

# WELLAND INTERNAL AUDIT CONSORTIUM Harborough District Council



Date: 25 November 2011

REF: H/UOPP2012

## USE OF PLANNING PROCESSES & PLANNING ENFORCEMENT (INC S106)

### EXECUTIVE SUMMARY

#### Context

The purpose of this report is to provide management with assurance that the controls operating in relation to the Council's use of Planning Processes & Planning Enforcement powers (inc S106) procedures are adequate.

The Council is responsible for the development of local planning policies which are to be used to decide the type and form of development within its boundaries. Local Plans have to be complementary to the Council's overall vision for the area as well as complying with statutory requirements set regionally and nationally.

#### Overview

Overall the control framework in relation to the use of planning processes provides appropriate mitigation to the key risks identified. The Local Development Strategy ('Core Strategy') has been produced in line with national guidance and has been subject to appropriate peer review. It is aligned with the strategic direction of the Council and a satisfactory level of consultation with stakeholders has taken place, including businesses, residents, other local planning authorities and economic development specialists. Monitoring measures for delivery of the Strategy have been put in place, and there is evidence of strong links between the objectives identified in the Strategy, and guidance provided to developers in relation to Section 106 Planning obligations. Appropriate arrangements exist to ensure that S106 agreements are established, and monitoring of income due takes place.

One area for potential improvement was identified during the audit:

- The Strategy included a table of measurable outcomes, however, for some of the outcomes, no timeframe had been attributed which makes it difficult to measure performance.

This issue is addressed through the recommendation in the report. As a result of these findings, the overall assurance rating is given below.

As only minor risks have been identified and one low level recommendation made, the assurance rating following this audit is

**Good**

Range 75+

**Assessed Score 85**

# WELLAND INTERNAL AUDIT CONSORTIUM

## Harborough District Council



### Scope

The audit included an examination of the key controls to give assurance that:

- Local Policies are produced in line with Statutory and Government Guidance
- Planning Policies support the wider objectives of the Council
- Policies are developed following appropriate consultations
- Appropriate resources are provided for developing policies
- The full benefits of Section 106 agreements are obtained

*The recommendations are listed on the action plan, followed by the detailed report.*

### Acknowledgements

The help and co-operation of the Policy Manager and Housing Enabling Manager was much appreciated by the Auditor.

Rosanne Fleming  
Internal Auditor

# WELLAND INTERNAL AUDIT CONSORTIUM

## Harborough District Council



### ACTION PLAN

| RECOMMENDATION   | Section number | Priority   | Officer Responsible                    | Agreed Action and completion date  |
|--|----------------|------------|--|--|
| To ensure effective performance monitoring can take place, the Monitoring Framework within the Core Strategy (Appendix 4) should be reviewed and updated to include appropriate time limits for delivery of the outcomes identified. | 04.03.02       | 2 - Medium | Head of Environment & Leisure Services | The Monitoring Framework was updated to include time limits as a result of the final stages of consultation and was adopted by Council on 14 November 2011.<br><b>Action completed</b> |

#### NOTES:

|                                   |                         |  |
|-----------------------------------|-------------------------|--|
| Action Plan Grade Classification: | H-High, M-Medium, L-Low | Order of Priority of Implementation. Please note that it will normally be expected that all recommendations will be implemented within 6 months. |
|-----------------------------------|-------------------------|--|

The range of Assurance ratings is as follows:

| Audit Opinion:  | Explanation:   |
|-----------------|--|
| GOOD            | Minor risks have been identified.                                  |
| SOUND           | Some risks have been identified and some recommendations made.     |
| MARGINAL        | A number of risks have been identified and changes should be made. |
| UNSATISFACTORY* | Unacceptable risks have been identified and changes must be made.  |
| UNSOUND*        | Major risks exist and fundamental improvements are required.       |

A rating of "Unsatisfactory" or "Unsound" requires immediate management attention and arrangements will be made for a further review to be carried out at a later (agreed) date.