

## Internal Audit Report – Capital Programmes – Lessons Learnt

Market Relocation					
No	Programme	Lessons Learnt	Responsibility	Proposed action to be taken	Target date
1	Market Relocation	For future projects considerations around options appraisals should be formally recorded so there is an audit trail of discussions and decisions made.	Senior Responsible Officer	Options appraisals will be undertaken as part of the feasibility phase of a project and recorded in Verto using the standard templates.  The Senior Responsible Officer is to ensure that the options are discussed at a board meeting. The minuting of the discussion will create an audit trail and the decision of which option to pursue must be recorded in the decisions log on Verto.	With immediate effect
2	Market Relocation	Changes in project completion dates should be reported to the Cabinet (Resources) Panel detailing the reasons for the change and any risk implications this may have.	Senior Responsible Officer  Director of Governance	The Senior Responsible Officer will ensure that decisions and reporting in relation the project are made in accordance with the Council's Constitution.  The relevant sections of the Council's Constitution to be reviewed and amended if required through the Constitution Review Group process.	With immediate effect

Market Relocation					
No	Programme	Lessons Learnt	Responsibility	Proposed action to be taken	Target date
3	Market Relocation	Either the project's SRO or Project Manager should be requested to attend future Project Assurance Group meetings to provide updates on the project.	Chair of Project Review Group	<p>The Project Assurance Group, chaired by the Director of Finance or the Strategic Director for Place, will provide officer oversight and challenge for major capital projects and programmes.</p> <p>There is a standing item on Project Assurance Group meeting agenda to provide an update on all major capital programmes through Verto performance dashboard reporting.</p> <p>The Programme Director or Project Manager will provide an update to Project Assurance Group when required and include regular updates as part of project planning.</p>	With immediate effect

Market Relocation					
No	Programme	Lessons Learnt	Responsibility	Proposed action to be taken	Target date
4	Market Relocation	A quality control process should be implemented to ensure all outstanding matters, discussed at Project Assurance Group, are promptly followed up.	Chair of Project Review Group	<p>Projects and Programmes Team is to assess and review the controls in place for feeding back to Project Assurance Group.</p> <p>There is a standing item on Project Assurance Group meeting agenda to provide an update on all major capital programmes through Verto performance dashboard reporting.</p>	With immediate effect
5	Market Relocation	The Council's project management system (Verto) should be kept up to date throughout the lifecycle of the project. An escalation process should be established where non-compliance has been identified i.e. reported to the Project Assurance Group.	<p>Senior Responsible Officer</p> <p>Projects and Programmes Manager</p>	<p>The Senior Responsible Officer and Project Manager will ensure adequate project support to maintain Verto.</p> <p>A monthly "highlight report" is produced by the Projects and Programmes Team which sets out the status of each project or programme is presented to Directorate Leadership, Wider Leadership team meetings and provided to the Audit team.</p> <p>A performance dashboard has recently been developed that highlights non-compliance and areas of risk which in addition is present to the Project Assurance Group.</p>	<p>With immediate effect</p> <p>Implemented</p>

Market Relocation					
No	Programme	Lessons Learnt	Responsibility	Proposed action to be taken	Target date
6	Market Relocation	All project documentation should be stored under the Council's project folder to ensure a full audit trail of decisions is kept and assuring business continuity.	Senior Responsible Officer	The Senior Responsible Officer and Project Manager will agree at the start of a project how document storage and management will be undertaken. This will be recorded in the minutes of the Board.	With immediate effect
			Projects and Programmes Manager	The Projects and Programmes Team provides advice on document storage and management as part of its Project Management Training.	With immediate effect
7	Market Relocation	Anyone that is allocated an assurance role in the project team should be given full access to all information needed to fulfil their role. If they are unable to fulfil the project role that they have been given this should be escalated and appropriate action taken.	Head of Audit	<p>Senior Responsible Officer and Project Manager will conduct regular reviews of roles and responsibilities in the Terms of Reference document and hold people to account for the responsibilities that have been set by the board. If the role is deemed to no longer be required, or the person assigned is not carrying out the responsibilities, then a new assurance representative should be sought.</p> <p>Any issues will be raised with the Head of Audit. If this is not resolved at first instance then it will be raised at Project Assurance Group for resolution.</p>	With immediate effect

Market Relocation					
No	Programme	Lessons Learnt	Responsibility	Proposed action to be taken	Target date
8	Market Relocation	To support a robust risk management process, it is essential that the objectives of a project are fully defined at an early stage – these objectives should take account of stakeholder aspirations to assure that the objectives are complementary.	Projects and Programmes Manager	<p>Senior Responsible Officer and Project Manager will ensure that when creating the business case for the project, risks, objectives scope etc. are clearly defined. Within the development of the business case, the Project Manager should carry out a stakeholder analysis. The Project Manager should liaise with subject matter experts to support completion of this work. The Project Manager should subsequently ensure that the business case and objectives etc. are part of a board meeting for board members to review and agree. This should be recorded in the minutes and noted in the objectives that everyone has agreed to the objectives. Any reservations will be considered by the Chair of the Board (Project Senior Responsible Officer) who has the ultimate decision as they are ultimately accountable for that project.</p> <p>The Projects and Programmes Team provides advice on risk management as part of its Project Management Training in line with PRINCE2 methodologies.</p>	With immediate effect

Market Relocation					
No	Programme	Lessons Learnt	Responsibility	Proposed action to be taken	Target date
9	Market Relocation	The identification of risk and its management throughout the project lifecycle is essential if objectives are going to be delivered and cost and schedule over-runs avoided (or minimised).	Senior Responsible Officer	<p>The Senior Responsible Officer is responsible, at the earliest stage possible, to create a risk workshop with key project members. This will identify key risks and start the risk register, which is held within Verto. The Senior Responsible Officer and Project Manager are to agree regular intervals, where independent review of the risk register and its management are undertaken. This can be done by internal audit or, for major schemes, an external risk management company should be sought. Project Manager to ensure that risks are a high agenda item at board meetings and major risks are covered at every meeting.</p> <p>The Projects and Programmes Team provides advice on risk management as part of its Project Management Training in line with PRINCE2 methodologies.</p> <p>There is a standing item on Project Assurance Group meeting agenda to provide an update on all major capital programmes through Verto performance dashboard reporting.</p>	With immediate effect

Market Relocation					
No	Programme	Lessons Learnt	Responsibility	Proposed action to be taken	Target date
10	Market Relocation	Risks and assumptions must be documented and assessed throughout the project lifecycle to support clear communication, targeted and appropriate management of uncertainty, the management and understanding of change, and ultimately to support project assurance and decision-making.	Senior Responsible Officer	The Senior Responsible Officer will ensure that Verto is utilised and updated throughout the life of a project.	With immediate effect
			Projects and Programme Manager	<p>A monthly “highlight report” is produced by the Projects and Programmes Team which sets out the status of each project or programme is presented to Directorate Leadership, Wider Leadership team meetings and provided to the Audit team.</p> <p>A performance dashboard has recently been developed that highlights non-compliance and areas of risk which in addition is present to the Project Assurance Group.</p>	Implemented

Train Station - Interchange					
No	Programme	Lessons Learnt	Responsibility	Proposed action to be taken	Target date
1	Train Station	All reports taken to Cabinet for internally and externally procured major projects should be reviewed by Corporate Procurement for accuracy, feasibility and reasonableness of costs	Head of Procurement	<p>All awards of contract reports are now submitted to Cabinet (Resources) Panel through the Procurement report unless Procurement has advised otherwise. This ensures Procurement oversight of all awards of contract.</p> <p>The Director of Commercial Services now sits on Place Leadership Team which has oversight of reports going to Cabinet.</p> <p>Procurement representation will be a standard role on Terms of Reference (TOR) for projects.</p> <p>The Senior Responsible Officer will ensure the TOR are approved in accordance with the relevant governance and that a Procurement representative is a member of the Board.</p>	Implemented



Train Station - Interchange					
No	Programme	Lessons Learnt	Responsibility	Proposed action to be taken	Target date
2	Train Station	Project working group meeting minutes should be sufficiently detailed to fully evidence and support decisions taken.	Senior Responsible Officer	<p>The Senior Responsible Officer and Project Manager will agree what project support resources will be required. This will be recorded in the minutes of the Board meeting.</p> <p>The Board members will review the minutes of previous meetings as to their adequacy and content.</p> <p>Any key decisions from the minutes will be transferred to the Decisions Log within Verto.</p> <p>The Projects and Programmes Team provides advice on minuting and tracking decisions as part of its Project Management Training in line with PRINCE2 methodologies.</p>	With immediate effect

Train Station - Interchange					
No	Programme	Lessons Learnt	Responsibility	Proposed action to be taken	Target date
3	Train Station	Cabinet should kept informed of key developments on major high-profile projects on a timely basis.	Senior Responsible Officer	<p>The Senior Responsible Officer will ensure that decisions and reporting in relation to the project are made in accordance with the Council's Constitution.</p> <p>The Senior Responsible Officer will be brief the relevant Cabinet Member as needed and as a minimum on a monthly basis.</p>	With immediate effect
4	Train Station	Corporate Procurement should have representation on working groups for all externally procured major projects to provide input and intervention at key stages of procurement.	<p>Projects and Programmes Manager</p> <p>Senior Responsible Officer</p>	<p>Procurement representation will be a standard role on Terms of Reference (TOR) for projects.</p> <p>The Senior Responsible Officer will ensure the TOR are approved in accordance with the relevant governance and that a Procurement representative is a member of the Board.</p>	With immediate effect

Train Station - Interchange					
No	Programme	Lessons Learnt	Responsibility	Proposed action to be taken	Target date
5	Train Station	Issues raised by the Corporate Procurement Manager about supplier M's tender submission should be investigated to ensure these have been resolved.	Senior Responsible Officer	The Senior Responsible Officer will meet with Procurement to ensure that all concerns raised as part of the tender submission are resolved and arising risks are suitably managed.	With immediate effect
			Head of Procurement	All awards of contract reports are now submitted to Cabinet (Resources) Panel through the Procurement report unless Procurement has advised otherwise. This ensures that issues raised by Procurement are captured within any tender.  The formation of the Project Assurance Group also ensures Procurement oversight of major projects.  Issues raised by any external adviser will be flagged on the Issues Log by the Project Manager and captured in the minutes at Board to provide an audit trail.	Implemented

Train Station - Interchange					
No	Programme	Lessons Learnt	Responsibility	Proposed action to be taken	Target date
6	Train Station	Project specific contingencies should be set for each individual project to ensure potential project costs increases are covered by dedicated contingencies.	Chief Accountant	<p>External specialist project and risk assurance consultancy has been procured to support the delivery of projects and programmes.</p> <p>In addition, a Commercial Business Partner and Audit Business Partner have been provided training to be able to undertake peer reviews of major projects. This will provide an additional opportunity to challenge proposed contingencies and robustness of plans</p> <p>Finance are represented on all major capital programmes and are members of the Board and working groups. This provides assurance and challenge around contingencies and programme budgets. All formal reports to require sign-off from Finance and therefore Finance comments and approval must be sought before submission.</p>	Implemented

Train Station - Interchange					
No	Programme	Lessons Learnt	Responsibility	Proposed action to be taken	Target date
7	Train Station	The project's Senior Responsible Officer should ensure that project managers are keeping sharepoint up to date throughout the lifecycle of the project.	Senior Responsible Officer  Projects and Programmes Manager	The Senior Responsible Officer and Project Manager will agree at the start of a project how document storage and management will be undertaken. This will be recorded in the minutes of the Board.  The Projects and Programmes Team provides advice on document storage and management as part of its Project Management Training	With immediate effect
8	Train Station	A dedicated resource for maintaining accurate information should be used for major projects.	Senior Responsible Officer	The Senior Responsible Officer and Project Manager will agree what project support resources will be required. This will be recorded in the minutes of the Board meeting.  The Senior Responsible Officer and Programme Manager will seek advice and support to recruit the appropriate project support resources and to ensure that budget is available for external assurance if required.	With immediate effect

Train Station - Interchange					
No	Programme	Lessons Learnt	Responsibility	Proposed action to be taken	Target date
9	Train Station	The project's Senior Responsible Officer should ensure that project managers are keeping Verto up-to-date throughout the lifecycle of the project.	Senior Responsible Officer	The Senior Responsible Officer and Project Manager will ensure adequate project support to maintain Verto.	With immediate effect
			Projects and Programme Manager	A monthly "highlight report" is produced by the Projects and Programmes Team which sets out the status of each project or programme is presented to Directorate Leadership, Wider Leadership team meetings and provided to the Audit team.  A performance dashboard has recently been developed that highlights non-compliance and areas of risk which in addition is present to the Project Assurance Group.	Implemented

Train Station - Interchange					
No	Programme	Lessons Learnt	Responsibility	Proposed action to be taken	Target date
10	Train Station	An escalation process should be developed where it is identified that the Verto system is not being updated in a timely manner.	Projects and Programmes Manager	<p>A monthly “highlight report” is produced by the Projects and Programmes Team which sets out the status of each project or programme is presented to Directorate Leadership, Wider Leadership team meetings and provided to the Audit team.</p> <p>A performance dashboard has recently been developed that highlights non-compliance and areas of risk which in addition is present to the Project Assurance Group.</p>	Implemented

Train Station - Interchange					
No	Programme	Lessons Learnt	Responsibility	Proposed action to be taken	Target date
11	Train Station	The project assurance group should be kept informed of any issues relating to the train station project.	Projects and Programmes Manager	<p>Projects and Programmes will review all major capital programmes. Development work is being done with Performance team to improve visibility of performance of projects.</p> <p>Project Manager to provide update to Project Assurance Group when required and build in regular updates as part of project planning.</p> <p>Project Assurance Group will include a standing item for major capital programmes which will include the train station.</p>	With immediate effect



Train Station - Interchange					
No	Programme	Lessons Learnt	Responsibility	Proposed action to be taken	Target date
12	Train Station	The project assurance group should be included in the governance structure of the Interchange train station.	Chair of Project Assurance Group	<p>The Project Assurance Group, chaired by the Director of Finance or the Strategic Director for Place, will provide officer oversight and challenge for major capital projects and programmes.</p> <p>There is a standing item on Project Assurance Group meeting agenda to provide an update on all major capital programmes through Verto performance dashboard reporting.</p> <p>The Programme Director or Project Manager will provide an update to Project Assurance Group when required and include regular updates as part of project planning.</p>	With immediate effect

Train Station - Interchange					
No	Programme	Lessons Learnt	Responsibility	Proposed action to be taken	Target date
13	Train Station	As the station enters the construction phase, the project will need to be kept under review and may need to appear as an individual risk on the Council's strategic risk register.	Head of Audit	<p>The strategic risk register will include an entry for major capital programmes which will include the train station.</p> <p>Projects and Programmes team report monthly and share all significant project "red" risks i.e. with a score of 15 and above, to the Directorate Leadership Teams, Project Assurance Group and Corporate Risk team.</p>	With immediate effect
14	Train Station	The analytical methodology and decision-making criteria in contingency-setting must be documented to allow for later challenge and change management.	Senior Responsible Officer	<p>The project risk management process is already established, and risks are managed and monitored using Verto.</p> <p>The Senior Responsible Officer will ensure that decisions and supporting evidence is recorded in the minutes of the Board meeting.</p>	With immediate effect

Train Station - Interchange					
No	Programme	Lessons Learnt	Responsibility	Proposed action to be taken	Target date
15	Train Station	In the review of project estimates and bids the contingency levels adopted or proposed should be challenged based on benchmarking against similar projects at the same stage of development.	Chief Accountant	<p>External specialist project and risk assurance consultancy has been procured to support the delivery of projects and programmes.</p> <p>In addition, a Commercial Business Partner and Audit Business Partner have been provided training to be able to undertake peer reviews of major projects. This will provide an additional opportunity to challenge proposed contingencies and robustness of plans</p> <p>Finance are represented on all major capital programmes and are members of the Board and working groups. This provides assurance and challenge around contingencies and programme budgets. All formal reports to require sign-off from Finance and therefore Finance comments and approval must be sought before submission.</p>	With immediate effect

Train Station - Interchange					
No	Programme	Lessons Learnt	Responsibility	Proposed action to be taken	Target date
16	Train Station	The grouping of projects into a programme does not reduce the requirement for detailed risk assessments for each of the constituent projects. There is an additional requirement to overlay a programme-level risk register to capture cross-cutting risks and interface and dependency risks.	Projects and Programmes Manager	<p>Within Verto Projects and Programmes are built within a hierarchy. Any programme or project both has access to a risk register within the system.</p> <p>During the concept and feasibility phases of a programme or project the scope, complexity and risks will be assessed and identified. These will be presented to the Project Assurance Group where, as part of the approval to progress, the resources required to successfully manage the programme will be considered.</p>	Implemented
17	Train Station	If a detailed QCRA is carried out to support the setting of project contingency levels, advice should be sought from a risk specialist about the appropriate confidence level from the analysis to use.	Head of Audit	<p>External specialist project and risk assurance consultancy has been procured to support the delivery of projects and programmes.</p> <p>In addition, a Commercial Business Partner and Audit Business Partner have been provided training to be able to undertake peer reviews of major projects.</p>	3 September 2018

Train Station - Interchange					
No	Programme	Lessons Learnt	Responsibility	Proposed action to be taken	Target date
18	Train Station	Close on going monitoring of the financial status of supplier M should be undertaken.	Head of Procurement	<p>The Dun and Bradstreet report will continue to be monitored by Procurement to ensure continued monitoring of supplier M's financial status. Procurement will receive alerts should there be a deterioration and will advise the SRO.</p> <p>Procurement also conducts market and intelligence into companies involved in large scale capital programmes.</p>	Implemented

Civic Halls					
No	Programme	Lessons Learnt	Responsibility	Proposed action to be taken	Target date
1	Civic Halls	Options appraisals should be challenged on all future refurbishment projects to ensure they address long term maintenance issues and future proof the building.	Head of Corporate Landlord	Lifecycle assessments of all proposed capital projects to be undertaken as an integral element of options appraisals/business cases.	With immediate effect
2	Civic Halls	For each future project the repairs and maintenance programme should be reviewed so a proactive approach is taken to futureproof the City's assets.	Head of Corporate Landlord	The repairs and maintenance programme is proactively managed and works prioritised accordingly to align and make best use of available resources. Periodic condition surveys are the basis of the repairs and maintenance programme of works. The condition surveys will be supplemented by lifecycle assessments for each project to provide informed capital investment and revenue budgets.	With immediate effect

Civic Halls					
No	Programme	Lessons Learnt	Responsibility	Proposed action to be taken	Target date
3	Civic Halls	For future projects, where the structural condition of a site or building is unknown a realistic capital budget, which contains a robust risk managed contingency, should be established.	Head of Corporate Landlord	Risks associated with a lack of critical information will be managed through commissioning surveys and investigations during the project feasibility phase and an appropriate contingency will be identified. A standard operating procedure will be put in place that evidences and records the basis of assumptions used to identify contingencies. Reference will be made to industry benchmark data, relevant past projects, market conditions and external advisors.	With immediate effect

Civic Halls					
No	Programme	Lessons Learnt	Responsibility	Proposed action to be taken	Target date
4	Civic Halls	Where a future scheme cannot be delivered within the initial budget this will be discussed with the Director of Finance immediately and where it is deemed necessary an options report should be submitted to the Council's Strategic Executive Board seeking a decision on whether to rescope the scheme within the approved budget envelope or seek an additional budget for an uncompromised scheme.	Senior Responsible Officer	Senior Responsible Office and Project Manager will complete an options report drawing on Subject Matter Experts (Finance and Commercial) to ensure the adequate detail is sought and decisions are made.	With immediate effect
5	Civic Halls	For future projects, the risk for design and structural surveys should be adequately assessed to ascertain the best delivery approach. This should then be supported by a robust contract with a realistic budget to deliver a full suite of surveys to mitigate unknown risks and cost increases.	Head of Corporate Landlord	Ownership of project risks will be assessed and allocated to the most appropriate party with an appropriate contingency identified.	With immediate effect



Civic Halls					
No	Programme	Lessons Learnt	Responsibility	Proposed action to be taken	Target date
6	Civic Halls	A formal change management process should be in place for all projects which record the consequences, and risks, of omitting items from the original scheme design in order that informed decisions can be made by the Project Board, who are in a position to escalate issues upwards, if necessary.	Projects and Programmes Manager	The Projects and Programme Manager will ensure a change management log is established and that relevant request for change documentation is produced. All changes will be approved in line with each project's governance around change management.	With immediate effect
7	Civic Halls	<p>The Council's strategic partnership should be reviewed to ensure it has delivered value for money on this scheme.</p> <p>For all future projects alternative design approaches should be assessed which are supported by a robust contract.</p>	<p>Head of Corporate Landlord</p> <p>Head of Corporate Landlord</p>	<p>The framework contract under the strategic partnership expired at end of March 2018 and no new work is being awarded to them.</p> <p>A new operating model for project delivery will be implemented based on Royal Institute of British Architects plan of work which will consider the alternative design approaches during the concept and feasibility stages.</p>	<p>Implemented</p> <p>1 December 2018</p>

Civic Halls					
No	Programme	Lessons Learnt	Responsibility	Proposed action to be taken	Target date
8	Civic Halls	Sufficient time should be built into future project plans to allow for a thorough, and most appropriate, procurement process to take place.	Senior Responsible Officer	The Senior Responsible Officer will ensure a detailed plan is developed at the feasibility stage in conjunction with the Head of Procurement. The plan should then be approved in accordance with the project's governance process.	With immediate effect
9	Civic Halls	For future projects of this nature Corporate Procurement should be engaged earlier in the project and be represented on the Board.	Senior Responsible Officer	Procurement representation will be a standard role on Terms of Reference (TOR) for projects.  The Senior Responsible Officer will ensure the TOR are approved in accordance with the relevant governance and that a Procurement representative is a member of the Board.	Implemented
10	Civic Halls	Where the advice of Corporate Procurement is not followed there should be a clear audit trail to support this decision.	Head of Procurement	The Head of Procurement will ensure that all decisions and issues relating to procurement are raised and minuted at Board or working groups. This will also be noted in the decision log on Verto.	Implemented

Civic Halls					
No	Programme	Lessons Learnt	Responsibility	Proposed action to be taken	Target date
11	Civic Halls	For future projects of this nature, the risk for the removal of asbestos should be adequately assessed to ensure it resides with the appropriate party.	Head of Corporate Landlord	<p>The risk of asbestos contamination and will be assessed during the feasibility phase of a project and relevant surveys undertaken.</p> <p>Where removal is the appropriate treatment measure then the contracting strategy for this will be produced and agreed by the Board in accordance with the relevant governance process.</p>	With immediate effect

Civic Halls					
No	Programme	Lessons Learnt	Responsibility	Proposed action to be taken	Target date
12	Civic Halls	The Council's project management system should be kept up to date throughout the lifecycle of the project. An escalation process should be established where non-compliance has been identified i.e. reported to the Project Assurance Group.	Senior Responsible Officer  Project and Programmes Manager	The Senior Responsible Officer and Project Manager will ensure adequate project support to maintain Verto.  A monthly "highlight report" is produced by the Projects and Programmes Team which sets out the status of each project or programme is presented to Directorate Leadership, Wider Leadership team meetings and provided to the Audit team.  A performance dashboard has recently been developed that highlights non-compliance and areas of risk which in addition is present to the Project Assurance Group.	With immediate effect  Implemented
13	Civic Halls	For future projects quorum requirements should be set for each meeting to ensure all decisions are agreed by key stakeholders.	Senior Responsible Officer	The initial Board meeting will approve the Terms of Reference which will include the required quorum for respective meetings and decision making.	Implemented

Civic Halls					
No	Programme	Lessons Learnt	Responsibility	Proposed action to be taken	Target date
14	Civic Halls	At the beginning of each programme/project a document storage directory should be established where all documentation is filed in order to support a clear and transparent audit trail of decisions. This requirement should be communicated to all members of the programme and formalised in the terms of reference.	Senior Responsible Officer  Projects and Programmes Manager	The Senior Responsible Officer and Project Manager will agree at the start of a project how document storage and management will be undertaken. This will be recorded in the minutes of the Board.  The Projects and Programmes Team provides advice on document storage and management as part of its Project Management Training.	With immediate effect
15	Civic Halls	For future projects appropriate project support should be budgeted for in order that members of the project team can undertake their roles effectively.	Senior Responsible Officer	The Senior Responsible Officer and Project Manager will agree what project support resources will be required. This will be recorded in the minutes of the Board meeting.  The Senior Responsible Officer and Programme Manager will seek advice and support to recruit the appropriate project support resources and to ensure that budget is available for external assurance if required.	With immediate effect

Civic Halls					
No	Programme	Lessons Learnt	Responsibility	Proposed action to be taken	Target date
16	Civic Halls	<p>The highlight reports produced from Verto should provide a true and honest assessment of the project. Where it is deemed that this is not the case there should be a robust process in place to challenge the status being reported.</p>	Senior Responsible Officer	<p>Senior Responsible Officers on all projects and programmes will encourage a culture of honest and open reporting.</p> <p>The Project Assurance Group, chaired by the Director of Finance or the Strategic Director for Place, will provide officer oversight and challenge for major capital projects and programmes.</p> <p>There is a standing item on Project Assurance Group meeting agenda to provide an update on all major capital programmes through Verto performance dashboard reporting.</p>	Implemented

Civic Halls					
No	Programme	Lessons Learnt	Responsibility	Proposed action to be taken	Target date
17	Civic Halls	Going forward the Civic Halls project should be subject to project gateway reviews which are reported to the Project Assurance Group and the Civic Halls Strategy Board.	Senior Responsible Officer	<p>A new governance arrangement has been established for the Civic Halls project and a Programme Director appointed.</p> <p>External assurance consultants have been engaged to provide an independent review to the Board of progress at each stage of the project prior to authorisation to proceed to the next stage.</p> <p>Authorisation will be recorded in the minutes of the Board meetings.</p>	Implemented
18	Civic Halls	An escalation process should be developed whereby Senior Responsible Officers can raise concerns regarding their ability to govern the project/programme effectively.	Senior Responsible Officer	<p>The Chair of the Project Assurance Group has been designated as the point of contact for Senior Responsible Officers to raise these concerns.</p> <p>The Chair of the Project Assurance Group will discuss these concerns to the relevant Director, Strategic Director or Strategic Executive Board as appropriate.</p>	With immediate effect

Civic Halls					
No	Programme	Lessons Learnt	Responsibility	Proposed action to be taken	Target date
19	Civic Halls	For major programmes of this nature a full-time Programme Director should be appointed to support the SRO in the management and delivery of the programme.	Projects and Programmes Manager	During the concept and feasibility phases of a project the scope, complexity and risks will be assessed and identified. These will be presented to the Project Assurance Group where, as part of the approval to progress, the requirement as to whether to appoint a Programme Director should be decided.	With immediate effect
20	Civic Halls	Where matters arise that result in the delay of the completion of audit reviews, Audit Services should issue an interim/holding report in order to provide a position statement at a point in time. Such a report can then be updated and reissued once outstanding matters have been resolved. Audit Services should also make every attempt to ensure that reviews are completed within their original agreed timescales.	Head of Audit	The Audit Services Team has been instructed to comply with this requirement. Throughout the review any issues or findings that may result in a red or amber recommendation will be communicated with the audit.	Implemented



Civic Halls					
No	Programme	Lessons Learnt	Responsibility	Proposed action to be taken	Target date
21	Civic Halls	All limited assurance audit reports along with a schedule of any outstanding recommendations not implemented by their agreed dates should be presented to SEB on a regular basis.	Head of Audit	All limited reports are now presented to the next available SEB meeting.	Implemented
22	Civic Halls	Where a project role cannot be fully fulfilled due to other conflicting commitments the role should be formally delegated to an alternative officer.	Senior Responsible Officer	<p>The Senior Responsible Officer will regularly review project resources and project roles and propose any changes to the Board for approval.</p> <p>The adequacy of project resources will be assessed as part of the review at prior to the authorisation to proceed to the next stage of the project.</p>	Implemented

Civic Halls					
No	Programme	Lessons Learnt	Responsibility	Proposed action to be taken	Target date
23	Civic Halls	The role of project assurance should either be undertaken by an external consultant or someone who has no direct involvement with the project/programme, to ensure complete independence is achieved.	Senior Responsible Officer	<p>The Senior Responsible Officer will be responsible for ensuring that appropriate and independent project assurance arrangements are in place.</p> <p>External specialist project and risk assurance consultancy has been procured to support the delivery of projects and programmes.</p> <p>In addition, a Commercial Business Partner and Audit Business Partner have been provided training to be able to undertake peer reviews of major projects.</p>	With immediate effect

Civic Halls					
No	Programme	Lessons Learnt	Responsibility	Proposed action to be taken	Target date
24	Civic Halls	A change control procedure should be implemented whereby all proposed design changes are signed off and approved by the Service/Senior User for the project.	Senior Responsible Officer	<p>The Senior Responsible Officer shall ensure that the Programme Director / Project Manager will establish appropriate change management processes which record and provide an audit trail of changes and reasons.</p> <p>The Terms of Reference will include which changes are delegated to the programme team and which are reserved to be decided by the Board.</p>	3 September 2018

Civic Halls					
No	Programme	Lessons Learnt	Responsibility	Proposed action to be taken	Target date
25	Civic Halls	High risk projects and programmes should be periodically called in by Project Assurance Group and should also be subject to gateway reviews.	Chair of Project Assurance Group	<p>The Project Assurance Group, chaired by the Director of Finance or the Strategic Director for Place, will provide officer oversight and challenge for major capital projects and programmes.</p> <p>There is a standing item on Project Assurance Group meeting agenda to provide an update on all major capital programmes through Verto performance dashboard reporting.</p> <p>The Programme Director or Project Manager will provide an update to Project Assurance Group when required and include regular updates as part of project planning.</p>	With immediate effect

Civic Halls					
No	Programme	Lessons Learnt	Responsibility	Proposed action to be taken	Target date
26	Civic Halls	For all future projects the initial capital budget should be subject to an independent risk assessment process in order to determine the level of contingency required to manage the future risks of the project.	Chief Accountant	<p>External specialist project and risk assurance consultancy has been procured to support the delivery of projects and programmes.</p> <p>In addition, a Commercial Business Partner and Audit Business Partner have been provided training to be able to undertake peer reviews of major projects. This will provide an additional opportunity to challenge proposed contingencies and robustness of plans</p> <p>Finance are represented on all major capital programmes and are members of the Board and working groups. This provides assurance and challenge around contingencies and programme budgets. All formal reports to require sign-off from Finance and therefore Finance comments and approval must be sought before submission.</p>	1 August 2018

This report is Public  
[NOT PROTECTIVELY MARKED]

Civic Halls					
No	Programme	Lessons Learnt	Responsibility	Proposed action to be taken	Target date
27	Civic Halls	Financing and funding requirements should be a standard agenda item for all Strategy Board meetings to ensure all funding opportunities are explored throughout the lifecycle of the project.	Senior Responsible Officer	The Senior Responsible Officer will ensure that a standing agenda item for finance and funding is included for all Board meetings.	Implemented
28	Civic Halls	The Civic Halls refurbishment project should stand as its own specific risk on the Council's Strategic Risk Register.	Head of Audit	Civic Halls is now shown as its own risk on the Council's Strategic Risk Register (risk 30/01/18)	Implemented

Civic Halls					
No	Programme	Lessons Learnt	Responsibility	Proposed action to be taken	Target date
29	Civic Halls	The Council should adopt a standard for project risk management to clarify requirements and lead the management of risk on its projects.	Projects and Programmes Manager	<p>The project risk management process is already established, and risks are managed and monitored using Verto.</p> <p>Projects and Programmes team report monthly and share all significant project “red” risks i.e. with a score of 15 and above, to the Directorate Leadership Teams, Project Assurance Group and Corporate Risk team.</p>	Implemented

Civic Halls					
No	Programme	Lessons Learnt	Responsibility	Proposed action to be taken	Target date
30	Civic Halls	Change must be managed in the context of a clearer understanding of the impact of change on the risk profile of the project. Contingency management should be carried out in the context of a clear understanding of the current risk exposure, and the change process should facilitate the reassessment and communication of contingency requirements through the project lifecycle.	Senior Responsible Officer	<p>The Senior Responsible Officer shall ensure that the Programme Director / Project Manager will establish appropriate change management processes which record and provide an audit trail of changes and reasons.</p> <p>The Terms of Reference will include which changes are delegated to the programme team and which are reserved to be decided by the Board.</p>	3 September 2018



Civic Halls					
No	Programme	Lessons Learnt	Responsibility	Proposed action to be taken	Target date
31	Civic Halls	The use of Verto for project management, risk management and reporting, should be mandatory for all Council projects and managed to assure the Council and supply chain engagement.	Senior Responsible Officer  Projects and Programmes Manager	<p>The Senior Responsible Officer will ensure that Verto is utilised and updated throughout the life of a project.</p> <p>A monthly “highlight report” is produced by the Projects and Programmes Team which sets out the status of each project or programme is presented to Directorate Leadership, Wider Leadership team meetings and provided to the Audit team.</p> <p>A performance dashboard has recently been developed that highlights non-compliance and areas of risk which in addition is present to the Project Assurance Group.</p>	With immediate effect

Civic Halls					
No	Programme	Lessons Learnt	Responsibility	Proposed action to be taken	Target date
32	Civic Halls	The Council should have standard process documentation, requirements, and templates that are used across all capital projects. This will provide a consistent approach and drive the adoption of best practice and allow a simple upload to the Verto system.	Senior Responsible Officer	The Verto system includes standard templates which will be utilised for projects. Any deviation from these will be agreed in advance with the Project and Programmes team and recorded in the minutes of Board meetings.	Implemented
			Head of Corporate Landlord	Standard operating procedures, documentation and templates are being reviewed, as part of the implementation of a new operating model for project delivery.	1 December 2018