form.

#### 2. Project Check by CDU

Project Proposals are submitted to the CDU to be checked as follows:

- Completeness – have all questions been answered?
- Content – are the responses reasonable, considered and give sufficient information? Is there anything obviously unclear or omitted?
- Budgets – do the figures given look realistic? Have staff costs been taken into account etc. (Finance to check also)
- The CDU will then run medium and large projects through ‘a sieve’ to determine their weighting towards delivery of the corporate plan. This system gives a score to measure a projects deliverability and impact including how it supports the delivery of the Corporate Plan

#### 2a Projects review by CLT

Small projects (as defined at the Project Proposal stage) will be approved/rejected/parked by CLT or be requested to be elevated to Medium project status. Small projects are anticipated to be covered by revenue budgets. Other projects will receive a light touch review to ensure they are suitable for discussion at Business Planning Group.

#### 3. Business Planning Group (BPG)

All projects will progress to the Business Planning Group to consider but priority is likely to be given to those that score highly through the sieve.

The BPG does not ‘approve’ any projects but will;

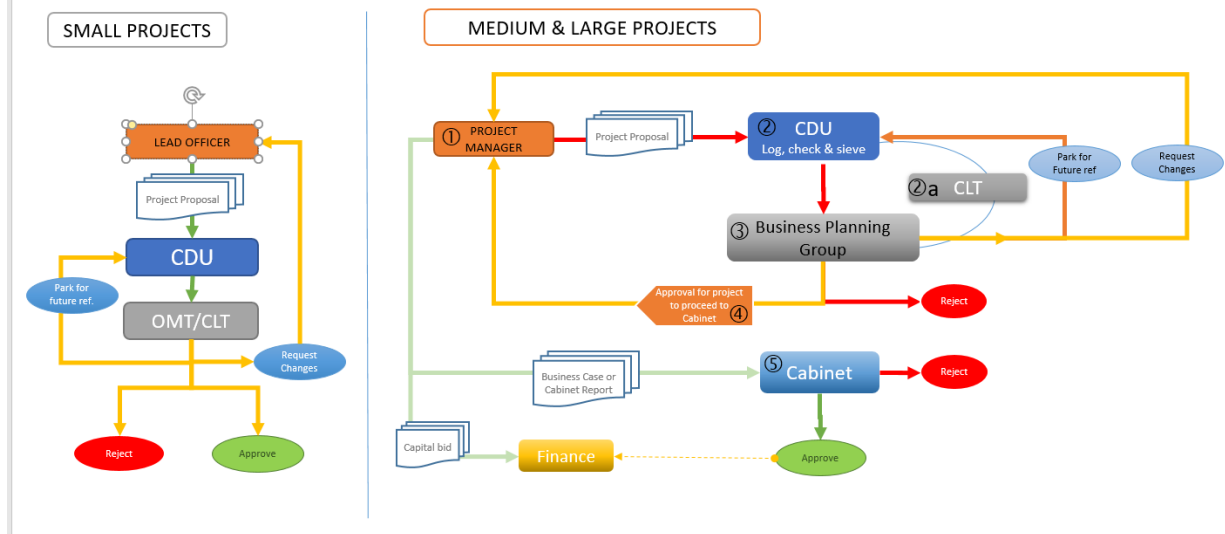
- a) recommend the proposal proceed to Cabinet with a Business Case or Cabinet Report (stage 4)
- b) request amendments or further detail
- c) park a project - suggesting the proposal is worthy but not a priority. Such projects may also be considered likely to attract funding and will be ‘stored’ for future reference and application., or
- d) reject.

#### 4. Cabinet

Cabinet approves or rejects the project. Projects should not receive funding offers or capital cost codes until Cabinet has formally approved the project. Currently the Finance team requests capital bid forms to be completed simultaneously and this may not necessarily work if we are expecting a year round flow of projects coming forward. Therefore, this element needs further discussion and resolution.

Approving projects should be a **standard** procedure.

## Project Approval Process



## Project Governance

Different sized projects will require different levels of governance. Fuller descriptions and templates will be available to officers through a refreshed **Project Management Guide**.

**Small projects** may consist of a team of 2 or 3 officers reporting to a Senior Responsible Officer (Section Manager or Assistant Director). A project manager needs to be identified but the creation of a Project Proposal is the minimum. They need to also issue a **project closure notification** once completed (or cancelled). Specific Issues and exceptions can be elevated to OMT/CLT for a decision. These are usually carried out using Revenue budget funds.

We anticipate approx. 60 small projects per year. Examples include; reviews, small refurbishments, cross team office moves, some software upgrades.

**Medium Projects** generally carry a larger (capital) budget and more risk but the team/service delivering the project is likely to have some experience in this type of work. Medium Projects do require a formal project team to be identified and it is suggested that the Project Manager should report collectively to a Project Board set up by each Assistant Director to cover all medium projects under their remit.

We anticipate approx. 40 medium projects per year. Examples include; Electrical vehicle charging, New build toilets, Mammoth Marathon, HR IT system.

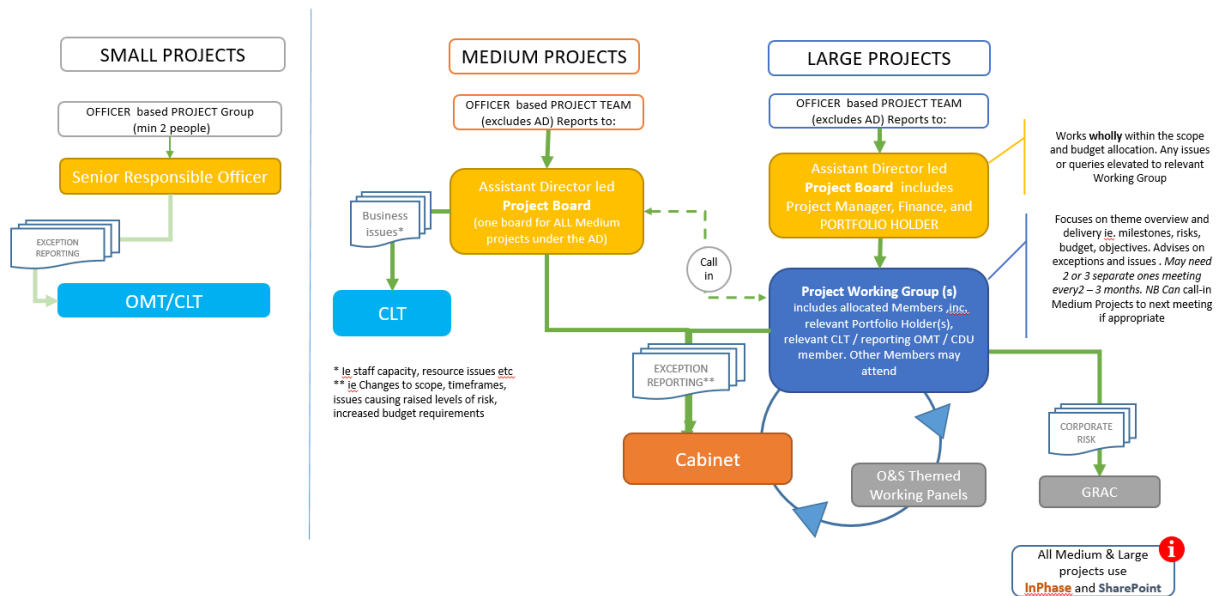
**Large Projects** are likely to be those that aim to directly deliver the Corporate Plan, some may be high risk and/or high budget and more complex in delivery. They are also likely to include significant consultation/stakeholder engagement or working with external bodies. Each of these projects will need a Project Board which reports quarterly to a Project Working Party. The Projects Working Party will offer advice and assist with key decision / issues (e.g.: major stakeholder events, contract awards etc.). They will make recommendation on exceptions that need elevating to Cabinet.

We anticipate approx. 10 large projects per year. Examples include; Bacton Sandscaping, North Walsham HAZ, Splash replacement, Tree Planting Project.



There has been some discussion on the need for ‘themed’ working parties to make decisions – or whether just one meeting to cover all large projects would be preferable. Whilst our preference would be to split them up, on the grounds of capacity for both the attendees (it will take some time to work through potentially 10 projects) but also on the CDU and Democratic Services who will have to draw information from 10 different projects every month as opposed to 3 or 4 per month on a rolling basis. Having to manage 10 projects collectively will also significantly reduce the opportunity for Working Groups to ‘call in’ any Medium projects should they want to.

## Project Governance



Any significant Project or Corporate risk will be acknowledged at these meetings and any change in status will be captured and reported to GRAC.

Overview & Scrutiny will review both Project Working Parties and Cabinet decisions at O&S working panel meetings. These meetings will review projects on a themed basis. These working panels are expected to meet quarterly on a rolling basis.

The following tables indicated project related tasks per group.

**Project roles and suggested set up** (further details on roles and responsibilities will be available in the Project Management Guide)

**Medium projects**

	Project Team Meetings	Project Boards	CLT/OMT(ADs) meetings	Business Planning Meeting	Project Working Party	Cabinet
Who	Project Manager Other relevant officers	Assistant Director, PMs, (Optional: <b>Portfolio Holder</b> , other experienced officers if required i.e. Finance, Comms, IT)	CLT & OMT (ADs)	Cabinet & CLT (& ADs?)	Portfolio Holder (as member of WP)	Cabinet members
What	Collectively deliver projects Create project documentation Undertake InPhase reporting	Provide support and advice. Ensures teams stay within project scope and budgets. Reviews risk. Manages exception reporting to CLT /Cabinet	Resolve/advise on business related exceptions.	Review Project proposals Discuss priorities and capacity. Horizon scanning. Informal discussion.	May 'call-in' a Medium project only if there are issues or questions that Members consider need to be raised.	Deals with Project Approvals and Exception reporting only
When	Every 3-6 weeks depending on project	Every 2 – 3 months depending on need	Submissions as required (will they meet Monthly?)	Meets fortnightly	On specific request only	Monthly
Why	Planning and delivery of project.	Reporting all medium projects together (grouped by AD) will keep focus but allow sharing of information (lessons learned etc.)	Exceptions relating to business matters should be raised with CLT for resolution. CLT will make recommendations for significant change to scope or budget to be elevated to Cabinet for approval.	Provides political check. Opportunity to discuss ideas or shape projects prior to approval		Significant changes to project scope and budgets* must be agreed by Cabinet
Minuted	Suggest action points as minimum	Yes	Yes	Action points only	Yes	Yes
Others	On request	CLT, CDU can attend if required	On request	On request		On request
Other points		Allows officers to share information and experience. Gives overview.	Maintains overview	Provides sounding board for ADs		

\*parameters based on % of total income originally approved.(TBC)

## Large Projects (Key Corporate Plan Objectives)

	Project Team Meetings	Project Boards	CLT/OMT meetings	Business Planning Meeting	Project Working Party (ies)	Cabinet	Overview & Scrutiny WP
Who	Project Manager Relevant other officers or appropriate stakeholders	Assistant Director, PMs, <b>Portfolio Holder</b> , Finance	CLT & ADs (OMT)	Cabinet & CLT (and ADs?)	Assigned Members (Portfolio Holders) CLT, ADs	Cabinet Members	Members of O&S (cross party)
What	Deliver the ongoing elements of the project. Create project documentation	Provide support and advice. Ensure teams work within project scope and budgets. Manages exception reporting to PWP and CLT	Resolve/advise on Business related exceptions.	Review Project proposals Receive high level RAG updates on M/L projects Horizon scanning. Informal discussion.	Review projects against milestones and budgets. Review risk. Deal with exception reports.	Deals with Project Approvals and exception reporting only	To scrutinise Project Working Party and Cabinet decisions.
When	Every 3-4 weeks depending on project	Quarterly prior to relevant PWP if applicable	Monthly	Fortnightly	Quarterly (themed rolling?)	Monthly	Quarterly (themed rolling)
Why	Ensures timely delivery of project.	Allow sharing of information		Provides political check. Opportunity to discuss ideas or shape projects prior to approval	To obtain an overview of specific Corporate Objectives.	To maintain a corporate overview. To maintain control on budget and scope creep.	To ensure a balanced and transparent approach to decision making.
Minuted	Yes – action points as minimum	Yes by Corporate PAs	Yes By Corporate PAs	No but actions recorded	Yes by Democratic Services	Yes by Democratic Services	Yes by Democratic Services
Others attending?	On request	On request, CDU/CLT can attend	No	On request	Other Members/officers can attend	Open meeting	Open meeting

## Project information flow

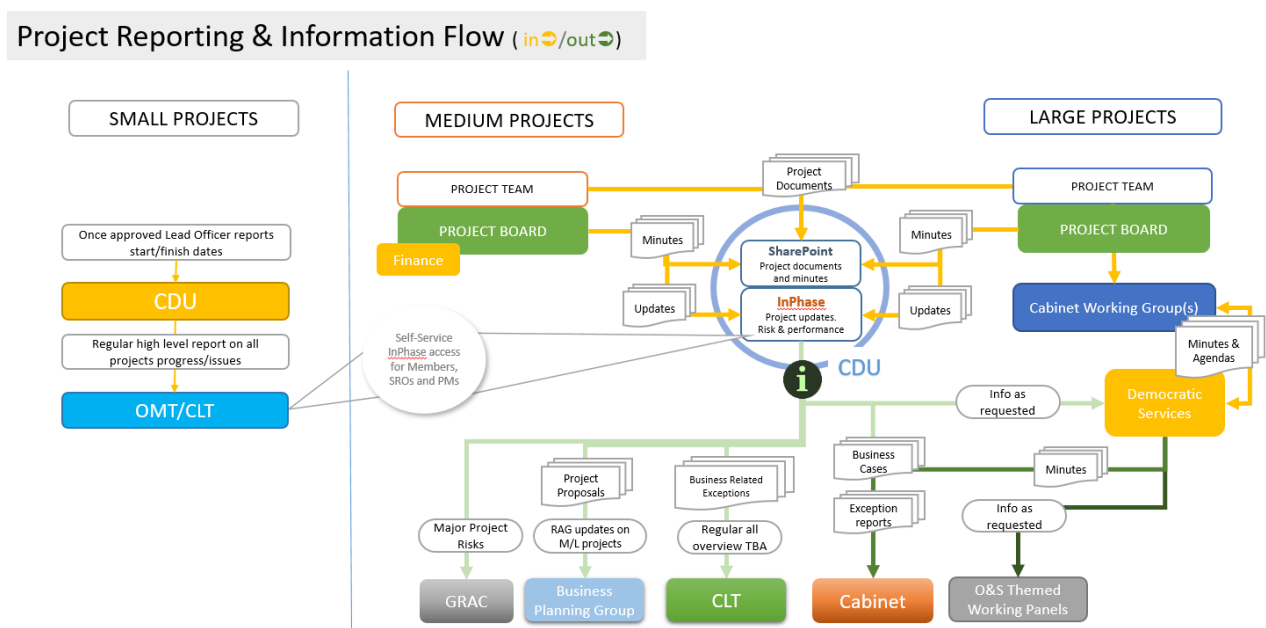
There are two key tools that the CDU will use and manage that will help provide information for the various groups.

**InPhase** will be updated by Project Managers on a regular basis against set milestones. This software will also provide a wider picture on progress, essentially against the delivery of the Corporate Plan Objectives.

**SharePoint** is where we will be asking all details of the project to be held. As a minimum this must include the project proposal, business case, PID, risk register, project plan and minutes of the Project Board. The CDU will be able to access these folders to obtain updates for some reports or draw information on exceptions and risk. The folder will act as a central depository for documents that will fulfil a future best practice library function.

The CDU will work closely with Democratic Services and Finance to ensure fluidity of information flow to ensure notice of items for agendas, potential budget changes etc. are highlighted and are readily accessible. This area needs further development, but Democratic Services have been involved in developing this proposal thus far.

The following diagram gives an overview of information flow but it is important to ensure reporting is proportionate and specific to each group concerned so they are able to make informed decisions.



## On-going Project Information sources

Who	What	Supplied by CDU via:
CLT (& OMT?)	<ol style="list-style-type: none"> <li>1. High level RAG overview of all medium/large projects. (monthly?)</li> <li>2. List of small/medium/large projects completed</li> <li>3. Other project documents as requested</li> </ol>	<ol style="list-style-type: none"> <li>1. Inphase</li> <li>2. Report</li> <li>3. Sharepoint</li> </ol>
Cabinet	<ol style="list-style-type: none"> <li>1. Summaries of progress against delivery of the Corporate Plan (Quarterly)</li> </ol>	<ol style="list-style-type: none"> <li>1. Inphase</li> <li>2. Liaison with PM / Board minutes</li> </ol>

	2. Exception reports/requests through standard template as required	
O&S	Information supplied on request through Democratic Services	Inphase, Sharepoint and 1:1 liaison.
Business Planning Group	On request	
Individuals	CLT, OMT and most senior managers, Members should be able to access InPhase to view progress in due course	Updates requested
GRAC	Updates on any high risks identified by large projects.	CDU

There is an important distinction between having information to provide an overall picture and needing specific information in order to act on it through decision making processes, for example. It is recognised that levels of information required by each group may change or develop as the process is embedded.

In an effort to obtain some standardisation, it is important to ensure all groups understand the role they take in the process and where their remit ends and another begins. This can be clarified early on through terms of reference for Boards and working groups and this will be clarified more fully in the refreshed project guide and any associated training.

At this stage, from the CDU perspective, the focus is on identifying and developing the tools and templates that will supply different types of information at various stages in as simple and efficient way possible for both information supplier and recipient group.

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2020/21

# Project Management Guide



These guidelines incorporate some elements of the Norfolk Project Management Partnership Toolkit which was developed by EEDA with the support of the ODPM Capacity Building Fund and in Partnership with East Hertford District Council.



Breckland





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# Section 1

## Managing our projects

The Council aims to standardise how its projects are managed and anyone considering setting up a project will need to read these guidelines prior to its development.

### Why we need Project Management

Project management is much more than the tasks carried out by a project manager. Project management is a combination of the roles and responsibilities of individuals assigned to the project, the organisational structure that sets out clear reporting arrangements and the set of processes to deliver the required outcome. It ensures that everyone involved knows what is expected of them and helps to keep cost, time and risk under control.

Project management skills are essential for any complex task, where different outcomes are possible, requiring planning and assessing options, and organizing activities and resources to deliver a result. Projects come in all shapes and sizes, from the small and straight-forward to extremely large and highly complex. Project management can be concerned with anything: people, products, services, materials, production, IT and communications, plant and equipment, storage, distribution, logistics, buildings and premises, staffing and management, finance, administration, acquisition, divestment, purchasing, sales, selling, marketing, human resources, training, culture, customer service and relations, quality, health and safety, legal, technical and scientific, new product development, new business development; and in any combination.

Project Management techniques and methodology (such as PRINCE II) have been designed to help ensure projects do not fail and for very large projects the use of the PRINCE II methodology is a useful tool. However, it is felt that, for many of the projects undertaken on a daily basis at the Council, a simpler more user friendly approach needed to be devised to help ensure projects are managed, not only in agreed format and approach and also in a way that is appropriate for different sized projects, understandable to unqualified project managers and simple to use for all concerned!

### Why projects fail

NNDC is going through a significant period of change and with change it is not uncommon to feel the pressure to achieve more under ever-increasing time and resource pressures. In these circumstances, project failures are all too common and are not only demoralising to those concerned but are often costly and unnecessary.

These are some of the more common reasons for projects failing. An awareness of these may improve your ability to avoid them within your own projects:

- Unclear or inadequately defined requirements
- Unrealistic expectations
- Lack of senior management support
- Scope creep – new areas being added in after the project parameters have been agreed
- Insufficient (or excessive) planning
- Poor estimation of resources and task duration
- Missed/undefined activities
- Lack of resources (under-staffed and under –funded)

- Inadequate (or excessive) control
- Poor delegation and supervision

### Is the piece of work I am proposing a project or not?

Projects bring about change. This can range from a relatively small change (e.g. introducing a new set of operational forms or way of working) to something far more significant (e.g. constructing a new facility or installing cross-service software). Projects consume resources and require funding. Appropriate levels of management will be required according to the magnitude of the change.

The project is likely to include the following criteria:

- The project will have a defined measurable purpose or end objective.
- The project will bring about a benefit to the Council or support the delivery of a Corporate Objective.
- The project will have a defined start and end date
- The project is likely to have a separate specified budget (although this may not necessarily be a capital bid)
- A project will typically be a one-off and not an annual or repeated task

Use the following flow diagram to ascertain whether your task is a project.

### Step 1: Identify key people and complete a Project Proposal form

When completing this document it is likely that the person responsible for managing the project ie: the Project Manager, has already been identified and may well be requested to complete the Project Proposal! It is crucial the Project Manager understands what the project is about and what it aims to achieve. The Proposal document should bring about that clarity and enable any misconceptions or expectations to be highlighted at an early stage.

The Project Sponsor is a key Member of the team and ultimately responsible for the project. In most cases this will be an Assistant Director.

The Responsible Member is likely to be your Portfolio Holder and will play an important role in ensuring pol

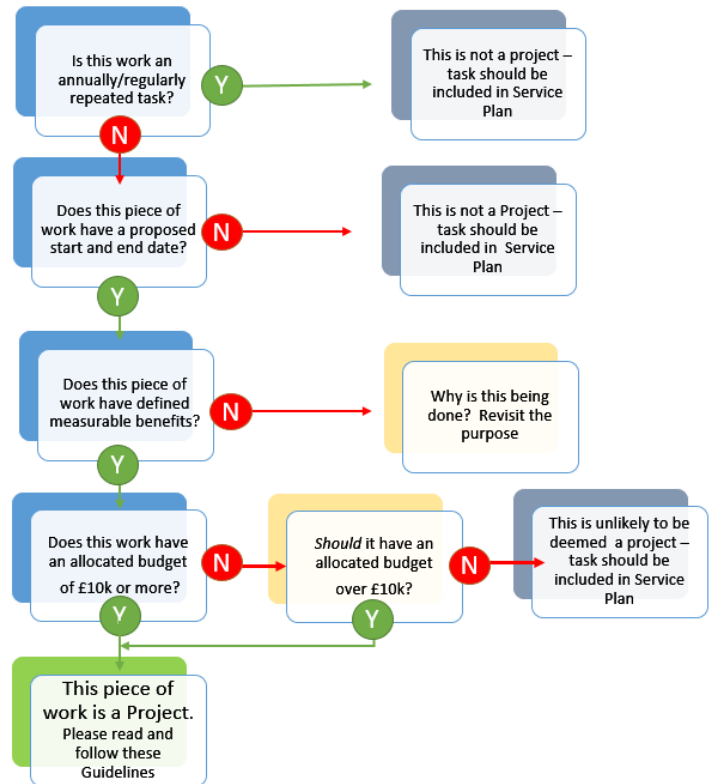


Figure 1: Task or Project?

## a) Completing a project proposal and scoring your project

Every proposed project should complete the [Project Proposal](#) document. It should not be onerous and is a useful tool to help you consider all angles before moving on. It is a key document that will provide Senior Officers and Members with the information they need to make a decision to proceed or not. Sitting down with your Manager may help you with this process or if preferred, a member of the CDU can help (email: [projects@north-norfolk.gov.uk](mailto:projects@north-norfolk.gov.uk))

Create your Project Proposal using (Template 1) in Section 2. All templates can be downloaded from the intranet and need to be filled in electronically.

## b) Scoring your project

After completing the [Project Proposal](#), and before submitting it, you need to score your project using the following matrix.

*Circle which of the following applies and add up scores as indicated in the heading banner*

	Score 1	Score 2	Score 3	Project Score
Project cost*	Up to £100k	£100k to £500k	Over £500k	
Timescale	Less than 3 months	3 – 6 months	Over 6 months	
Contributes to corporate objectives*	Does not contribute	Directly contributes to one objective	Directly contributes to two or more objectives	
Impact on staff/ service delivery	Minimal	Will involve retraining or new ways of working for some	Will involve significant impact on staff / service	
Impact on external policy or statutory obligation	Minimal	Some improvement	Significant improvement	
Involvement of stakeholders	Internal involvement of at least 1 service	Internal involvement of more than 1 service	Internal and external involvement	
Contracts *	No contracts involved	Low risk contract	High risk contract	
Tender Process	3 Quotes required (ie up to £50k)	Formal tender process applies (over £50k)	EU Procurement applies <sup>1</sup>	
Similar projects	Same/similar projects have been carried out by this service.	Same/similar to project previously carried out by another service	Entirely new work	
What is the risk of the project failing*	Low	Medium	High	
TOTAL SCORE				

### Definitions\*

*Project Costs – should include all costs involved including staff resources, set up and tendering costs etc*  
*Corporate Objectives (insert corporate plan link)*

<sup>1</sup> For procurement advice speak to the Council's Procurement Officer

Contracts – At this stage, an assessment based on known risks to the contract is sufficient for the purposes of scoring the project.

Project Failure is failure to deliver the outcomes, deliver on time and within budget

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### c) What the scoring means for you

A Project scoring between 10 and 16 is classified as a **small project**.

A Project scoring between 17 and 22 is a **medium project**.

A Project scoring between 23 and 30 is a **large project**.

The size of a project directly relates to the amount of project documentation and reporting you will need to undertake. This is summarised below and covered in more detail later in this document. This score can be changed by CLT, BPG or Cabinet during the approval process if it is deemed appropriate.

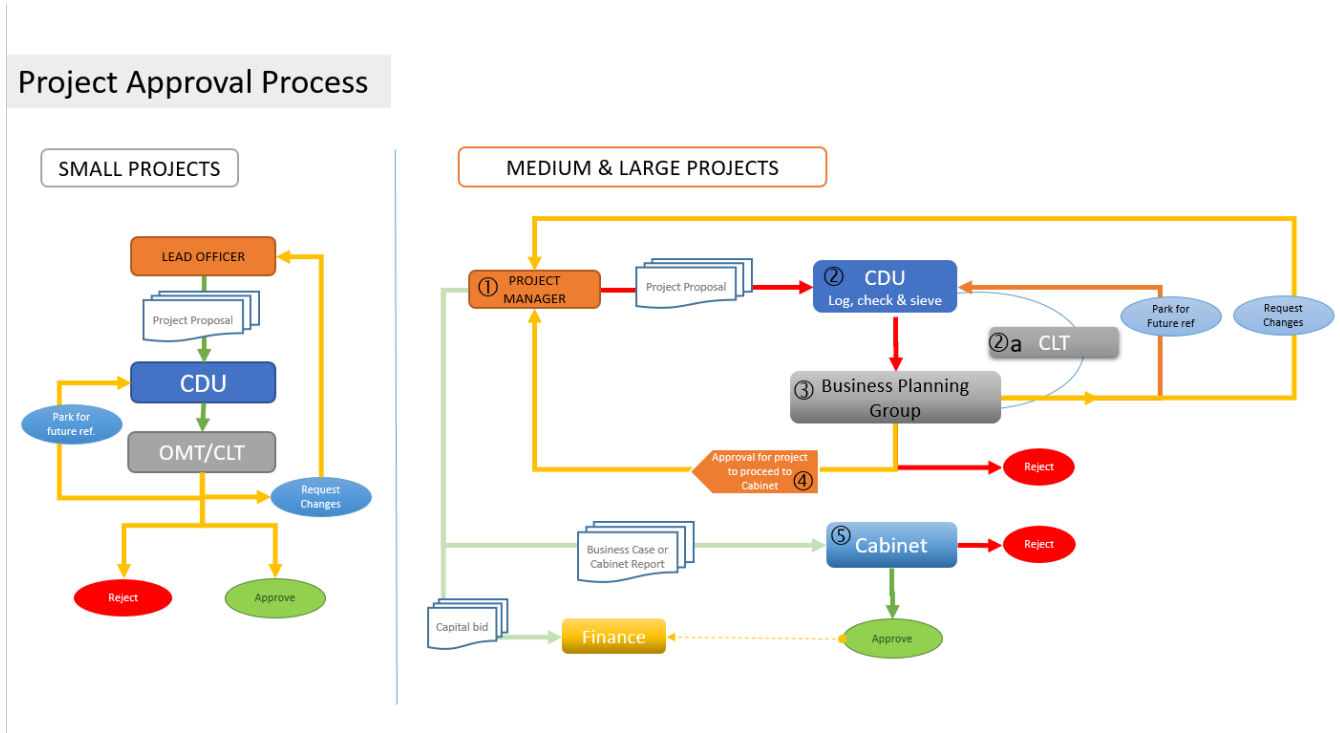
- S** **SMALL projects scoring between 10 and 16** as a minimum must ;
- Let the CDU know when the project commences
  - Notify the CDU of its completion or if the project is abandoned

- M** **MEDIUM projects scoring between 17 and 22** as a minimum must ;
- Have submitted a [Capital Bid Form](#) (if capital monies are required)
  - Have approval to proceed from **Cabinet** (via Business Case or Cabinet Report)
  - Use an allocated [SharePoint Project File](#) (electronic) to retain project related information.
  - Regularly review and report project risks to a [Project Team](#) / and a service-wide [Project Board](#) (managed by the Assistant Director).
  - Update progress through [InPhase](#)
  - Issue a [Project Closure Notification](#) to the CDU on completion

- L** **LARGE projects scoring 23 or above** as a minimum must ;
- Have submitted a [Capital Bid Form](#) (if capital monies are required)
  - Have approval to proceed from **Cabinet** (via Business Case or Cabinet Report)
  - Upkeep Project files and Project Plan in allocated Sharepoint site.
  - Put in place a structured governance including an appointed [Project Manager](#) and [Project Team](#) and [Project Board](#)
  - Produce [Project Initiation Document](#) (working document),
  - Update progress through [InPhase](#).
  - Issue a [Project Closure Notification](#) to the CDU on completion.

### d) What next?

Once you have completed the project proposal and scored it, the **Proposal Form** needs to be emailed to ([projects@north-norfolk.gov.uk](mailto:projects@north-norfolk.gov.uk)) for logging, checking and 'sieving'<sup>2</sup> by the CDU prior to being submitted for 'approval to proceed'. The CDU may ask for more information or clarification.



For Small Projects CLT will determine whether a project has approval.

For Medium and Large Projects the Business Planning Group will;

- 'Approve in principle' and request a Business Case or Report be written and sent to Cabinet, or
- They may request changes to or additional information on the proposal, or
- They may 'Park' the proposal. This means they like the idea but are parking it because there is, for example, insufficient capacity for it to proceed or that it is not a current priority or that it may be deemed suitable for a future funding bid, or
- They may reject the proposal.

### e) Future monitoring and closure

If the matrix defines your project as a **Small or Medium** project then it is the responsibility of Assitant Director managing the project to ensure that it is run to the appropriate corporate guidelines/strategies and ensuring the above minimum requirements are met. Medium projects will be expected to update progress via **InPhase**.

<sup>2</sup> The sieve is a structured method used to give each proposed project a 'score'. It is not a fail/pass score but rather one used to benchmark a projects ability against another to deliver an aspect of the Corporate Plan. All projects will go forward to the first stage of approval regardless of their score which is being used purely to indicate its ability to deliver. It is recognised that low scoring projects may be approved on their own merit if deemed beneficial.

If the matrix defines your project as a **Large** project you will be required to submit regular written updates via **InPhase** for reporting to CLT, Cabinet & O&S. You will be contacted regarding these by the CDU.

Once a Medium or Large project is completed (or abandoned), a **Project Closure Notification** needs to be emailed to ([projects@north-norfolk.gov.uk](mailto:projects@north-norfolk.gov.uk)). Small projects need to email the CDU a notification to say the project is completed (or abandoned).

## Step 2: Scope the Project and create a Business Case (or Cabinet Report)<sup>3</sup>



Providing the Project proposal is 'approved in principle' by the Business Planning Group (BPG) the next task is to create a **Business Case**. The Business Case aims to provide a detailed analysis of the proposed project including scope, options, budget details etc. The Business Case should follow the format of the *Business Case template. (TEMPLATE 2)* available in Section 2.

Don't make your Business case too long – keep it succinct. Some projects may require a Cabinet Report instead and you will be advised which is appropriate for your project.

### a) Scoping

It is important with any project to define all the work required, and **only** the work required, to complete the project successfully. It is primarily concerned with defining and controlling what is or is not included in the project. This is called scoping.

Scope the project to decide what the project will include and what it will not include. The more inclusive this activity can be the less chance of misunderstanding and disagreement at a later stage.

It is recommended that members of the project team, the sponsor, project manager and any other individuals/groups affected by the project take part in scoping the project as this will promote a common understanding of what the project will include. This has the additional benefit of helping to control expectations around what the project will or will not achieve.



**Exercises such as mind mapping are an effective in gathering a wider input from the group**

A group scoping activity is more likely to determine a true picture of what people wish the project to include/exclude.

### b) Budgeting

Both the Capital (initial outlay) and Revenue (running costs and income) implications of the proposal need to be fully costed. It is important that we know the whole life costs of projects to allow the Council to make an informed decision to proceed (or not). The Council is legally required to set a balanced budget, so it is necessary to have this information as complete as

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<sup>3</sup> Most Projects will require a Business Case. Statutory changes or projects where there are no options may be better producing a Cabinet Report.

possible. It is fine to use estimates of cost or income, as long as these have a basis. For example, costs experienced in similar projects could be used as a proxy if no direct cost information is available. As a minimum you should include:

- Initial outlay for project (eg the cost of acquiring land, building, software)
- Annual expenses (eg staff costs, repairs and maintenance, insurance)
- Annual income (eg rent, fees and charges)

Also consider any 'opportunity costs', which are the alternative uses for the money that we would be investing in the project being proposed, and whether the inclusion of optimism bias is appropriate.

Please speak to your accountant for a sense check, or if you are unsure on what to include. This information will also be used for financial viability checks, so please make them as accurate as you can.

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**Submit your Business Case/Cabinet Report to Cabinet (via Democratic Services).  
Cabinet will approve or reject the project.**

**You will also need to submit a Capital Bid form at this time to the Finance Department.**

### **Step 3: Once approved – establish your project team**

Once a project is approved, make sure the **right people are on board to deliver the project**. Depending on the complexity of a project consider if the team has a good mix of analytical skills, technical expertise, people with effective oral and written skills, networkers, motivators, problem solvers. Also take into consideration people's availability and capacity to contribute to the project. For small projects or those for which the service is experienced in delivering, this may be only 2 or 3 people for more complex larger projects this may be between 5 and 10 people.

It is important that members of the project team are not just managers; include frontline staff as well if appropriate. This will help to bring a balanced input to the project. Take account of people's previous experience and try to maximise the benefit of all of the team's ideas and experiences.

### **Step 4: Understanding the Project Governance**



**Small projects** will report directly to the Senior Responsible Officer or Assistant Director. Exceptions (ie significant changes to scope, timeframes or budget) are reported to CLT/OMT meetings. This will be on an ad-hoc basis.



**Medium projects** will report directly to an overarching Service Project Board which will meet every 6 – 8 weeks. Under the management of the Assistant Director, all medium project's Project Managers will attend the Board meeting at the same time. This will allow the sharing of information and experience (lessons learned) and help understand capacity. The Board has remit to make decisions wholly within the approved scope and budgets. These project board meetings must be minuted (or action points recorded) by a member of the team for audit and information purposes.

A medium project may be 'called in' by a Cabinet Working Party or Overview & Scrutiny Working Party if an update is required. Portfolio Holders are likely to form part of the



Board and members of Finance, Communications and CDU may be requested / or can request to attend.



**Large projects** will each require their own **Project Board**. The Board has remit to make decisions **wholly within the approved scope and budgets**. It ensures that the required resources are committed and arbitrates on any conflicts in the project. The Project Board provides overall direction to the project and is **accountable for its success**.

The Project Board should include;

- The Project Sponsor (Assistant Director)
- The Portfolio Holder / Responsible Member
- An appropriate representative from the Finance Dept
- A representative of the 'supplier' (eg a contractor)
- A representative of the end 'user'

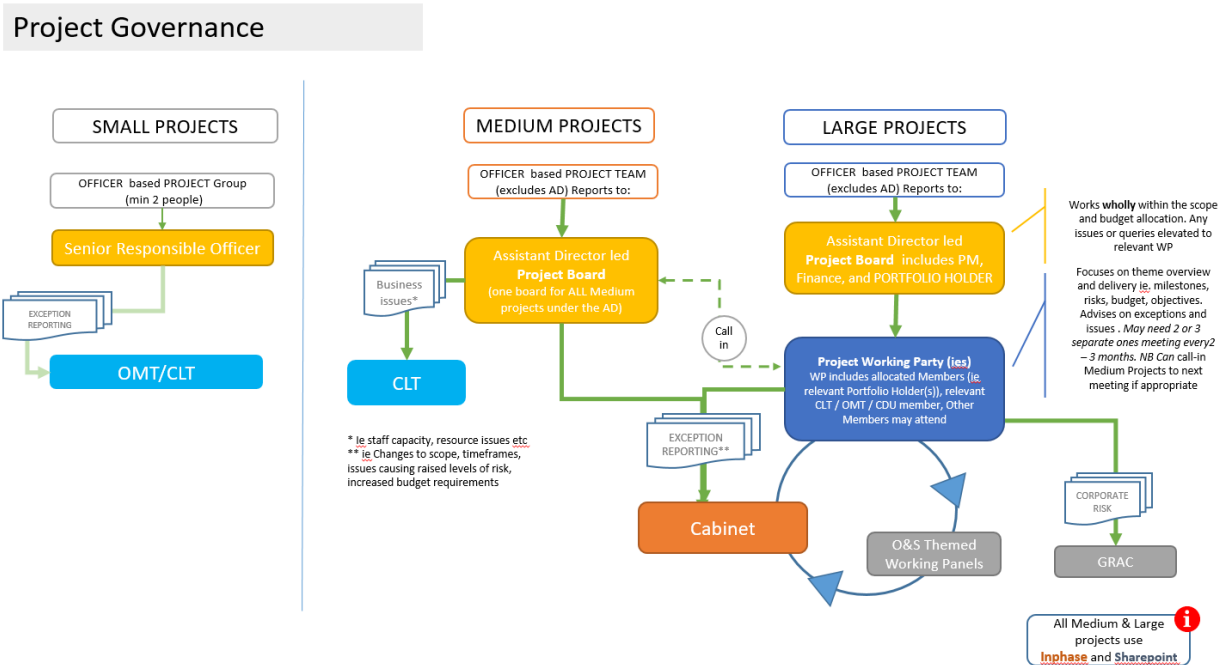
NB: The Project Manager is not a 'Member' of the Board but must attend to report progress / update / discuss change with the Board Members.

The minutes of this meeting will be taken by a Corporate PA and form an important audit trail and information point.

If the project is considered 'high profile' or 'high risk' the Project Board could also include;

- The appropriate local Councillor(s)
- A representative of an appropriate outside body
- A representative from the Communications Section

**Exception reporting, along side progress reporting against milestones and budgets are dealt with via a Cabinet Working Group**



A **Cabinet Working Group** will meet approximately every 2 – 3 months and deal with several large projects during each meeting. This group will be seeking an overview of the various projects that ensure the delivery of the Corporate Plan. This group authorises deviations/changes from agreed plans excepting when it is felt a significant deviation from scope or additional budgetary requirements, is needed in which case instruction will be given to seek Cabinet approval.

NB: The Cabinet Working Group may also 'call-in' any medium projects if there is any concern regarding its roll out or if further information/updates are required.

A member of CLT will attend these meetings. Other Members may attend.

The minutes of these meetings will be taken by a a member of Democratic Services and form an important audit trail and information point.



**Make sure everyone is very clear on their roles and responsibilities. The table given in Section 2 gives further details.**

## Step 5: Schedule the Project Team Meetings

Regular team communication is critical to the success of the project. Agree with the team the preferred frequency of meetings and the style of these i.e. formal, informal, on or off-site, office based etc.

- Set up regular/programmed meetings for the team to come together during the project – book these in your diary upfront.
- At the **first meeting** – review the Business Case, discuss elements such as communication streams, timeframes etc., allocate roles and responsibilities within the Project Team. For Large projects this information will need to be included in the Project Initiation Document (PID)
- Create a Project Plan and agree who within the team is responsible for the various elements which make up the plan. i.e. who is going to do what and when.
- Discuss how problems will be raised and how the team will be advised about changes which result from these.
- Produce minutes/action points of the meeting and retain in the Project Folder.

## Step 6: Develop a Project Plan and set up Project Folders

Project planning is a common weakness in project management. Frequently the time required to complete a project is underestimated because there is insufficient effort put into the planning process. As a consequence significant parts of the work are overlooked and the time, resources and budgets needed are often underestimated.

If done well the plan can be realistic and have the additional benefit of helping to cement the project team together as well as gaining a higher level of commitment from the team members to do their part of the work when it is planned and to the required standard.

Involve the whole team in developing the plan. Use collective working techniques such as brain storming, mind mapping or post-it note exercises to encourage everyone to contribute their ideas to the plan.

- Identify the tasks involved in the project
- Estimate the duration of each task
- Consider any deadlines or constraints which will influence this
- Sequence the tasks to see what needs to be done sequentially and what can be tackled at the same time (are some tasks dependent on others being completed first?)
- Decide who will do each of the tasks
- If specific resources are needed for these tasks also identify these
- Decide where the milestones are and where reports will be needed by the sponsor
- Use the estimated durations for each task to calculate a timeline for the project and for more complex projects carry out critical path analysis.
- If required, set out a budget plan or expenditure projection.



For simple projects you can probably plan the whole project in detail at the start. For longer and more complex projects it may be better to produce a high level plan first. This identifies the key pieces of work within the project. A detailed plan can then be produced for each of these stages as you progress through the work.

Use these planning techniques in proportion to the scale of the project. As a minimum you should aim to arrive at a basic timeline for all of the projects you tackle. More advanced planning is appropriate for the more complex projects.

### **Time Lines & Gantt Charts**

Time lines are an estimate of the time taken to deliver either a stage within the project – or the whole project. To arrive at a timeline, follow the sequence below:

- 1) Identify each task in the stage/project
- 2) Estimate how much time is needed to complete the task
- 3) Place each task in sequence - Note some tasks will follow one from the other (are sequentially dependent) also some tasks may need to be done in sequence because they are dependant on the same people/resource. Other tasks may be able to be tackled at the same time (parallel processing).

Microsoft Project is designed to assist with producing project programmes, work schedules and gantt charts as well as helping Project Managers to better manage their projects. This tool could be considered overly complex for small projects. Training in its use is essential. At this point in time Microsoft Project is only available on request from ICT and does not form part of the 'standard' Microsoft software package. Therefore not all project team members will be able to read or edit the project plan.

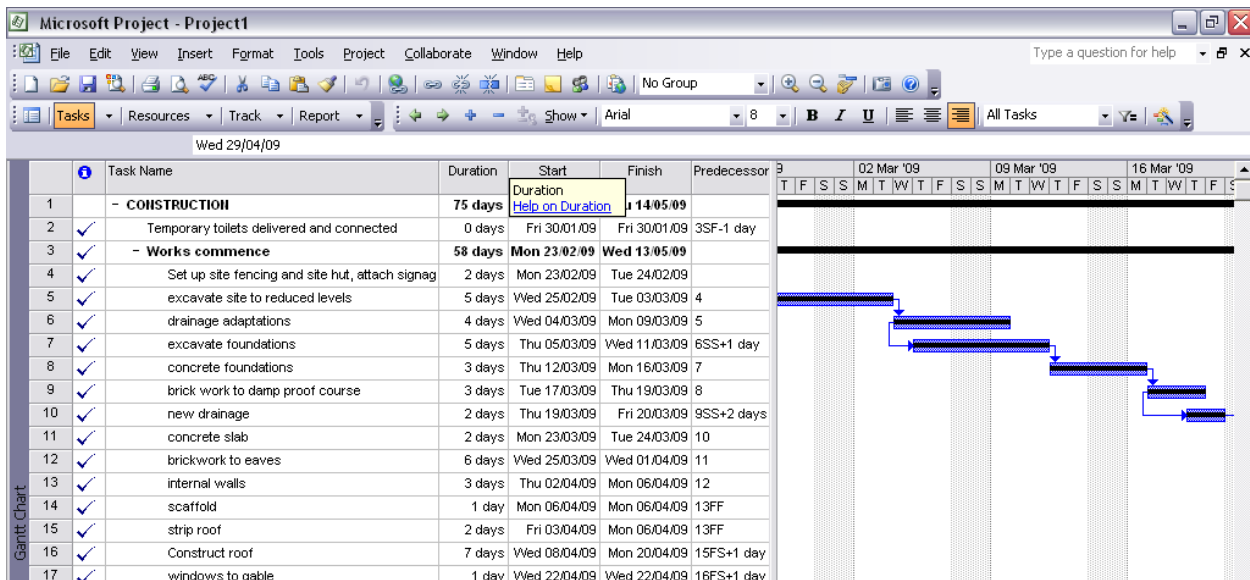


Figure 1: Microsoft Project interface

However a spreadsheet can equally be used to manage timelines for smaller projects. Examples/templates are available from the CDU.

### Project Folder

This is a good time to think about how you will gather all the information together for future use and review. Basically this means the creation of your Project Files.

A Project Folder(s) simply brings together all aspects of the project including the documents produced. The file should produce an auditable trail of project progress, decisions made and issues raised.

Project Folders are likely to include all Templates (appropriate to Project size) within this document.

Project files and associated documents should be kept for a minimum of 7 years but some funding constraints may dictate files should be kept for up to 15 years whilst others bound to a contract may need to be kept for a different length of time. If unsure please speak to someone in performance for advice.

All completed project files for Large and Medium Project need to be stored in the allocated **SharePoint project site**.

## Step 6a: Write the Project Initiation Document (PID)



The Project Initiation Document is a working document and may include many of the elements of the Business Case. PID's should follow the format of the *Project Initiation Document template (TEMPLATE 3)*. Don't make it overly complex or wordy – keep it succinct, informative and well structured. Further information and template is available in Section 2.



**Don't be afraid to cut and paste from the Business Case! The CDU will also hold similar documents that you can use to help you create a PID that reflects and works for your project!**

You may wish to produce other project document at this time, eg. The risk register, project plan.

## Step 7: Implement Project

This is in effect the rolling out of the project which all previous steps have helped to implement. Hopefully at this stage everyone is fully aware of the scope and objectives of the project as well as their roles and responsibilities.

As part of this step the Project Manager will frequently...

### **review, revise and monitor project documents and progress**

The Project Files need regular review and often revision. In particular the Project Manager should, with the Project Board and Team, review risks and record any changes. For significant changes, the PID may need to be reviewed and approved by the Project Board and Sponsor.

## Step 8: Manage Change

Change management is the practice of tracking and administering changes during the development of a product or service and is a key part of project management. It is in effect an insurance policy against future scrutiny – so make sure you record it!

### **Controlling Change Requests in Projects**

Changes requested once a project is underway are an inevitable part of any project. They can either be the result of external changes in the business or they can be internal changes requested because the original aims of the project were not clearly defined or understood. Change requests resulting from external factors are usually beyond the control of a project manager and there is usually little choice but to deal with them.

Setting up a systematic and consistent approach to change is vital. No change however small should be allowed to happen without formal identification of the change required, probable discussion by the Project Board or Team and recording of changes to be made, why and the effect the change will have on project timeframes, risks, PID and ultimately the end product. Change Management is essential otherwise changes can get out of hand and end up derailing the project.



**Significant changes to scope, budget or risk in Medium projects should be elevated to to the Project Board for decision but ultimately may require Cabinet approval to change.**



**Significant changes to scope, budget or risk in Large projects should be elevated to Cabinet Working Group for decision but ultimately may require Cabinet approval to change.**

See *TEMPLATE 9*

## Step 10: Project Closure

'Closing a Project' ensures that a project meets one of the basic criteria in the definition of a project – that it is finite. A project should never just drift into becoming the operational environment for the products/services that it was set up to deliver. Any project Closure Report should reflect the size and complexity of the Project.

Further information and (*TEMPLATE 11*) is available in Section 2.

## Step 10: Post Project Review

Beyond the closure of the project it is the responsibility of the Project Board to review whether the benefits claimed for the project in its Business Case have been realised.

The key deliverable from this post-project process for (Medium/Large Projects only) is the Post-Project Review Report. (*TEMPLATE 12*)

Further information and template is available in Section 2.

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## On-going Reporting and Updates

Reporting project progress is a key element to ensuring the successful delivery of the Corporate Plan. There will be elements of direct reporting, for example, Project Team to Project Board but in many cases the level and details of reporting requirements will vary depending on who needs the information.

The CDU will act as a hub for collating progress details, issues, risks and exceptions to feed a variety of Officer and Member meetings. The two main tools the hub will use are **InPhase** and **SharePoint**.

**InPhase** will hold lots of information on the Large and Medium Projects that form part of the Corporate and Delivery Plans, such as milestones, timeframes, risks and key people. You will be asked (via email) to regularly update your projects through this system. Updates should be succinct and factual ensuring that they are acceptable for public viewing.

Training can be provided on using InPhase and in due course crib sheets and guidance notes will help you navigate this system!

**SharePoint** will provide you with an allocated folder in which you need to store your project files as well as important update documents such as Project Board minutes. There will be a private folder in SharePoint allocated to you to keep your 'working files' in but there will be an expectation that the other Projects Folder will contain finalised copies of each project document required for the size of the project you are managing. The CDU will be able to access the Project Folders to obtain updates as required so it is important this system is used and is kept up to date.

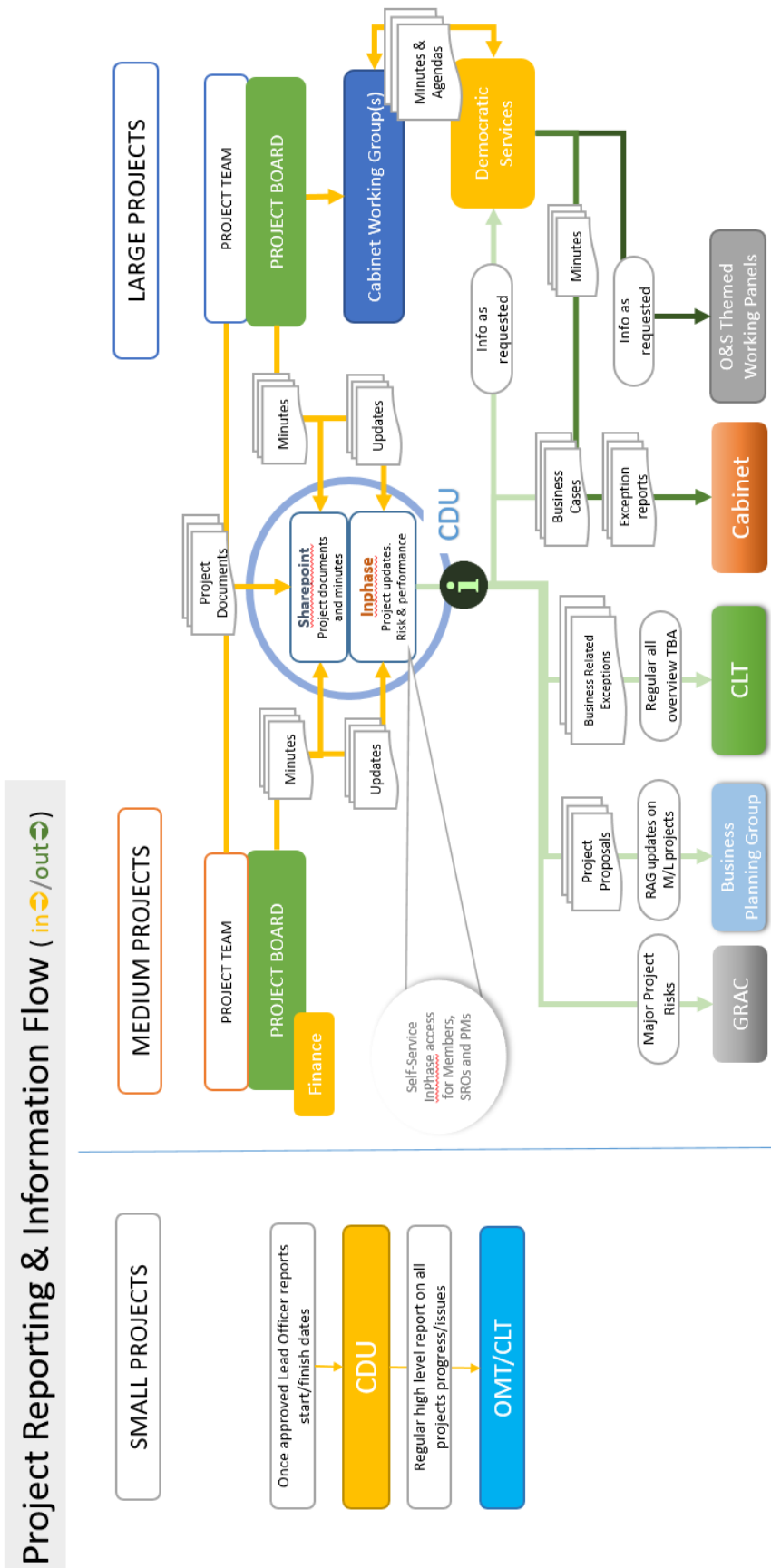
It is understood that projects don't always run to plan and this is often through no fault of the Project Manager or Project Team but it is important to report on delays and issues rather than to hope they disappear! Project timeframe slippages or tasks need to be done in a different order or at a different time is an accepted part of Project Management and the key is to deal with them quickly and replan accordingly.



**If you have any concerns about any aspect of managing a project, get in touch with the CDU for some friendly advice and guidance!**

The following diagram indicates the flow on information.

When you are setting up a project the CDU will let you know what and when information is required and for which group of people.



## Tendering & Procurement

Procurement in broad terms covers the process of acquiring goods, works and services, covering acquisitions from both external and in-house providers. The process spans the whole cycle from identification of needs through to the end of service contract or the end of the useful life of an asset.

The intranet provides officers with easily accessible guidance in relation to a wide range of issues from current Contract Procedure Rules through to advice on day-to-day buying decisions, sustainability issues and areas for potential collaboration, along with detailed guidance relating to the larger, more strategic procurement that the Council gets involved with that exceeds EU thresholds and requires advertising in the Official Journal of the European Union (OJEU).

There will be new rules from 1 January 2021 due to Brexit with regards to procurements over the value of £189,330 for services and £4,733,252 for Works, these will now need to be advertised through the new Government website 'Find a Tender' please contact Procurement for further details.

The intranet site will also provide managers with templates for a number of standard internal documents that will help to simplify the awarding of contracts and tender documentation and also provide advice on best practice and further sources of information.

Even when all of this is available please remember that you can still contact either the Procurement Officer for clarification on procurement procedural issues and procurement.

Contact: Debra Beckles – Procurement Officer (6049)



## Section 2

### Project Documents & Templates

#### 1) Guide to Project Documents and Roles & Responsibilities

##### Project Proposal

Sets out the basics of any project and helps to ensure the project proposer has thought through the various elements of a project. Any project agreed at this stage could be included as part of a **Service Plan**. The project proposal should follow the format of the *Project Proposal template (TEMPLATE 1)*

Any completed Project Proposal form will illustrate the basic elements of any proposed project and ensure both Service Manager / Director understands the project and can assess initial viability. This form provides a point for discussion /development before funding is sought.

The Project Proposal should be emailed to the CDU once completed. They can also help if you are unsure on any element.

##### Business Case

The Business case (or Cabinet Report) is required for Medium or Large projects who need the information within it in order for it to be approved by Cabinet. At this stage the viability and methodology of the project needs to be assessed and approval to progress be agreed.

If needed a Capital Bid form should be completed and submitted as part of the annual budget process.

##### Creating a Business Case

Why are you considering this project? What do you want to achieve and what benefits will this bring? Will the cost of the project be worth the benefits it brings? How does the project support current organisational priorities? These are typically the questions a business case will answer. In answering these questions do not just consider what will be done during the project but the likely effect of the project work. Will the outcome be worthwhile or will you be creating more problems than you solve?

Think about:

- Why are we doing this (reason)?
- What will we be able to do/ will have been done as a result of the project that wasn't there before? (Objective)
- What difference will this make to the Council or its customers (outcome)
- What is the 'value' of that difference compared to the effort that was put into the project? (return)

Approval of the business case – it is important that all business cases are agreed so that a sufficient budget (where applicable) and resources can be allocated. It also generates corporate awareness of the work commitment being undertaken within the organisation.

Small projects will be submitted for approval by CLT.

Please note - that any projects requiring procurement activity must comply with the Council's procurement rules.

## Project Initiation Document (PID)

The project initiation document is required for Large projects only and brings together a range of information required to define the project in one document. Depending on the nature and complexity of the project not all of this information may be available before the planning process is complete. So treat this as a 'live' document which is constantly revisited and updated.

Because the PID is a 'live' document, each time it is amended record this in the change history section. This will ensure you and the team are working to the same brief and it will assist you in reviewing the project if changes can be tracked

The PID includes basic information such as background on the project. It also brings together a number of other pieces of work. These include:

- The Project Definition
- Project Scope
- The Project Business Case
- The Project Plan

Within the PID the various roles and responsibilities are also defined:

Title: Project Manager	
Role	Responsibilities include
<p>The person responsible for developing, in conjunction with the Project Sponsor, a definition of the project. The Project Manager then ensures that the project is delivered on time, to budget and to the required quality standard (within agreed specifications). He/she ensures the project is effectively resourced and manages relationships with a wide range of groups (including all project contributors).</p> <p>The Project Manager is also responsible for managing the work of consultants, allocating and utilising resources in an efficient manner and maintaining a co-operative, motivated and successful team.</p>	<ul style="list-style-type: none"> <li>• Managing and leading the project team.</li> <li>• Managing co-ordination of the partners and working groups engaged in project work.</li> <li>• Detailed project planning and control including:</li> <li>• Developing and maintaining a detailed project plan.</li> <li>• Managing project deliverables in line with the project plan.</li> <li>• Recording and managing project issues and escalating where necessary.</li> <li>• Resolving cross-functional issues at project level.</li> <li>• Managing project scope and change control and escalating issues where necessary.</li> <li>• Monitoring and reporting on project progress and performance.</li> <li>• Providing status reports to the project sponsor.</li> <li>• Ensure project training is managed and within the defined budget.</li> <li>• Liaison with, and updates progress to, project board/senior management.</li> <li>• Managing project evaluation and dissemination activities.</li> <li>• Ensure consultancy input is managed and within the defined budget.</li> <li>• Final approval of the design specification.</li> </ul>

	<ul style="list-style-type: none"> <li>Working closely with users to ensure the project meets business needs.</li> <li>Where relevant ensure a User Acceptance Testing programme is defined and managed</li> <li>Ensure user training needs are identified and user training programmes are devised and managed.</li> <li>Ensure a communications plan is written, agreed and implemented.</li> </ul>
<b>Title Project Team Members</b>	
<b>Role</b>	<b>Responsibilities</b>
The staff who actively work on the project, at some stage, during the lifetime of the project. Some may have a specific role .	<p>Team member roles will vary depending on the type of project. Typically they might be to:</p> <ul style="list-style-type: none"> <li>Provide functional expertise in an administrative process</li> <li>Work with users to ensure the project meets business needs</li> <li>Documentation and analysis of current and future processes/systems</li> <li>Identification and mapping of information needs</li> <li>Defining requirements for reporting and interfacing</li> <li>User training</li> </ul>

<b>Title: Project Board</b>	
<b>Role</b>	<b>Responsibilities</b>
<p>This group, which will include an Assistant Director and the Portfolio Holder, is responsible for overseeing the progress of the project and reacting to any problems.</p> <p>A Project Board is not required for Small Projects where CLT will act in similar capacity.</p>	<ul style="list-style-type: none"> <li>Championing the project and raising awareness at senior level.</li> <li>Recruiting project staff and consultants.</li> <li>Approving strategies, implementation plan, project scope and milestones.</li> <li>Resolving strategic and policy issues.</li> <li>Driving and managing change through the organisation.</li> <li>Prioritising project goals with other ongoing projects.</li> <li>Communicating with other key organisational representatives.</li> <li>Agreeing major changes to the project</li> </ul>

<b>Title Project Sponsor/Senior Responsible Officer</b>	
<b>Role</b>	<b>Responsibilities include</b>
<p>The person who commissions others to deliver the project and champions the cause throughout the project. They will normally be an Assistant Director with a relevant area of responsibility that will be affected by the outcome of the project. They are involved from the start of the project, including defining the project in conjunction with the Project Manager. Once the project has been launched they should ensure that it is actively reviewed. The Project Sponsor is usually the one who has</p>	<ul style="list-style-type: none"> <li>Acts as champion of the project.</li> <li>Is accountable for the delivery of planned benefits associated with the project.</li> <li>Helps to mitigate risk where possible</li> <li>Sponsors the communications programme; communicates the programme's goals to the organisation as a whole.</li> <li>Makes organisation/commercial decisions for the project within the predefined scope of the project.</li> <li>Assures availability of essential project resources.</li> <li>Approves the budget and decides tolerances.</li> <li>Leads the Project Board.</li> <li>Ultimate responsibility for delivering the project.</li> </ul>

to negotiate a path through the tricky diplomatic areas of the project!	
<b>Title Supplier Representative</b>	
<b>Role</b>	<b>Responsibilities</b>
The person responsible for managing supplier-side input to the project. This might be a Contractor or someone within the organisations with the similar expertise or experience of the supplier (ie IT for software procurement)	<ul style="list-style-type: none"> <li>• Ensures that mandatory supplier requirements are met.</li> <li>• Manages the production and approval of the supplier side of the budget.</li> <li>• Makes effective use of supplier resources within the approved budget.</li> <li>• Tracks performance of consultants and takes appropriate action.</li> <li>• Proactively develops a collaborative relationship with the organisation to Project Steering Board level.</li> <li>• Ensures that there are clear communication paths with the project team and the organisation and supplier.</li> <li>• Acts as main point of contact between the supplier and the organisation.</li> <li>• Produces and monitors financial reports including entry and maintenance of all actual time and expense against the master plan.</li> <li>• Day to day management of supplier staff assigned to the project.</li> <li>• Quality Assures the work of supplier staff assigned to the project.</li> <li>• Encourages the transfer of product knowledge and skills to the appropriate staff within the organisation.</li> </ul>

<b>Title Working Group(s)</b>	
<b>Role</b>	<b>Responsibilities</b>
A group of Members including the Portfolio Holders responsible for the Corporate Plan Objectives. (A member of CLT will also attend these meetings.)	<ul style="list-style-type: none"> <li>• To obtain and maintain an overview of a variety of projects that form part of the delivery of the Corporate Plan (possibly on a theme or service basis).</li> <li>• To receive exception reports (ie changes to budget requirements or significant change of project scope) from Project Boards and advise on their submission to Cabinet for approval.</li> <li>• To help with mitigating risk or elevating major risk to GRAC.</li> <li>• To provide sign off for key milestones such as; <ul style="list-style-type: none"> <li>○ approve contract awards within the scope of the project.</li> <li>○ approve public consultation elements</li> <li>○ determine areas of conflict</li> </ul> </li> <li>• To Champion the projects, especially in the community and wider setting.</li> </ul>

<b>Title Overview &amp; Scrutiny Working Group</b>	
<b>Role</b>	<b>Responsibilities</b>
A group of Members drawn from the O&S Members who will review progress and scrutinise delivery elements of the Corporate Plan.	<ul style="list-style-type: none"> <li>• To monitor the ongoing implementation of key programmes/projects to ensure they are achieving expected outcomes as outlined in the Delivery Plan.</li> </ul>

	<ul style="list-style-type: none"> <li>• Outcome measures developed as part of the performance framework will form a core part of each panel's monitoring role.</li> <li>• Each Corporate Plan Themed Scrutiny Panel will establish its own work programme to agree how they will approach the CP themes/projects and, in conjunction with the relevant Portfolio Holders, agree which priorities they will focus on, and when they will be reviewed/monitored.</li> <li>• Each panel will provide update reports to the Overview &amp; Scrutiny Committee and specific reports to Cabinet when recommendations are made.</li> </ul>
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## Project Plan

The Project Plan illustrates a set of tasks and milestones that make up the 'work' involved in the delivery of a project. A plan also includes a budget breakdown. These can be achieved using software such as Microsoft Project, Excel spreadsheets or work lists.

This is used to allow those involved in the project to track progress and identify/ report on project slippage. Progress will be formally tracked by the Project Manager.

## Communication Plan

Project Management is 80% communication, 20% perspiration which is why the Communication Plan is one of the most important sections of your Project Initiation Document (PID). This may be very simple or, if the project is large or involves a number of people or organisations, may be complex.

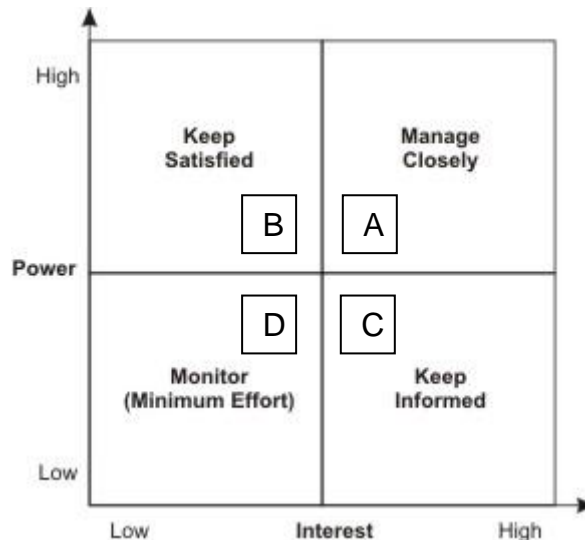
Either way a communication plan must, above all, be clear, inclusive and achievable. Communication planning involves identifying and meeting the information needs of the project stakeholders. Specifically, identifying which people need what information, when the information is needed, and how the information is collected and communicated. Communication planning strives to simplify and document effective communication within the project organisation.

The culmination of this planning is the Communications Plan and should include:

- Identification of stakeholders with information needs
- Stakeholder information requirements
- Time frame or period the stakeholder needs the information
- Detailed description of the information needed
- Description of when and how information is collected and who collects it
- Description of document/data distribution methods and frequency of distribution
- Definition of the handling procedures for temporary storage and final disposition of project documents

The best laid communication plan is useless without follow-through and without follow-through your Project will be diminished in the eyes of your stakeholders. So many problems in managing projects can be overcome with regular and honest communication with your stakeholders.

**Stakeholder analysis**, as part of the Communication Plan is the process of identifying the individuals or groups that are likely to affect or be affected by a proposed action, and sorting them. Your first priority in a stakeholder analysis is to identify and list the stakeholders in your project according to the influence they have on the project and the interest they have on the project and classify them by power (influence) and interest (impact).



For example, the Project Board will have high power /influence over your project and high interest. Some colleagues may have high interest, but may not have any influence on the outcome.

Someone's position on the grid shows you the actions you have to take with them:

- **A:** High power, interested people: these are the people you must fully engage and make the greatest efforts to satisfy.
- **B:** High power, less interested people: put enough work in with these people to keep them satisfied, but not so much that they become bored with your message.
- **C:** Low power, interested people: keep these people adequately informed, and talk to them to ensure that no major issues are arising. These people can often be very helpful with the detail of your project.
- **D:** Low power, less interested people: again, monitor these people, but do not bore them with excessive communication.

You now need to know more about your key stakeholders. You need to know how they are likely to feel about and react to your project. You also need to know how best to engage them in your project and how best to communicate with them.

Key questions that can help you understand your stakeholders are:

- What financial or emotional interest do they have in the outcome of your work? Is it positive or negative?
- What motivates them most of all?
- What information do they want from you?
- How do they want to receive information from you? What is the best way of communicating your message to them?

- What is their current opinion of your work? Is it based on good information?
- Who influences their opinions generally, and who influences their opinion of you? Do some of these influencers therefore become important stakeholders in their own right?
- If they are not likely to be positive, what will win them around to support your project?
- If you don't think you will be able to win them around, how will you manage their opposition?
- Who else might be influenced by their opinions? Do these people become stakeholders in their own right?

When you have determined the answers to your stakeholder analysis the following grid could be used to illustrate your communication plan.

Example of communication grid

Legend:	Type	Information Type							
<b>A – As required / updated</b>	A,B,C OR D	Executive Reports	Project Board Minutes	Article in briefing/bulletin	Project Risks	Newsletter	Monthly update via email	etc	etc
<b>D – Daily</b>									
<b>W – Weekly</b>									
<b>M – Monthly</b>									
<b>B – Biannually</b>									
<b>Project Board</b>									
<b>Project Team</b>									
<b>Other Staff (state who)</b>									
<b>Outside organisations (state who)</b>									
<b>CLT</b>									
<b>Members</b>									
<b>Customers</b>									
<b>Etc</b>									
<b>Etc</b>									

## Project Folders

A Project Folder simply brings together all aspects of the project including the documents produced. The files should produce an auditable trail of project progress, decisions made and issues raised. Medium and Large projects must keep their files in the allocated SharePoint project site.

Anyone reviewing the project should find in this folder all information relating to the project set up and delivery including correspondence, minutes of meetings, budget details and risk log.

## Risk Assessment

Identifying risk is one of the most important tools in project management. Risks need to be identified, solutions sought and action taken to eliminate or reduce the impact or likelihood of the risk happening. This can only be done by regularly reviewing risks. You can document

risks as you wish but a *risk record template (TEMPLATE 4)* is available (to help analyse individual risks). You must use the *risk log template (TEMPLATE 5)* to record all risks and subsequent actions.

**Identifying the risk**

The Council employs a standard approach to Risk Assessment – these are split into two groups

- **corporate risk** (one that affects the whole council or the achievement of a corporate objective) and
- **service risk** (one that has an effect on the service – it may also affect a corporate objective).

Often it is helpful to use the Project Team or a number of people who are likely to be involved in the project to think about the problems a project may encounter. The more risks identified at an early stage the better and a diverse group of people will come with very different perspectives! Each identified risk should have its own record. Risks must be evaluated regularly in order to identify any change of status.

Firstly ....identify the risk showing

1. Cause of risk,
2. Description of risk, and
3. Consequence of risk occurring.

Then think through the issues....

- a. identify what type of risk it is
- b. show any treatment that you have in place to reduce either likelihood or impact.
- c. score that risk against likelihood and impact
- d. any actions that you are taking to reduce the risk further (with timescales if possible).
- e. then identify a target score that you would accept as a reasonable risk
- f. identify a corporate or service objective that this risk relates to.

Identify the 'Type' of Risk (more than one type can be allocated against one description)

- 1 Reputation
- 2 Financial/ Assets
- 3 Business Continuity
- 4 Human Resources/ Staffing
- 5 Legal
- 6 Partnership

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**Estimating Impact**

For Corporate risks

Impact Type	Catastrophic 5	Critical 4	Moderate 3	Marginal 2	Negligible 1
Objectives	The key objectives in the Corporate Plan will not be achieved.	One or more Key Objectives in the Corporate Plan will not be achieved.	Significant impact on the success of the Corporate Plan.	Some impact on more than one Service.	Insignificant impact on more than one Service.
Financial Impact(Loss)	Over £1m	£400K - £1m	£200K - £400K	£10K - £200K	£0-10K



For Service related risks

Impact Type	Catastrophic 5	Critical 4	Moderate 3	Marginal 2	Negligible 1
Objectives	The key objectives in the Business Plan will not be achieved	One or more Key Objectives in the Business Plan will not be achieved.	Significant impact on the success of the Service Business Plan.	Personal or team objectives not met.	Insignificant impact.
Financial Impact (Loss)*	Over £500K	£250K - £500K	£50K - £250K	£5K - £50K	£0-5K
Service provision	Service suspended long term or statutory duties not delivered.	Service suspended short term.	Service reduced significantly.	Slightly reduced.	No effect.

\* These are indicative figures it may be better to use % of budget for some of the smaller projects.

**Estimating Likelihood**

	Likelihood	Probability within the lifetime of the project
5	Very High	Over 90%
4	High	60 - 90%
3	Moderate	40 - 60%
2	Low	10 - 40%
1	Very Low	below 10%

**Risk Matrix**

As a guide, any risk that is in the grey area, i.e. a score of over 12 or more would be expected to have action planned to reduce that score to below 12.

Likelihood	5					
	4					
	3					
	2					
	1					
		1	2	3	4	5
Impact						

Projects have a greater chance of success if risks are identified well in advance of them actually occurring. In this way it is often possible to reduce the impact to the project.

## Issues

An issue log is used to record any issues that arise throughout the project. The log should identify the issue, how and by whom it was raised and action taken. Issues vary from risks as they are often unforeseen. The key difference is that Risks identify things that might happen, issues are things that have happened and need to be dealt with. You should use the *issue log template*. (TEMPLATES 6 and 7)

## Controlling change: Exception Reporting and Change Control

Projects evolve and issues naturally arise that may require decisions to be made on a wide variety of areas affecting the delivery of a project.

Exceptions are problems that arise that HAVE to be dealt with (ie the Project Manager has no option but to address the issue promptly). Such examples of exceptions are;

- Unexpected costs
- Slipping timescales
- Confusion on scope and role
- People working at cross-purposes
- Duplication of roles or redundant work
- Activities not being done
- Loss of morale or drive
- Reduction of team cohesion and effectiveness

Changes are typically about a change in scope or new request that is not currently timetabled or included in the project where there is a choice to accept or reject the proposal.

A clear process must be adopted to manage changes effectively. If change is not controlled well, there is an increased risk of project failure.

Good change control is essential to help prevent confusion over project scope and objectives. There are five elements to the change control process:

- Authority
- Consultation
- Approval
- Reporting
- Evidence

### Authority

It is key to be clear at the Project Planning stage about who can do what in the project and define the scope of each person's authority to make change-decisions on the project team. This should be captured in the PID. There may be a need to develop a 'scale' of issues and identify at what level change decisions can be made:

e.g.

- Changes affecting one team-member's specific area of activity – delegated to that team-member
- Changes affecting other team members or having potential for significant impact on cost or timescales – delegated to the Project Manager
- Changes having very significant potential to affect the cost, scope or timescales of the project – referred to the Project Sponsor.

It is not permitted for a project change to be implemented outside the agreed authorisation regime.

### **Consulting**

No change may be implemented without appropriate prior consultation and discussion with the team members affected. This may mean the whole team. Unless otherwise agreed, all change proposals should be discussed at a minuted project team meeting, or agreed sub-group for larger projects. For larger projects, changes should be managed through submission of a formal 'change proposal/request'. Typically this will include:

- Timing and scope of change – what is affected
- Reason/ Purpose for change – why is it needed
- Impact of change (timescales, budgets, resources)
- Who is affected/ should be consulted
- Risks associated with change/ not making change
- Decision/ Approval level required – by whom and by when

### **Approval**

Changes **MUST** be formally approved by the relevant authorised team member and minuted at a team meeting. Unless otherwise identified in the PID, the Project Manager may have delegated authority to make all project-related decisions. No change shall be implemented without proper approval.

### **Emergency changes:**

There may be an occasional need for changes to be made at short or immediate notice for sound project-related reasons in the absence of the proper authorising person. Where appropriate, any decisions made outside the team meeting process under agreed delegated authority **must** be reported to the next available team meeting (or at a special emergency team meeting called for the purpose) for retrospective consultation and approval. This should be avoided as much as possible.

### **Reporting:**

All changes **must** be recorded using the Interim or Exception reporting process and reported to the Project Sponsor depending on the degree of urgency. This may require updates to PID, Project plans and other project documentation. The Interim reporting template includes a section for recording changes and seeking approval for changes from the project sponsor.

### **Evidence:**

A good audit trail of decision-making and accountability is vital to good project management and evidence of the change control process should be gathered as part of the normal project-management process. This will include all formal documents such as PID, project plans, meeting

minutes, interim and exception reports, emails or other discussion documents or similar. These will be vital for consideration at the project review stage.

Use the Exceptions Log (*TEMPLATE 8*) and Change Control Log (*TEMPLATE 9*)

## Lessons Learned

Records any lessons learned during the project that can be usefully used for other projects. Ideally this should be updated as they happen as these are often quickly forgotten. Examples can vary from finding a good meeting venue to finding a different way of working that brings about the desirable result quicker or more effectively. You should use the *lessons learned template (TEMPLATE 10)*

## Project Closure

'Closing a Project' involves two key steps:

1. Decommissioning the project
2. Reviewing how well the project was performed

The key deliverable from this process is the **End of Project Report**. (*TEMPLATE 11*)

The Project Board must approve the closure of the project of Medium & Large Projects.

When a small project is completed only an email notifying the CDU that the project is completed (or abandoned or deferred to a later date) is sufficient.

## Post Project Review

Beyond the closure of the project it is the responsibility of the Project Board to review whether the benefits claimed for the project in its Business Case have been realised.

The key deliverable from this post-project process is the Post-Project Review Report. (*TEMPLATE 12*)

When the project is completed the outcome or solution needs to be passed to the Sponsor. The Sponsor needs to sign off the project and release the project team. This process may be accompanied by the production of a final project report.

This report includes the information from project closure reviews carried out by the project team. These reviews include:

- Project Requirement – how effective were we in understanding the needs that led to the project
- Scope – was the scope effective?
- Project Team – how did the team perform?
- Project Plan – how realistic was the plan?
- Timetable – was this realistic and reasonably accurate?
- Budget – was the project budget realistic and was it managed effectively
- Further actions which need to be taken

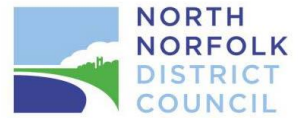
At a later date a post project review of the project on meeting the original business needs may also be worthwhile.

N.B. Please retain copies of all project reports in the project file. These are essential in the review process.

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Examples of templates follow. Downloadable forms are available for you to complete on the Intranet.

# Project Proposal Document



**Project Title** .....

<b>Lead Service Area(s)</b>			
<b>SRO</b> <i>(eg Assistant Director)</i>			
<b>Project Manager</b>			
<b>Responsible Member</b> <i>(large/Med projects only)</i>			
<b>Project Scope</b> <i>Summary of what the project will cover / include (and perhaps clarification of what it does not include.)</i>			
<b>Objectives and Outcomes</b> <i>Which <b>corporate objectives</b> does this project seek to deliver? (If this project does not directly support a corporate objective or is a statutory requirement please tick the appropriate boxes)</i>			
<b>This proposed project...</b>	does NOT directly support a Corporate Objective	<input type="checkbox"/>	is a statutory requirement
<b>Financial benefits</b> <i>What financial benefits should be obtained on completion of this project?</i>			

<p><b>Environmental benefits</b>  <i>Are there any environmental benefits that could be obtained on completion of this project?</i></p>										
<p><b>Other benefits</b>  <i>What else will this project help to achieve?</i></p>										
<p><b>Will this project involve any other internal service?</b>  <i>If Yes list them here and ensure they receive a copy of this proposal.</i></p>	YES / NO									
<p><b>Will this project involve any other external body or persons?</b>  <i>If Yes list them here</i></p>	YES / NO									
<p><b>Cost</b>  <i>How much will this project cost to complete?  Give breakdown of costs as much as possible including final £.</i></p>	Under £10k		£10k - £50k		£50k - £250k		£250k - £500k		Over £500k	
	<i>Does this include internal staff time costs or backfill?</i>	Y/N	<i>Does this include Venues, refreshments, meeting costs?</i>	Y/N						
	<i>Does this include costs incurred by other services?</i>	Y/N	<i>Does this include Communication and correspondence costs?</i>	Y/N						
<i>Does this cost include any ICT upgrades/changes?</i>	Y/N	<i>Does this include equipment costs?</i>	Y/N							

<p><b>Resources</b> What or who is essential to the success of this project?</p>				
<p><b>Timescales</b> When do you anticipate this project would start and finish? List any key milestones.</p>				
<p><b>Risks</b> What are the initial risks associated with this project? <b>Likelihood:</b> how likely is this to happen? H = very likely, L = unlikely <b>Impact:</b> what impact will it have on the project? H = High (could stop project), M = medium impact (could have significant impact if not addressed), L = small impact <b>Proximity:</b> when may this risk occur? H = imminent, M = next few weeks/ months, L = low risk of it ever occurring</p>	<p><i>Risk</i></p>	<p><i>Likelihood</i> H / M / L</p>	<p><i>Impact on project</i> H / M / L</p>	<p><i>Proximity</i> H / M / L</p>

<p><b>Post project revenue costs</b> Are there revenue cost implications regarding the delivery of this project? Give brief details and tick corresponding box.</p>	<p>Please briefly state type of on-going revenue costs (ie R&amp;M, licences, fees, training)</p>		
	<p>No onward costs</p>	<p>Additional revenue budget will be required. Give estimated. annual budget requirement below</p>	
	<p>Onwards costs will be covered by current revenue budgets</p>	<p>£</p>	



If you wish to include any additional, supporting information, please do so here.

Now please use the matrix in the Project Guide to score your project.

Your Score is

*LARGE / MEDIUM / SMALL*

If you require any help completing this form, please contact the Corporate Delivery Unit.  
Email [projects@north-norfolk.gov.uk](mailto:projects@north-norfolk.gov.uk) or extn 6256 or 6174

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**CDU Use**

<i>Received Date</i>		<i>Copy CPAs</i>	
<i>Checked Date</i>		<i>Copy DS</i>	
<i>Finalised Date</i>		<i>Copy Finance</i>	
<i>Sieve score</i>		<i>Date to BPG</i>	

# Business Case Template 2 (for medium and large projects)

Typical Content should include:

## 1. Background

*Provide a description of the background to the project here.*

*Include any history of events and a brief summary of any current system that is to be replaced.*

*Briefly state the purpose of the project.*

## 2. Why the Project is Needed

*Describe how this project supports the business strategy, plans or programmes.*

*Describe in simple terms the key benefits of the project.*

*Explain the reasons for the selection of the chosen solution (where appropriate).*

## 3. Benefits

*Explain what benefits the project will bring<sup>4</sup> in terms of:*

- *Cost savings*
- *Time and efficiency gains*
- *Improved quality (i.e. service, product, working environment)*
- *Improved performance*
- *Process improvement*
- *Enhanced controls (e.g. security)*
- *Ease of operation*

*Try to express the benefits in a way that can be measured.*

*Be specific about the benefits to be realised – where the benefits will be gained, which processes are affected, who will be involved, when will the benefits be realised.*

## 4. Benefits Realisation

*For each benefit identified above, define:*

- *Timescales for benefits realisation*
- *Means of measuring the benefit*
- *What controls will be established to ensure that the benefit is being realised*

*Define an end-point for the period of benefits realisation.*

*NB: Further help and information is available from the Performance Unit*

## 5. Project Definition

*Explain what the project needs to achieve.*

*Include where possible:*

- *Project Objectives*
- *Project Scope, specifying what is NOT included*
- *Outline of Project Deliverables / or Desired Outcomes*
- *Outline of Constraints*
- *List of likely Interfaces (who to communicate with)*

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<sup>4</sup> Think about this in terms of NNDC, Staff, Customers (eg General Public, Local Residents, Businesses, Tourists etc) Other L.A.s, Government Bodies, Charities etc.

*Confirm complies with policies (Ie Sustainability and Equality Impact Assessment)  
If the project approach is known at this stage an outline of this can be provided.*

## **6. Resource Requirements**

*Provide the Project Board with an indication of the potential resource requirements of the project. (people, time, equipment, money)*

*Define as best as possible the anticipated requirements of the project for people's time, accommodation and equipment.*

## **7. Costs/Timescales**

*Provide an indication of the expected costs and timescales of the proposed project. An option appraisal must be included where there is more than one choice.*

## **8. Investment Appraisal**

*Provide an indication of how the defined benefits measure up against the expected costs of the proposed project.*

*Typically investment appraisal uses techniques such as Payback, Average Rate of Return, Net Present Value, and Internal Rate of Return.*

*A standard form and explanation are available from Finance Dept.*

## **9. Risks**

*Describe in brief any known risks. Detailed analysis should be included in the PID.*

# Project Initiation Document Template 3 (for large projects)

Typical Content should include:

## 1. Introduction

- 1.1 Introduction – *a concise summary of the project.*
- 1.2 Background – *why this project has been proposed and agreed, what circumstances have brought about the need for change, any relevant political or financial information that may have changed previous work or projects.*
- 1.3 Summary and status of current situation – *what the current situation is i.e. current system used, current facilities, highlight what's failing or why change is appropriate.*

## 2. Scope and overall approach

- 2.1 Objectives – *be clear about what this project aims to achieve. Include any Corporate or Service objectives which will be completed or supported as part of this project.*
- 2.2 Scope – *state what the project will cover and what it will **not** include.*
- 2.3 Approach – *how is the project going to be delivered? In some detail describe how the project will be set up, how significant tasks will be carried out (e.g. public consultation) and how progress will be reviewed.*
- 2.4 Desired outcomes – *what will the change look like to people 'on the ground'? How will you hope people will feel about the change and what impact will it have on service delivery?*

## 3. Project Organisation

- 3.1 Roles and responsibilities – *who does what, when and why*
  - Project Board – *give details of the Board Members and why they are important to the success of the project (ie their function).*
  - Project Sponsor – *this person is the driving force behind a project and is often the Head of Service.*
  - Project Team – *some projects may require a working team which reports to the Project Board. This needs to be agreed as part of the Project Plan.*
- 3.2 Communication Plan: who, why and how – *think of everyone who may need or want to know about this project. List in what format communication will take place and how often.*

## 4. Project Programme

- 4.1 Summary of Project Plan - *break the project up into stages eg: set up, consultation, implementation, testing. Then assign approximate times for each stage. It is probably best practice to be generous with stage timetables until a detailed plan is drawn up.*
- 4.2 Timetable– *a calculated guess at anticipated dates and times to complete each task that makes up each stage. A timetable should suggest a number of hrs/days/weeks that it will take to complete a particular task, who is undertaking the task. Many tasks will run concurrently so the overall picture must be inline with the summary Project Plan. This may be best illustrated using a gantt chart (Microsoft Project or Excel Spreadsheet).*

## 5. Project Constraints

- 5.1 Resources - *describe what resources are necessary for the project to be completed successfully and highlight clearly where there are deficits or unknowns. Do not forget to identify staff resources, equipment and funding constraints.*

5.2 Risks – *a risk log should contain a list of any risks you consider may affect the project at this stage. The log needs to be updated regularly to assess on going risks for change and include any new risks that may arise.*

*Make sure all risks regarding the involvement of people are thought out – some projects can have a profound effect on those involved either during the project or on its completion and such effects can have a negative as well as beneficial effect on the projects outcomes.*

5.3 Assumptions – *these should show any assumptions you are making. These could be financial, political, national or organisational.*

## **6. Project Controls**

6.1 Management - *This section needs to illustrate who is responsible for ‘controlling’ the project on a management level. (ie this is not the Project Manager) For example a project must show who decides (what authority) when a change to the project is acceptable, when an overspend is acceptable, agrees risk diversion strategies. This is not about day to day management of a project just acknowledgement of responsibility and the methods for implementing it.*

6.2 Financial -*This section should also include plans and controls for financial monitoring, to enable on-going tracking of expenditure against budget, providing the means whereby any potential overruns and/or unbudgeted spend are highlighted and communicated to the project sponsor.*

*Wherever practical (for larger projects), a representative(s) from the finance team should be included in the project team in a project assurance capacity.*

## **7. Quality Plan**

*A quality plan describes what quality controls will be put in place and maintained throughout the project. This includes measures such as milestone reviews, quality controls, internal standards, Project Folder formats and project assurance.*

## **8. Appendices**

*e.g. Glossary, Maps, Plans, References, Contact Details, Supporting documentation*

# Risk Analysis Template 4

Risk No	Relating to Issue No	Date Identified as issue	By Whom		Date risk first reported to Project Board/Committee
Issue					
Risk(s)					
Proximity of Risk		Probability	1 2 3 4 5	Impact on Project	1 2 3 4 5
Options					
1		2		3	

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**Risk Log Template 5** is an Excel spreadsheet which can be downloaded from the Intranet

Risk Log template												
Ref	Date Logged	Owner	Title	Likelihood	Impact	Inherent Risk (Likelihood x Impact)	Description	Summary of Actions/Mitigation	Status	Subsequent Likelihood	Impact	Residual Risk
EXAMPLE: Pro 1	01.01.09	PB	Customer satisfaction	3	5	<b>15</b>	The authority's reputation is damaged due to either short-term or longer-term degradation of service, as a direct or indirect result of the programme.	Check progress at each stage before moving on to the next stage to ensure a firm foundation. Regular and frequent "testing" of customer satisfaction throughout the programme should help ensure that our reputation is not damaged.	Open	2	5	<b>10</b>

## Issues Record Template 6

<b>Issue No:</b>		<b>Date</b>		<b>Author</b>	
<b>Detail</b>					
<b>Impact on...</b>					
<b>Issue Resolved? If Yes - how?</b>	YES / NO				
<b>Issue Status</b>					
<b>Issue Reviewed?</b>	(date)		<b>Elevated to Risk?</b>	YES / NO	(date)
<b>Action taken</b>					

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<b>Issue No:</b>	<b>IL</b>	<b>Date</b>		<b>Author</b>	
<b>Detail</b>					
<b>Impact on...</b>					
<b>Issue Resolved? If Yes - how?</b>	YES / NO				
<b>Issue Status</b>					
<b>Issue Reviewed?</b>	(date)		<b>Elevated to Risk?</b>	YES / NO	(date)
<b>Action taken</b>					



# Issues log Template 7

Ref.	Date	Issue	Comments / Action	Priority	Open/ Closed	Owner	Due Date
IS1	dd/mm/yy	Description of issue	Action required	High/ Medium or Low	Open/ Closed	XX	dd/mm/yy
	dd/mm/yy	Update 1 of issue information	New action	Ditto	Ditto	Ditto	dd/mm/yy
	dd/mm/yy	Update 2 of issue information	New action	Ditto	Ditto	Ditto	dd/mm/yy
	Etc.						
Page 91 IS2	dd/mm/yy	Description of issue 2	Action required	High/ Medium or Low	Open/ Closed	XX	dd/mm/yy
	dd/mm/yy	Update 1 of issue 2 information	New action	Ditto	Ditto	Ditto	dd/mm/yy
	dd/mm/yy	Update 2 of issue 2 information	New action	Ditto	Ditto	Ditto	dd/mm/yy
	Etc.						
IS3	Etc.						

## Exceptions Log Template 8




Description of exception	Potential impact	Options for recovery or mitigation	Recommended option

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# Change Control Log Template 9

Background	Consequences	Options	Recommendations	Action taken
<p><i>Provide a description of the background to the change here. Include any history of events and a brief summary of the current situation.</i></p> <p><i>Describe what caused the exception/deviation and what aspects of the project are affected.</i></p>	<p><i>Explain what the potential consequences of the exception/deviation are on the project.</i></p> <p><i>In particular specify how the following aspects of the project will be affected:</i></p> <ul style="list-style-type: none"> <li>- Business case</li> <li>- Project objectives</li> <li>- Project scope</li> <li>- Project timescales</li> <li>- Project costs</li> <li>- Project quality</li> </ul>	<p><i>Describe the alternatives available to correct or deal with the exception/deviation and the potential time/cost/quality implications of each option considered.</i></p>	<p><i>Provide a recommendation as to which option should be chosen. Explain the reasons for the selection of the chosen solution.</i></p>	
<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 93</p>				

## Lessons learned Template 10

Lesson regarding	<b>Outcome</b>    Had positive impact / no impact / negative impact	Caused by	Methods/tools used	Recommendations for future enhancements
Page 94				

# End of Project Report Template 11

## 1. Summary

*Provide a brief summary of how well the project has performed overall.*

*Highlight what were the key success factors or points of failure.*

## 2. Project Performance

*Explain how well the project performed against its planned targets in the Project Initiation Document and plan. In particular, for time and costs, but also where appropriate for the other aspects of the project where tolerances may have been set (e.g. scope, business case, risks, quality). Ensure project deliverables have been completed to the customer's satisfaction.*

## 3. Change Management

*Explain what impact **approved** changes had upon the project.*

*This information is used to understand whether the changes that the project was subjected to adversely affected its ability to deliver the end product(s).*

## 4. Management Processes

*What management and quality processes:*

- *Went well*
- *Went badly*
- *Were lacking*

*Include project management processes, quality processes, risk management, etc.*

*Also include an assessment of the technical methods and tools employed (e.g. planning tools, etc.)*

## 5. Follow-on Actions

*Identify any issues or actions that are still outstanding at completion of the project that need to be followed up.*

*There may also be suggested future changes to the delivered products(s) that have been identified during the project but which couldn't be included in the time available.*

## 6. Post-Project Review

*Identify what aspects of the delivered products you believe should be included in the post-project review.*

*Recommend an appropriate period before which the post-project review should be held.*

# Post Project Review Report Template 12 (for all projects)

## 1. Summary

*Provide a brief summary of how well the project has performed overall.*

*Highlight what is working well and identify any key points of failure.*

## 2. Benefits Realisation

*Explain to what degree the product has achieved the intended benefits identified in the business case.*

*Explain the benefits achieved in terms of:*

- *Cost savings*
- *Time and efficiency gains*
- *Improved quality*
- *Process improvement*
- *Enhanced controls (e.g. security)*
- *Ease of operation*

*Are the customers/users satisfied with what has been delivered?*

*Identify any unexpected benefits derived from the project.*

*Identify any aspect of the business that has been impacted in a negative way by the introduction and operation of the project.*

## 3. Customer Satisfaction

*Are the users happy with the project outcomes?*

*What do the users feel:*

- *Works well*
- *Doesn't work at all*
- *Could be improved*

*Identify any specific improvements that the users would like to see implemented.*

## 4. Quality Attributes

*Is the project outcome proving to meet quality expectations?*

## 5. Operational Support

*Is the product as well supported as expected?*

*Are the support staff happy with what they have been given to support the product?*

Risk	Ref	Score if no action	Current Score	Target Score	Direction of Travel		Risk Owner
<b>FINANCIAL (INCLUDING CREDIT &amp; COUNTERPARTY)</b> <i>Financial: related to the financial position and investment of the Council's assets and cash flow, market volatility, currency etc.</i>  <i>Credit and Counterparty: related to investments, loans to institutions and individuals and counterparties in business transactions.</i>		20	15	12	↓	😊	Strategic Leadership Team (SLT)/Operational Management Team (OMT)
<b>OPERATIONAL</b> <i>Related to operational exposures within its organisation, its counterparties, partners and commercial interests.</i>		16	16	12	↔	😊	Strategic Leadership Team (SLT)/Operational Management Team (OMT)
<b>MACROECONOMIC</b> <i>Related to the growth or decline of the local economy, interest rates, inflation and to a lesser degree, the wider national and global economy amongst others.</i>		16	16	12	↔	😊	Strategic Leadership Team (SLT)/Operational Management Team (OMT)
<b>STRATEGIC</b> <i>Related key initiatives undertaken by the Council such as significant purchases, new ventures, commercial interests and other areas of organisational change deemed necessary to help the Council meet its goals.</i>		12	12	9	↔	😊	Strategic Leadership Team (SLT)
<b>ENVIRONMENTAL AND SOCIAL</b> <i>Related to the environmental and social impact of the Council's strategy and interest.</i>		15	15	12	↔	😊	Strategic Leadership Team (SLT)
<b>GOVERNANCE</b> <i>Related to ensuring that prudence and careful consideration sit at the heart of the Council's decision-making, augmented by quality independent advice and appropriate checks and balances that balance oversight and efficiency.</i>		16	12	9	↓	😊	Strategic Leadership Team (SLT)
<b>REPUTATION</b> <i>Related to the Council's dealings and interests, and the impact of adverse outcomes on the Council's reputation and public perception.</i>		12	12	8	↔	😊	Strategic Leadership Team (SLT)
<b>CORPORATE PROJECT RELATED RISKS</b> <i>Related to individual corporate project risk.</i>		See detail		See detail	See detail	See detail	Strategic Leadership Team (SLT)

Direction of travel shows change from last assessment.

Key
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Impact Type	Catastrophic - 5	Critical - 4		Moderate - 3	Marginal - 2	Negligible - 1
Objectives	The key objectives in the Corporate Plan will not be achieved.	One or more Key Objectives in the Corporate Plan will not be achieved.		Significant impact on the success of the Corporate Plan.	Some impact on more than one Service.	Insignificant impact on more than one Service.
Financial Impact (Loss)	Over £1.5m	£500K - £1.5m		£300K - £500K	£0K - £300K	£0-20K
Likelihood	Very High - 5	High - 4		Moderate - 3	Low - 2	Very Low - 1
Probability	Over 90%	60 - 90%		40 - 60%	10 - 40%	below 10%
Timing	Within six months	This year		Next year	Probably within 15 years	Probably over 15 years



Corporate Risk Register

Last updated:

01/12/20

Description/effect of impact	Risk score if no action impact x likelihood = total	Existing controls and/or mitigation	Actions being taken to manage risk and progress to date - current score	Action owner and due date	Target score impact x likelihood = total	Risk owner	Direction of travel	RAG
<p><b>FINANCIAL (INCLUDING CREDIT &amp; COUNTERPARTY)</b>  <i>Financial: related to the financial position and investment of the Council's assets and cash flow, market volatility, currency etc.</i>  <i>Credit and Counterparty: related to investments, loans to institutions and individuals and counterparties in business transactions.</i></p> <p><b>Risk</b> - that the Council's expenditure in a financial year is likely to exceed the resources (including sums borrowed) available to it to meet that expenditure.</p> <p><b>Effect</b> - Chief Finance Officer has to issue a Section 114 report to Full Council to report an unbalanced budget.</p>	4 x 5 = 20		3 x 5 = 15		4 x 3 = 12	SLT/OMT	↓	Amber
<p>Forecasting reductions and shift to local financing from business rates, council tax and new homes bonus - reduced funding to fund current service levels and produce a balanced budget.</p> <p>Use of reserves is not sustainable strategy to bridge income/expenditure funding gaps in the medium to long term.</p>		<p>Policy work                      Lobbying Central Government                      Medium Term Financial Strategy (MTFS)                      Corporate Planning / Service Planning                      Budget Process / Budget Monitoring                      Regular monitoring system of the impact of the business rates retention and the localised council tax support system                      Annual review of the Council's reserves                      Reporting - New legislation and consultation                      Timely agreement of the annual Localised Council Tax Support Scheme                      Project Management Plans                      Balanced 2019/20 budget agreed 27 March 2019</p>	<p>Balanced 2020/21 budget agreed 26 Feb 2020.</p> <p>Committee report to Cabinet and O&amp;S covering the financial impact of COVID-19 presented to committee Aug 2020, revised 2020/21 budget deficit revised down to c£400k. Which will be offset by £416k funding from Government to cover lost fees and charges income. Regular COVID expenditure monitoring to MHCLG, along with forecast income losses which are reviewed monthly.</p> <p>Briefing session for O&amp;S and other Members regarding the MTFS and Income Generation/Savings plans.</p> <p>Impact of Spending Review to be modelled into the MTFS and Budget for 21/22</p>	<p>LC/JEC - Feb 2020 (complete)</p> <p>DE - August 2020 (complete)</p> <p>LH/JEC - Jan 2020</p> <p>LH - Dec 2020</p> <p>LH - Dec 2020</p>				

<p><b>OPERATIONAL</b>  <i>Related to operational exposures within its organisation, its counterparties, partners and commercial interests</i></p> <p><b>Risk</b> - operational issues prevent or hinder the achievement of the Council's aims.</p> <p><b>Effect</b> - the Council does not achieve it's operational or strategic aims.</p>	4 x 4 = 16		4 x 4 = 16	OMT/SLT	4 x 3 = 12	SLT/OMT	↔	Amber
<b>Emergency event</b>								
<p>Any Internal or external event that has a significant impact on the ability of the Council to deliver services</p> <p style="font-size: 2em; text-align: center;">Page 100</p>		<p>Corporate/service planning          Budget process/budget monitoring          Project management framework          Council policies and procedures          Employment policies          Emergency Response &amp; Recovery Planning          Business Continuity Planning          Corporate Business Continuity key role training          Critical Services Business Continuity Plans completed          Adverse Weather Guidance created and issued, Jan 2019</p>	<p>Ongoing consideration of COVID-19 implications, GOLD/SILVER reporting structures in place, further supported by external partners. Recognised that this is an exceptional global event, monitoring and updating of staff and Members ongoing.</p> <p>Interim organisational debrief.</p>	AS (31 Dec 2020)				
<b>People Resources</b>								
<p>Failure and retain to recruit adequately trained and experienced staff- negative impact on corporate plan, business transformation, planning performance and delivery etc.</p>		<p>Corporate/service planning          Pay Policy has been updated to reflect Golden Hello's' and retention payments          Relocation Policy          Employee Referral Scheme          Market Pay Review report          Apprenticeship programme          Appraisal process          Service Plans</p>	<p>'People Strategy' currently under development to consider the recommendations contained within the Investors in People assessment/Capability Review.</p>	JC (31 Dec 2020)				
<b>Contracts</b>								
<p>Poor Procurement - poor value for money, poor strategic and operational outcomes, legal challenge, loss of public confidence, lack of transparency</p>		<p>Procurement Strategy          Procurement Framework          Joint procurement protocol and opportunities for joint/shared procurement with other authorities where possible          Advice for external suppliers</p>	<p>Procurement Strategy due to be updated during 2020.</p> <p>Current issues being experienced in relation to contracts due the COVID-19 outbreak and being managed in line with the contractual</p>	DB (Dec 2020)  RY/GOLD				

Contract failure - increased costs and operational disruption		Procurement Officer post established	arrangements currently in place				
<b>Channel shift</b>							
Failure of digital transformation strategy - increasing costs, reducing customer satisfaction, lack of efficiency, not making best use of technological advances		IT, Customer Services and Communication strategies  Staff development processes in order to maintain technical competence  DTP progress reports are provided to Cabinet and O&S on a six monthly basis to enable Member oversight	Review and update of IT strategy, Web Strategy and Customer Services Strategy.  <i>Digital Service Improvement has replaced the Digital Transformation programme, and will become part of the Council's Digital Strategy</i>	SK (Dec 2020)  SK (TBC)			
<b>Assets</b>							
Loss of information assets - reputational (hacking/theft), operational disruption, impact on customers		IT Strategy 2014/17 IT Security Policies Implementation of data security protocols IT Monitoring Data Protection training PSN Code of Connection compliance Regular audits of IT security arrangements Regular 3rd party data protection and integrity testing Information security and data protection training Information Risk Policy and Role Description GDPR guidance notes issued by legal. Staff have completed GDPR training. Information Asset Owners (IAO) identified and Article 30 spreadsheets complete.	Review and update of IT strategy, Web Strategy and Customer Services Strategy.	SK (Dec 2020)			

<p>Deteriorating/ underused property assets - loss of revenue / legal liability/ increased maintenance costs/ not achieving value for money/reputational risk/capital commitment</p>		<p>Production and approval of the Asset Management Plan  Adequate budget provision both from revenue and capital to support repair and maintenance (R&amp;M) works and capital investment improvements  Asset condition surveys  Compliance policies in place and up to date  Compliance works undertaken in a timely fashion  Adequate staff or appropriately qualified external contractor support  Procure a Strategic Development Partner to provide further capacity and to help achieve asset commercialisation agenda  Production of business cases to support asset development improvements and commercialisation</p>	<p>Rolling asset condition surveys continue to be undertaken to ensure that the R&amp;M schedules remain up to date and new contract let.   Asset Management Plan (AMP) to be updated to reflect new Corporate Plan   Sinking funds to be reviewed as possible solution for funding asset repairs</p>	<p>RT/RG (April 2020)   RG (Dec 2020)   LH/RT/RG (Feb 2021)</p>				
<p><b>MACROECONOMIC</b>  <i>related to the growth or decline of the local economy, interest rates, inflation and to a lesser degree, the wider national and global economy amongst others.</i></p> <p><b>Risk</b> - national/global recession resulting in business failure and unemployment</p> <p><b>Effect</b> - increased requirement for benefits, housing, council tax support, business advice and support</p>	<p>4x4 =16</p>		<p>4x4 =16</p>		<p>3x4=12</p>	<p>SLT/OMT</p>	<p>↔</p>	<p>Amber</p>

<p>Local Economic position- impact on NNDR, revenue streams, higher demand for services, business failure, increased unemployment and deprivation</p> <p>National Economic position - central government funding challenges</p> <p>Global Economic position - potential negative impact on council investments resulting in reduced income</p>		<p>Corporate /Service Planning MTFS Treasury Management Strategy Fund Management advice from Arlingclose Economic Growth Strategy and Action Plan Development of temporary accommodation portfolio</p>	<p>Business survey currently being undertaken Small Business Grant and Discretionary Grant schemes completed with payments in excess of £55m made to over 5,000 customers. Process to be repeated for Local Restrictions Support Grant and Additional Restrictions Support Grant.</p> <p>Operation of the Council Tax Hardship Fund.</p>	<p>SQ (Feb 2021) TG/LC (Jan 2021)</p>				
<p><b>STRATEGIC</b> <i>key initiatives undertaken by the Council such as significant purchases, new ventures, commercial interests and other areas of organisational change deemed necessary to help the Council meet its goals.</i></p> <p><b>Risk</b> - Corporate Plan and Projects may not be delivered within agreed timescales or budget</p> <p><b>Effect</b> - objectives not delivered, poor use of council financial resources</p>	<p>4x3=12</p>		<p>4x3=12</p>		<p>3x3=9</p>	<p>SLT</p>	<p>↔</p>	<p>Amber</p>
<p>The Council's income/expenditure challenges may put at risk some of the work streams identified in the Corporate Plan.</p> <p>Poor performance management leading to not knowing whether outcomes have been met.</p> <p>Optimism bias in terms of timescales and or cost projections hampers or prevents project delivery.</p>		<p>Corporate Plan agreed by Council Feb 2020 Service planning MTFS Budget process/budget monitoring Annual review of reserves Project management framework Performance Management Framework Local Plan</p>	<p>Initial review of Corporate Plan undertaken post Covid 19 Updating and further developing Performance Management framework using InPhase Financial impact of Covid 19 reporting to Cabinet and O&amp;S Emerging Local Plan Annual Governance Statement action plan 2019/20</p>	<p>SB (Sept 2020) complete  SB (Jan 2021)  DE (Aug 2020) complete  PR (tbc)  SLT (Dec 2020)</p>				

<p><b>ENVIRONMENTAL AND SOCIAL</b> <i>related to the environmental and social impact of the Council's strategy and interests</i></p> <p><b>Risk</b> - Council fails to take into account changing environmental and social needs</p> <p><b>Effect</b> - strategic objectives don't reflect environmental and social issues</p>	5x3=15		5x3=15		4x3=12	SLT	↔	Amber
<b>Climate Change</b>								
<p>Inability to adapt to climate change - increased coastal erosion and flooding.</p> <p>Lack of Government funding - lack of ability to maintain coast defences and / or to support local coastal adaptation needs.</p>		<p>The Pathfinder Project Shoreline Management Plan (SMP) Repairs &amp; Maintenance Programme Procurement practices Health &amp; Safety checking and monitoring DEFRA funding of capital schemes Coast monitoring Control of coastal management schemes through procurement and regular checking Coastal Partnership East Sandscaping agreement procured and contract signed off 10 year capital programme Corporate/service planning</p>	<p>Climate change forum Climate change identified as a key priority in the corporate plan</p>	SB (TBC)				
<p>Wider environmental objectives including projects from Delivery Plan and the 'Climate, Coast and Environment' theme.</p>			<p>There are 32 actions within the Delivery Plan which support the 'Climate, Coast and Environment' theme. As these are delivered they will impact on the risk mitigation score and help to reduce the Council's overall exposure to this area. Due to the number of projects these will be bill monitored through the InPhase performance management system and will not be reported individually here until schemes are complete.</p>	<p>SLT (initial review date for progress 31 March 2021)</p>				

<p>Non delivery of housing targets may lead to increasing homelessness, impact on NHB, vibrancy of local communities, impact on social infrastructure, loss of temporary accommodation in district, lack of social housing.</p>		<p>Use of capital Partnership work with Registered Providers Local Investment Plan Local Development Framework (LDF) policies Internal planning protocol Increased Focus Housing Strategy discussion document (2010) Enhance Housing Association delivery Purchase of temporary accommodation units Community Housing Fund £3m allocated within 2019/20 budget to establish a Property Company with a housing focus Homelessness &amp; Rough Sleeping Strategy 2019/24</p>	<p>To re-draft Housing Delivery Strategy to address Identify alternative sources.</p>	<p>ND/GC (tbc)</p>				
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**GOVERNANCE**  
*related to ensuring that prudence and careful consideration sit at the heart of the Council's decision-making, augmented by quality independent advice and appropriate checks and balances that balance oversight and efficiency.*  
**Risk** - Council acts outside established procedures or unlawfully  
**Effect** - risk of litigation/reputational risk to Council/poor decision making

4x4=16

4x3=12

3x3=9

SLT

↓

Amber

Ignorance or non observance of the Council's agreed governance protocols - poor or illegal decision making		Corporate/service planning MO/S151 GRAC Constitution/Standing Orders/Scheme of Delegations Report templates Member Officer Protocol Overview and Scrutiny Committee Annual Governance Statement supported by assurance framework Standards Committee Monitoring Officer Report Head of Internal Audit assurance Audit Programme Constitution Working Party	Annual Governance Statement Assurance Statements Annual Audit Report	DE/ED/LH (June 2021) SLT (May 2021) FH (June 2021)	
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<b>REPUTATION</b> <i>related to the Council's dealings and interests, and the impact of adverse outcomes on the Council's reputation and public perception.</i> <b>Risk</b> - Council's reputation is adversely affected <b>Effect</b> - Reduced public confidence	3x4=12		3x4=12		2x4=8	SLT	↔	Amber
The Council is perceived as inefficient, unresponsive to local need, not transparent resulting in a poor reputation.		Communications Strategy 2016/19 Web Strategy 2011/15 Customer Services Strategy Governance Framework	Review of Communications Strategy  Review of Web Strategy  Review of Customer Services Strategy	JF (Dec 2020)  SK (Dec 2020)  DW/SK (Dec 2020)				

**CORPORATE PROJECT RELATED RISKS**  
*Related to individual corporate project risks*

Sheringham Leisure Centre  Potential cost overrun issues if there is a resurgence of COVID and the works have to cease again	5x4=20	Business plan signed off by Full Council Capital budget approved Sport England Funding application submitted Regular updates to O&S	3x4=12	RY	3x3=9		↓	Amber
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**Risk owners**

- AS - Alison Sayer (Resilience Manager)
- DB - Debra Beckles (Procurement Officer)
- DE - Duncan Ellis (Head of Finance & Assets)
- DW - David Williams (Customer Services Manager)
- ED - Emma Duncan (Head of Legal)



FH - Faye Haywood (Internal Audit Manager)  
GOLD - Gold Command  
JC - James Claxton (Interim Human Resources Manager)  
JEC - Jenny Carroll (Chief Group Accountant)  
JF - Joe Ferrari (Communications & PR Manager)  
KR - Karl Read (Leisure & Locality Service Manager)  
LH - Lucy Hume (Chief Technical Accountant)  
ND/GC - Nicky Debbage and Graham Chapman (Joint Strategic Housing Team Leader)  
OMT - Operational management Team  
PR - Phillip Rowson (Head of Planning)  
RG - Renata Garfoot (Estates & Asset Strategy Manager)  
RY - Rob Young (Head of Economic & Community Development)  
RT - Russell Tanner (Assets & Property Programme Manager)  
SB - Steve Blatch (Chief Executive)  
SK - Sean Kelly (Head of Business Transformation & IT)  
SLT - Strategic Leadership Team

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## GOVERNANCE, RISK & AUDIT COMMITTEE ON 29<sup>th</sup> SEPTEMBER 2020 - ACTIONS ARISING FROM THE MINUTES

Minute No.	Agenda item and action	Action By
35	<b>PROGRESS REPORT ON INTERNAL AUDIT ACTIVITY</b>	
	<p><b>RESOLVED</b></p> <p style="text-align: center;">To note the report.</p>	GRAC
36	<b>ANNUAL GOVERNANCE STATEMENT &amp; LOCAL CODE OF CORPORATE GOVERNANCE</b>	
	<p><b>RESOLVED</b></p> <p style="text-align: center;">To review and approve the Annual Governance Statement along with the updated Local Code of Corporate Governance.</p>	GRAC
37	<b>FINAL STATEMENT OF ACCOUNTS 2018-19</b>	
	<p><b>RESOLVED</b></p> <p style="text-align: center;">To approve the annual accounts for the 2018-19 financial year.</p>	GRAC
38	<b>LETTER OF REPRESENTATION</b>	
	<p><b>RESOLVED</b></p> <p style="text-align: center;">To receive and note the Letter of Representation.</p>	GRAC
39	<b>AUDIT RESULTS REPORT</b>	
	<p><b>RESOLVED</b></p> <p style="text-align: center;">To receive and note the Audit Results Report for the 2018-19 financial year ended 31st March 2019.</p>	GRAC
40	<b>DRAFT STATEMENT OF ACCOUNTS 2019-20</b>	
	<p><b>RESOLVED</b></p> <p style="text-align: center;">To note the Draft Statement of Accounts.</p>	GRAC
41	<b>CORPORATE RISK REGISTER</b>	
	<p><b>RESOLVED</b></p> <p style="text-align: center;">To note the Corporate Risk Register.</p>	GRAC

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## GOVERNANCE, RISK & AUDIT COMMITTEE – ANNUAL WORK PROGRAMME 2020/2021

Date/Meeting	Item	Lead Officer	Additional Comments	Cycle
<b>16<sup>th</sup> June 2020</b>				
	Progress report on Internal Audit Activity	Internal Auditors – Faye Haywood	Not for discussion	Quarterly
	Follow up on Internal Audit Recommendations	Internal Auditors – Faye Haywood	Not for discussion	Six Monthly
	Annual Report/Opinion & Review of the Effectiveness of Internal Audit	Internal Auditors – Faye Haywood		Annual
	Risk Management Policy/Framework & corporate risk registers	Head of Finance & Asset Management – Duncan Ellis	To review the corporate risk register in relation to Covid-19	Quarterly
<b>4<sup>th</sup> August 2020</b>				
	Monitoring Officer's Report	Monitoring Officer – Emma Duncan		Annual
	Revised Strategic and Annual Audit Plans	Internal Auditors – Faye Haywood		Annual
	NNDC Counter Fraud, Corruption and Bribery Strategy	Internal Auditors – Faye Haywood	Due for review	3 year cycle
	Egmere Audit Report	Internal Auditors – Faye Haywood	Requested by Committee	
	Sheringham Leisure Centre Audit Report	Internal Auditors – Faye Haywood	Requested by Committee	
	Confidential Investigation – Follow-up Report	Head of IT & Digital Transformation – Sean Kelly		
<b>29<sup>th</sup> Sept 2020</b>				
	Draft Statement of Accounts	Chief Technical Accountant – Lucy Hume		Annual
	Progress Report on Internal Audit Activity	Internal Auditors – Faye Haywood		Quarterly
	Corporate Risk Register	Head of Finance & Asset Management – Duncan Ellis	To review the corporate risk register	Quarterly
	Audit Results Report	External Auditors - EY	2018/19 - Delayed	Annual
	Letter of Representation	Head of Finance & Asset Management – Duncan Ellis		Annual
	Annual Governance Statement 2019/20 & Local Code of Corporate Governance	Head of Finance & Asset Management – Duncan Ellis		Annual
	Sign-off Annual Accounts	Chief Technical Accountant – Lucy Hume	2018/2019 - Delayed	Annual

## GOVERNANCE, RISK & AUDIT COMMITTEE – ANNUAL WORK PROGRAMME 2020/2021

<b>8<sup>th</sup> Dec 2020</b>				
	Corporate Risk Register	Head of Finance & Asset Management – Duncan Ellis		Quarterly
	Progress Report on Internal Audit Activity	Internal Auditors – Faye Haywood		Quarterly <b>TBC</b>
	Follow Up Report on Internal Audit Recommendations	Internal Auditors – Faye Haywood	To include update on historical recommendations	Six Monthly
<b>2021</b>	Anti-money laundering policy	Internal Auditors – Faye Haywood		<b>3 years – Due 2021</b>
	Civil Contingencies Update	Resilience Manager – Alison Sayer		Annual
	New Project Governance & Management Framework	Chief Executive – Steve Blatch	<b>Requested by Committee</b>	
<b>9<sup>th</sup> March 2021</b>				
	EY External Audit Plan (with overview) Annual Grant Certification Report	External Auditors - EY		Annual
	Progress Report on Internal Audit Activity	Internal Auditors – Faye Haywood		Quarterly
	Undertake self-assessment	Internal Auditors – Faye Haywood		Annual
	Strategic and Annual Audit Plans	Internal Auditors – Faye Haywood		Annual
	Corporate Risk Register	Head of Finance & Asset Management – Duncan Ellis	To review the corporate risk register	Quarterly
	Risk Management Framework	Head of Finance & Asset Management – Duncan Ellis	To review the Council's risk management framework	Annual
	EY Annual Audit Letter	External Auditors - EY		Annual
	Final Statement of Accounts	Lucy Hume – Chief Technical Accountant		Annual <b>TBC</b>
<b>To be Confirmed/Arranged</b>				
<b>2020</b>	EY External Audit Plan (w/ overview) Annual Grant Certification Report	External Auditors - EY		Annual
<b>2020</b>	GRAC Annual Report	Committee Officer – Matt Stembrowicz		Annual <b>TBC</b>