

Finance/Funding	
Recommendation	Progress
<p>The investigation highlighted issues with the way in which funding was recorded and tracked. Therefore work should continue in ensuring uniform standards and practices are in place across services, particularly with regard to financial matters. It is specifically recommended that financial and funding documents are easily retrievable, and are clearly attributable to a particular project or purpose. This would be facilitated by the introduction of forms to record the officers involved in requesting and approving funding; the conditions attached to the funding; the purpose of the funding; officers authorised to disburse those funds, and what authority they are empowered by.</p> <p>Funding agreements should follow a standard process across the Council for approval and governance. This includes gateway stages and sign-off of the relevant funding agreement requirements as specified by either the Council or the finding body.</p>	<p>The training to be delivered as set out in paragraph 5.6 in this report will include:</p> <ul style="list-style-type: none"> • Explaining financial good governance as applied to grant awards and partnership working; and • Establishing and improving financial controls and procedures in collaboration with the Finance team. <p>This will help ensure sound administration in processing funding agreements.</p> <p>The Scheme of Governance due to be considered by Full Council on 5 March 2018, will propose that officers may approve grant funding but only if the Head of Commercial and Procurement Services has approved the proposed terms and conditions. This will help ensure consistency in the handling of grants across the Council and ensure that the Council's interests are protected.</p>

Project Management	
Recommendation	Progress
<p>The investigation highlighted that project delivery across the TSAP and Structures teams was amorphous. The Council has an opportunity to implement a standard operating procedure which can be tailored to the various types of projects which it undertakes. A common operating model should ensure a uniformly acceptable methodology for project delivery. A common model also means that a large number of staff can be</p>	<p>This has been taken forward through the Capital Programme Governance Review.</p> <p>The Capital PMO Project Management Process has been reviewed and revised and has now been adopted for all capital projects. This provides standard project stages, documentation templates and guidance, and formal approvals gates.</p>

trained in project delivery, with less reliance on specialist training which would likely cost more per head.

This methodology should ensure that Project Managers are identified at the inception of a project, as well as a clear understanding of who is the project owner. Paperwork (or electronic versions thereof) should be an integral part of the project. Decisions need to be made by the most appropriate person and reviewed by a suitably senior and qualified manager. Officers joining an existing project need to be able to see that the actions taken thus far are complete and the authorisations for further work are in place.

It is recommended that the Council obtains a project management software solution which allows the scanning and retention of all documents connected to a project (plans, emails, minutes, letters, applications, etc.). These records can allow us to demonstrate that the various aspects of external funding agreements, e.g. land ownership checks, have been complied with. This mechanism should also allow an authorised person to easily retrieve

A suite of standard training courses in the Capital PMO Project Management process has been developed and has been rolled out to 33 project managers, 15 project sponsors and 5 programme managers in the capital programme.

This has been taken forward through the Capital Programme Review.

All capital projects must now have a designated project manager and these project managers must attend the corporate project management training at the earliest opportunity. 33 out of the 34 staff currently identified as capital project managers have attended the corporate project management training.

The PMO Project Management Process includes clear approval gates where key go/no go decisions are made. The capital programme is now governed by an agreed managed governance structure providing scrutiny, standard approval routes and also escalation procedures for all capital projects, with key decisions fully minuted in the Capital Boards, Programme Boards and Project Boards.

This has been taken forward and incorporated within the Capital Programme Governance Review and the requirements and funding for a project management system is being investigated.

<p>details of all funding, without the need to check trackers held by different teams.</p> <p>Project risk assessments should include consideration of political or public interest factors.</p> <p>Guidance and refresher material should be readily available to all project staff. It is suggested that this should be via the Council intranet pages.</p>	<p>This has been taken forward within the Capital Programme Governance Review.</p> <p>These categories are included in the current training for risk assessments in the project management training but will be stressed more strongly in future iterations of the course and associated workshops.</p> <p>This has been taken forward within the Capital Programme Governance Review.</p> <p>Refresher guidance is available on the intranet and is being further enhanced as part of the ongoing Review.</p>
---	--

Governance	
Recommendation	Progress
<p>The investigation has shown there to be failures in governance, including insufficient supervision and record keeping. It is recommended that the Director of CHI should review processes and procedures, culture and practice within the Directorate and determine if any management action is required regarding the failure to report to Committee, instructing work without sufficient authorisation or the absence of documents or minutes connected to projects. It is further recommended that she ascertains whether any work is required to improve communication through the service hierarchy; whether there is a current satisfactory arrangement for staff to escalate concerns and ensure they are addressed; whether the Service is adequately staffed for the functions it delivers; whether the Service processes could benefit from greater involvement with staff of LDS, for instance with advice on when Committee reports are required, when a legal opinion should be sought, etc..</p> <p>The issue of data breaches raises wider questions on how the Council uses email, including whether staff/members should be prohibited from sending emails relating to official business to their private email addresses; and also whether it is necessary or desirable to have a framework or approval process which covers the disclosure of internal emails to a third party.</p>	<p>This has been taken forward through the Capital Programme Review, Transportation Review and Planning and Sustainable Development Service Review.</p> <p>The Capital process now in place has clear governance and approval gateways at key project stages. Critically, all projects must pass through business case approval at the Capital Board followed by Committee approval for funding.</p> <p>This has been included as a requirement within the Planning and Sustainable Development Service Review. Additional resources have also been provided through the Transportation Review to assist with identifying and linking procedures with the Capital Programme Review.</p> <p>The Council has an information Governance Framework and Board established and already has a number of policies in relation to information governance, including the use of you private emails for Council business, which is prohibited.</p> <p>The disclosure of internal emails to a third party is part of the day-to-day business of the Council. At this stage a framework or approval process is not considered necessary in respect of the disclosure of internal emails to a third party. However it should be noted that the existing codes on employees' conduct and councillors' conduct prohibit the disclosure of confidential information to third parties. Both officers and members are required to consider on a case by case basis whether the disclosure of internal mail to a third party is likely to breach the</p>

	<p>respective provisions on confidential information.</p> <p>This is being taken forward through the Council's Transformation Programme – discussions are underway to seek to prioritise this activity.</p>
--	---

Elected Members	
Recommendation	Progress
<p>The Member-Officer Relations Protocol is due for revision before Full Council in March 2018. It is recommended that the Monitoring Officer provides guidance in the protocol on a number of issues raised in this report, such as escalation procedures when a response is needed from a member; and principles and procedures on how officers conduct business with a private citizen who happens to be a Councillor, particularly with regards to how the public and private roles are delineated.</p>	<p>The updated version of the Member-Officer Relations Protocol is programmed for consideration at the meeting of Full Council on 5 March 2018. This aims to provide further guidance to officers and members to address the issues raised in the investigation report.</p>