

Recommendations made to SMT following the investigation and actions agreed

No.	Recommendation	Action agreed	Implementation date & responsibility
1.	That effective Project Governance arrangements should be established and followed for significant Council projects and that proper, accurate and regular reporting occurs to SMT to keep them up to date with progress against the plan <sup>1</sup> , expenditure against the budget and management of risks. Members should be briefed as appropriate (depending on the original approval process for the project and funding).	SMT have agreed the definition for significant Council projects <sup>2</sup> and the implementation of robust and systematic governance arrangements for significant projects. Directors to monitor for those AD's that report to them.	Agreed 12/03/12 SMT - to be implemented from 01/04/12 - SMT
2.	To ensure that the project governance arrangements established above operate effectively training/awareness should be provided to ensure everyone involved understands their roles and responsibilities so that they can be effective.	Communication and awareness by Corporate Communications following agreement and reminder at one of the monthly management meetings.	31/05/12 – Corporate Communications
3.	Project specifications should be thoroughly reviewed before release. Any significant changes to project specifications and/or contractual arrangements for significant Council projects during the term of the contract (including cost and public interest issues) should be escalated through the governance process and, where necessary, reported to SMT. They should be approved by those who made the original decision and Legal Services should advise on this process.	Project Managers to ensure all appropriate professionals and specialists review specifications before issued and confirm to SMT lead that fit for purpose. Governance processes will ensure any changes are appropriately reported and approved.	Immediately – SMT to brief their project managers  From 01/04/12 – SMT lead and Project Managers and
4.	That following contract award Service areas, with the assistance of procurement and Legal Services, should agree and finalise with the contractor/supplier proper contracts which are duly signed and retained. Any requirements of Cabinet/Council resolutions must be implemented as part of this process (sealing of contracts etc).	Project Manager with appropriate professional support and evidence confirmed to SMT lead.	Immediately – SMT lead, Project Manager and Legal Services

<sup>1</sup> This should include progress against key tasks, targets and outcomes

<sup>2</sup> The definition of significant projects – projects of a Council wide nature, significant financial and community impact (financial over £0.5m as this equates to the threshold for key decision) and/or significant impact on the reputation of the Council (directly or through changes to service delivery)

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5.	All appropriate project expenditure should be properly accounted for against the project budget. Variances should be reported appropriately. Individual payments outside of scheduled payments that are over an amount to be agreed by SMT should be listed and reported as part of the monitoring information provided to SMT (see recommendation 1).	Finance officers to ensure all expenditure recorded properly against the project. SMT agreed that project variances of over £50,000 should be reported in project monitoring process to SMT.	Immediately - Finance  From 01/04/12 – Project Manager (SMT lead)
6.	There should be a review of authorisation levels to ensure that, as a further protection <sup>3</sup> , payments of a significant value cannot be authorised in the first place by the Project Manager/Senior Manager alone.	SMT agreed on 12/03/12 to revised authorisation levels with additional counter authorisation for payments over £50,000.	Implementation due 31/05/12 as additional work required by – Agresso Support team
7.	Where competing key priorities are identified for ICT or the service area then there should be transparency through SMT. They should be informed of the priorities, issues, risks and associated costs and agree the order of work to meet the Council's priorities (including the application of any virement procedures).	SMT agreed on 12/03/12 that the summary ICT work plan would be reviewed by SMT on a quarterly basis to ensure delivering in line with Council priorities and agreed any adjustments. However in between will report by exception/through projects if decisions in projects/service delivery impact on the priorities within the plan.	Work plan to be presented to SMT in Spring 2012 and monitoring to commence after that - AA/KK
8.	Good project management practice includes that a post implementation review (PIR) should be undertaken not more than 9 months after implementation to identify lessons learnt and confirm that targets and outcomes have been delivered. For significant corporate projects these PIR's should be reported to SMT.	Agreed that proportionate PIR's would be undertaken within 9-12 months of implementation. Any council wide lessons that should be learned should be shared through SMT. PIR's in respect to significant projects should be undertaken by Internal Audit and will be reported to SMT.	Wef 01/04/12  Project Manager/SMT lead Internal Audit in association with Project Manager/SMT lead

<sup>3</sup> This will also provide an enhanced audit trail.