

WOKING FOOTBALL CLUB AND ASSOCIATED DEVELOPMENTS

Executive Summary

The Overview and Scrutiny Committee (O&S) at its meeting on 15 June 2020 made a number of recommendations to Council in respect of the Woking Football Club & Associated Developments Task Group Report. The recommendations of the Committee are set out at Appendix 1.

This report was compiled in collaboration with the Chairman and Vice Chairman of Overview and Scrutiny Committee, Councillors Hughes and Whitehand, and the Chairman of Standards and Audit Committee, Claire Storey. It seeks to consider the recommendations in turn and suggest to Council how they may be effectively taken forward.

The issues raised by the recommendations have been grouped and a composite recommendation produced in this report. Each topic is summarised and the relevant original recommendations highlighted to ensure that all of the recommendations of the Overview and Scrutiny Committee have been incorporated in this report.

Recommendations

The Council is requested to:

RESOLVE That

- A the Woking Borough Council Project Management Framework be adopted for all projects and programmes including those that are not initiated by the Council;**
- B a Confidentiality Protocol is submitted to the Standards and Audit Committee at its meeting on 17 September 2020 for recommendation to Council;**
- C an Officer Conflict of Interests Protocol is submitted to the Standards and Audit Committee at its meeting on 17 September 2020 for recommendation to Council;**
- D all Councillors should be more careful in accepting information without reasonable evidence, and unsubstantiated statements should be more rigorously tested prior to agreement of Council (Officer) recommendations;**
- E elements of the future sustainability and self-sufficiency of WFC should be more fully tested for clarity and accuracy. As the prime rationale for the development is that of ensuring the on-going sustainability of the club. It would be prudent to ensure that this is achievable in all the various and on-going iterations of the proposals. Any changes of proposals should be brought back to the Council for consideration;**
- F a rigorous risk assessment is required of the whole scope of the Woking Football Club and Related Developments to protect the Council should Planning Consent be granted. The project risks and those associated with the loan facility should be regularly reviewed;**

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- G** the role of Woking Borough Council as landowner is clearly identified when considering any Planning Policy or Planning Application;
- H** acquisition of land or property by the Council should normally be supported by at least one valuation, or where its price is in excess of £10m, two valuations, and where valuations are not considered appropriate a full explanation must be submitted to the Executive or Council for approval; and
- I** the LGA be requested to nominate a professional person or experienced organisation, independent of the Council, to investigate and review the processes and actions of the Council in respect of the Woking Football Club and Associated Developments and to make appropriate recommendations to the Council arising from its investigations and review.

The Council has the authority to determine the recommendation(s) set out above.

Background Papers:	Woking Football Club and Associated Developments Task Group Report (Confidential Report)
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1.0 Introduction

- 1.1 This report seeks to consider the recommendations of the Overview and Scrutiny Committee in turn and suggest to Council how the recommendations may be effectively taken forward.

2.0 Programme and Project Management – RECOMMENDATION A

- 2.1 A number of the recommendations touch upon the effective management of programmes and projects. The Council operates a Project Management framework for the majority of its activities. There is an element of commonality between some of the issues raised by the O&S recommendations and the previous recommendations from the Independent Sheerwater Scrutiny Panel (ISSP). A comparison of relevant recommendations has been prepared by the Chairman of the ISSP and is attached at Appendix 2 for reference. The key common feature was that neither project started as a WBC project but by proposals initially from others, in the case of Sheerwater, New Vision Homes arising from an EU Procurement related to Housing Management and in the current situation by GolDev proposing development of the Woking Football Ground and its surrounding area.
- 2.2 A summarised version of the Project Management framework is attached at Appendix 3 to this report. This is used for Council initiated Projects and is the process through which projects are managed and the quarterly monitoring reports to the Executive are produced.
- 2.3 This report seeks to take a number of the O&S Recommendations and group them to embed the activity in the Council's day-to-day administration. The first composite recommendation is that the Council's Project Management Framework be adopted for all projects including those that are not initiated or owned by the Council.
- 2.4 It is proposed that the Woking Borough Council Project Management Framework be adopted for all projects and programmes including those that are not initiated by the Council.
- 2.5 This would mean that a Project Initiation Document (PID) would set out what was intended at the outset of any engagement with third parties. Whilst it is recognised that projects may evolve and change over time this approach would ensure an effective audit trail was maintained from the outset. As greater clarity arises about any proposal the Project Workbook would be compiled and set out clearly who was involved and in what role. As both documents and all supporting documents are stored in the project file set up at the outset when the PID is produced all notes and communication can be stored within the project folder to enhance the audit trail.
- 2.6 By adopting the proposal to use the Project Management Framework for all projects and programmes, ensuring that both projects initiated by the Council and those arising from relationships with others are included, the Council would incorporate the following recommendations;

Recommendation (i)

WBC in its future business dealings maintains minutes and notes of all meetings in which development contracts and finance are discussed and decisions made.

Notes and minutes of all meetings (including telephone conversations and virtual meetings) will be taken and these, together with all correspondence will be added to the project document folder.

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Recommendation (iv)

Definition of what constitutes 'material' changes to be clarified. This would support Officers when using their delegated authority, and not open the Council to any challenge of changes, which may be of a material standing.

When completing the Project Workbook and reporting to the Executive or Council it would be clearly stated, what material changes would require Member level approval.

Recommendation (vi)

For all significant and complex developments or investments a business case should be submitted to Council at the outset, to provide the context, the justification of the case for change and promote discussion on available options.

Whilst a Business Case may not be able to be produced at the outset a PID setting out the approach being pursued, including options to be explored, will be included in the report submitted to either the Executive or the Council.

A Project Workbook will be developed and will include the Business Case, together with the options that were explored; the Business Case and PID will be submitted to the Executive or Council as appropriate.

Recommendation (ix)

In all projects the process of due diligence needs to be as full and broad as possible and not limited to the narrow scope of a Special Purpose Vehicle (SPV). WBC must adopt a similar comprehensive due diligence perspective as that of a lending bank.

The Project Management Framework allows appropriate Due Diligence to be undertaken depending upon the nature and extent of a project. This links directly to Recommendation (xi), Risk assessments. The extent of Due Diligence will normally be to the standard required by a lending bank. Where it is not considered appropriate to undertake such extensive due diligence, for example an arrangement with a wholly owned Council subsidiary such as Brookwood Park Limited (Brookwood Cemetery), the report to the Executive or Council will set out clearly the reasons for not doing so.

Recommendation (xi)

Risk assessments should be undertaken for all future developments and investments.

By adopting the Project Management Framework for all projects and programmes, whether or not initiated by the Council, the necessary Risk Assessments will be undertaken as Risk Assessments are a standard feature of the Council's normal Project Management arrangements.

Recommendation (v) - Clarity over some Officer roles

The role of Officers will be clearly identified in the PID, the Project Workbook and reports to the Executive or Council. The recommendation also stands alone, later in the report, see 4.0 below, as the Officer Interests Protocol proposed by that recommendation, will guide the allocation of Officer roles.

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Recommendation (ii) & (iii) Confidentiality

It is proposed to establish a Confidentiality Protocol, see 3.0 below, which, in respect of Contracts for Projects or Programmes will require the proposed confidentiality clauses to be set out in the Project Workbook and the Report to Executive or Council. The Report will also set out the period for which a matter is intended to remain confidential and in the event that an extension of the period of confidentiality is required consent will be required from the Executive with full rationale and timeframes.

3.0 Confidentiality – RECOMMENDATION B

- 3.1 The Task Group made two recommendations concerning the Council's Confidentiality arrangements. These are set out below.

Recommendation (ii)

Decisions regarding disclosure of Part II items should be more transparent and under regular review.

Recommendation (iii)

Officers not agree confidentiality clauses which prohibit the Council from public disclosure following the signing of contracts.

- 3.2 It is proposed to address the Task Group recommendations through a composite form, Recommendation B. This suggests a Protocol by which Confidentiality Agreements will be reached and how they will be disclosed to Members. It will also set out the process through which they will be reviewed to ensure that information is made public as soon as it can be.
- 3.3 The Council routinely enters into Confidentiality Agreements when it is exploring a proposal with a third party; these are known as Non-Disclosure Agreements. These agreements allow third parties to make proposals to the Council and for Officers to establish whether these proposals warrant taking forward. If the proposal appears to warrant taking forward, there will be informal discussion with the relevant Portfolio Holder and a report to the Executive. These arrangements are an important feature of business management. If the proposal does not proceed, the information will always remain confidential.
- 3.4 In some circumstances, the Council, in accordance with employment law, enters into Confidentiality Agreements with employees, known as Settlement Agreements. These will also remain confidential.
- 3.5 The Council also enters into Confidentiality clauses as part of its Business Contracts. This is to ensure that commercial sensitive information remains in private until it ceases to be sensitive, such clauses also provide for publication of the information to be agreed between the parties. It is clear that in the case of the Football Club development proposals that Members and the Public considered the period over which information remained confidential to be excessive.
- 3.6 In future the Council's Project Management Framework will provide that the Project Workbook will identify which Contracts require confidentiality when reporting to Executive or Council. The Executive or Council Report will also set out the period for which a matter is intended to remain confidential. In the event that an extension of the period of confidentiality is required consent will be needed from the Executive.

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- 3.7 Some Confidentiality clauses may need to remain in force for a significant time but this will be clearly set out in the relevant report to the Executive or Council.
- 3.8 Accordingly the Confidentiality Protocol will provide that-
- A Register will be maintained within the Council's Legal System of all Non-Disclosure Agreements and Settlement Agreements, and be available to Members for inspection;
 - A standard set of Contract Confidentiality clauses will be established with standard times during which they will remain in effect; and
 - A reporting framework to the Executive or Council in respect of the projects or programmes to which the clauses will apply, together with an annual report on Contracts with causes still in effect will be established and maintained.
- 3.9 It is proposed that a Confidentiality Protocol is submitted to the Standards and Audit Committee at its meeting on 17 September 2020 for recommendation to Council for approval.

4.0 Clarity of Officer Roles – RECOMMENDATION C

- 4.1 The Task Group raised concerns over the role of Officers. Professional and Statutory Officers are clear about the need to avoid conflict in their actions upon behalf of the Council and operate at the highest standard. The Task Group recommended that

Recommendation (v)

That Officers who hold various positions by virtue of their employment in the Council and its companies, are released from some actions in which they act in these multiple roles, especially where there are also personal declarations of interest and associated directorships. It is recommended this be referred to the Standards and Audit committee. Their consideration for a protocol by which Officers, by virtue of their appointment, can be guided on what is appropriate would be helpful. This would ensure that Officers are not put in positions where there can be a challenge of a conflict of interest.

- 4.2 The issue for the Council, in light of the Task Group report, is how to minimise or avoid conflict and the perception of conflict.
- 4.3 It is important to define the roles performed by Council Officers in the exercise of their duties as Directors of Council subsidiaries; in these cases the role is no different than that if the activity was being directly managed by a department of the Council. It will be equally important to define the circumstances where other declared interests of Officers might give rise to a perception of conflict, even if a statutory conflict does not arise, and how such circumstances can be managed to minimise the risk of perceived conflict.
- 4.4 An Officer Conflict of Interest Protocol will set out guidance to avoid conflict or the perception of conflict.
- 4.5 It is proposed that an Officer Conflict of Interest Protocol is submitted to the Standards and Audit Committee at its meeting on 17 September 2020 for approval.

5.0 Business Cases – RECOMMENDATION D

- 5.1 The Task Group made recommendations raising concern over the extent to which Members consider Officer recommendations.

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Recommendation (vii)

Members should be more careful in accepting information without reasonable evidence, and unsubstantiated statements should be more rigorously tested prior to agreement of Council (Officer) recommendations.

- 5.2 From an Officer viewpoint, it is difficult to identify the advice given to the Council that the Task Group considers to have been unreliable or inadequately tested by Members. Officers seek to provide Members with all information necessary to support a decision balanced by avoiding overloading Members with excess information. Accordingly, the Task Group recommendation is included in the composite recommendation, as Recommendation D, in substantially its original form subject to one change requested, through representations from Members of the O&S Committee, to change "Members" to "All Councillors".

6.0 Development Specific Issues RECOMMENDATION E & F

- 6.1 The Task Group raised two project specific issues which will need to be addressed should the Planning Applications for Kingfield and/or Egley Road be approved.

Recommendation (viii)

Elements of the future sustainability and self-sufficiency of WFC should be more fully tested for clarity and accuracy. As the prime rationale for the development is that of ensuring the on-going sustainability of the club. It would be prudent to ensure that this is achievable in all the various and on-going iterations of the proposals. Any changes of proposals should be brought back to the Council for consideration.

- 6.2 The contracts between the Council, GolDev Woking and Woking Football Club are predicated on securing the future of the Football Club. The recommendation of the Task Group is consistent with the contracts and the work to be undertaken by Officers if Planning Consent is obtained. Accordingly, the Task Group recommendation is included in the composite recommendation, as Recommendation E, in its original form.

Recommendation (x)

A rigorous risk assessment is required on the whole scope of this development to protect the Council. The project risks and those associated with the loan facility should be regularly reviewed.

- 6.3 The recommendation of the Task Group is consistent with the contracts and the work to be undertaken by Officers if Planning Consent is obtained. Accordingly, the Task Group recommendation is included in the composite recommendation, as Recommendation F, substantially in its original form but clarifying that it is subject to Planning Consent being obtained.

7.0 The Council as Landowner and Planning Authority RECOMMENDATION G & H

- 7.1 The Task Group made two recommendations related to the roles of the Council as a land owner and as the Local Planning Authority.

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Recommendation (xii)

In developments where WBC has dual roles and interests these need to be transparent, and any conflicts clearly identified.

Recommendation (xiii)

Consideration of Core Strategies and the Site Allocations DPD should be clearly distinct from any undue influence by an impending development.

- 7.2 The Task Group argued that the roles of Landowner and Local Planning Authority should be transparent and conflicts clearly identified. Officers when dealing with these matters and in all reports to the Executive, the Planning Committee and the Council do make clear, where relevant the respective roles. When the Council considers its Planning framework, particularly the Core Strategy and the Site Allocations, but also any Supplementary Planning Guidance, it is obliged to consider representations from landowners and developers alongside representations from residents and businesses.
- 7.3 Accordingly the two recommendations from the Task Group have been merged to secure the spirit of the recommendation that the Council's interest in any matter is clear and transparent.
- 7.4 It is proposed that the role of Woking Borough Council as landowner is clearly identified when considering any Planning Policy or Planning Application.
- 7.5 The Task Group also made a recommendation in respect of the Council's acquisition of land and buildings.

Recommendation (xiv)

Council purchase price of property and land should always be supported by at least one and preferably two valuations and survey reports.

- 7.6 The Task Group proposed that one, or preferably, two valuations should support all acquisitions. The Council's normal practice is to seek one valuation to validate the seller's asking price. Occasionally an acquisition is on a "Willing Seller" basis where the price is set at the only price the seller will sell. When such circumstances arise, the case will be reported to the Executive or Council, together with a valuation that may not align with the proposed purchase price, and the Executive or Council will determine whether its policy objectives warrant proceeding with the acquisition.
- 7.7 The request for two valuations will increase the acquisition costs for the Council. It is therefore proposed to modify the requirement for two valuations by proposing a threshold that it applies only to assets over £10m.
- 7.8 The recommendation of the Task Group has been revised to take account of the valuation threshold referred to above and to recognise that there may be circumstances where the Council may wish to proceed with an acquisition at a price that is not supported by a valuation, or two. In such cases, it will be made clear as to the reasons for a recommendation to acquire if the price is not supported by the valuation(s) and where it is not considered to be in the Council's interest to seek a second valuation.
- 7.9 Accordingly the recommendation is amended to "an acquisition of land or property by the Council should normally be supported by at least one valuation or where its price is in excess of £10m, two valuations and where valuations are not appropriate a full explanation must be submitted to the Executive or Council for approval".

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8.0 Further Independent Scrutiny Review RECOMMENDATION I

- 8.1 The Task Group contended that its findings were of a scale and gravity that it warranted further independent scrutiny.

Recommendation (xvi)

Given the scale and gravity of findings within this report a further independent and fully resourced investigation into the processes behind this development should be commissioned.

- 8.2 It has been clarified that the further investigation requested by the Task Group is not seeking disciplinary action, which would otherwise require a different course of action. Therefore, it is proposed to request the Local Government Association to nominate a person or organisation, independent of the Council, who could be commissioned to undertake a further investigation. When complete a further report, with recommendations if appropriate, will be reported to Council.
- 8.3 It is therefore proposed to request the LGA to nominate a professional person or experienced organisation, independent of the Council, to investigate and review the processes and actions of the Council in respect of the Woking Football Club and Associated Developments and to make appropriate recommendations to the Council arising from its investigations and review.

9.0 Implications

Financial

- 9.1 It is not possible to assess at this time the full impact of the additional project administration and therefore it can be managed within existing resources even if there is an adverse impact on the delivery of some projects.
- 9.2 The need for additional valuations will increase the cost of the acquisition of assets by the Council; these costs will be set out and considered upon each acquisition. The adoption of the threshold of £10m before necessitating two valuations will limit the adverse impact of the proposal and therefore routine work can be managed within existing resources.
- 9.3 The requirement to undertake an independent review of the work of the Task Group, including further investigations if required, will give rise to additional cost. For budgetary purposes it is assumed that such a review/investigation could be undertaken for some £10,000 - £20,000. If the recommendations are approved the additional cost will be met from contingencies and reported in the Green Book.

Human Resource/Training and Development

- 9.4 There will be additional staff training required because of modifications to the project management Framework; these can be undertaken within existing resources.

Community Safety

- 9.5 There are no community safety issues raised by this report.

Risk Management

- 9.6 There are no new risk management issues raised by this report.

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Sustainability

9.7 There are no sustainability issues raised by this report.

Equalities

9.8 There are no equality issues raised by this report.

Safeguarding

9.9 There are no safeguarding issues raised by this report.

10.0 Conclusions

10.1 This report seeks to draw together the recommendations of the Overview and Scrutiny Committee to enable the Council to effectively manage both its deliberation of the recommendations and their implementation.

REPORT ENDS

OVERVIEW AND SCRUTINY COMMITTEE – 15 JUNE 2020

A. WOKING FOOTBALL CLUB AND ASSOCIATED DEVELOPMENTS TASK GROUP REPORT OSC20-011

The Recommendations below are an extract from the Minutes of the Overview and Scrutiny Committee at its meeting on 15 June 2020.

RECOMMENDED to Council

- That (i) **WBC in its future business dealings maintains minutes and notes of all meetings in which development contracts and finance are discussed and decisions made.**
- (ii) **Decisions regarding disclosure of Part II items should be more transparent and under regular review.**
- (iii) **Officers not agree confidentiality clauses which prohibit the Council from public disclosure following the signing of contracts.**
- (iv) **Definition of what constitutes 'material' changes to be clarified. This would support Officers when using their delegated authority, and not open the Council to any challenge of changes which may be of a material standing.**

Clarity over some Officer roles

- (v) **That Officers who hold various positions by virtue of their employment in the Council and its companies, are released from some actions in which they act in these multiple roles, especially where there are also personal declarations of interest and associated directorships. It is recommended this be referred to the Standards and Audit committee. Their consideration for a protocol by which Officers, by virtue of their appointment, can be guided on what is appropriate would be helpful. This would ensure that Officers are not put in positions where there can be a challenge of a conflict of interest.**

Business Cases

- (vi) **For all significant and complex developments or investments a business case should be submitted to Council at the outset, to provide the context, the justification of the case for change and promote discussion on available options.**
- (vii) **Members should be more careful in accepting information without reasonable evidence, and unsubstantiated statements should be more rigorously tested prior to agreement of Council (Officer) recommendations.**

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- (viii) Elements of the future sustainability and self-sufficiency of WFC should be more fully tested for clarity and accuracy. As the prime rationale for the development is that of ensuring the on-going sustainability of the club. It would be prudent to ensure that this is achievable in all the various and on-going iterations of the proposals. Any changes of proposals should be brought back to the Council for consideration.

Due diligence

- (ix) In all projects the process of due diligence needs to be as full and broad as possible and not limited to the narrow scope of a Special Purpose Vehicle (SPV). WFC must adopt a similar comprehensive due diligence perspective as that of a lending bank.
- (x) A rigorous risk assessment is required on the whole scope of this development to protect the Council. The project risks and those associated with the loan facility should be regularly reviewed.
- (xi) Risk assessments should be undertaken for all future developments and investments.

Council as landowner and also Planning Authority

- (xii) In developments where WFC has dual roles and interests these need to be transparent, and any conflicts clearly identified.
- (xiii) Consideration of Core Strategies and the Site Allocations DPD should be clearly distinct from any undue influence by an impending development.
- (xiv) Council purchase price of property and land should always be supported by at least one and preferably two valuations and survey reports.

Further independent scrutiny review

- (xv) Given the scale and gravity of findings within this report a further independent and fully resourced investigation into the processes behind this development should be commissioned.

Comparison between ISSP & WFC&RD

Set out below are areas where there is apparent overlap between recommendations made by the Independent Sheerwater Scrutiny Panel and the WFC and Associated Development Task Group's recommendations presented to the Overview and Scrutiny Committee on 15 June 2020. I have also included areas reported on by Internal Audit in the past 2 financial years where recommendations have been made. Internal Audit Summary reports have been used for this purpose and I have not reviewed the full reports for this purpose. The confidentiality that attaches to Internal Audit Reports should be noted.

I have read the Task Group papers presented to O&S (both part I and part II) and the Chief Executive's response but have not reviewed any other papers in relation to the WFC project and its associated developments for the purposes of this review. There are significant differences between the WFC project and the Sheerwater project but that is not to say that matters of governance, risk and project management would not be common to both. I have responded to the Task Group's recommendations.

	O&S Recommendation	Source of similar theme	Comment
i	Maintaining notes and minutes of meetings	ISSP rec. 29 (general applicability)	ISSP noted that notes of meetings had not been taken and, in particular, minutes of Sheerwater Oversight Panel meetings were not kept. Comment was made at the time that as this panel was intended as a sounding board and run by NVH the meetings were not serviced by member services who would ordinarily provide administrative support. The format of this panel has subsequently changed and meetings minuted. Member services cannot possibly resource every meeting involving Members and/or Officers but this should not mean that notes are not taken and kept where meetings discuss matters where decisions are taken or information is being gathered and discussed and such information will then be used to form decisions. This is particularly relevant to major projects to allow a clear audit trail but should also be general practice, embedded throughout the organisation. Formal minutes/notes should be stored appropriately and available as required by Members and Officers (subject to confidentiality or other appropriate constraint).
iv	Definition of "material change" to support delegated authorities	ISSP rec 24 (gen), 30 (gen)	Whilst not specifically related to a definition of "material change", the ISSP noted (24) that care needed to be taken to ensure that delegations and authorities were not exceeded and that Members receive accurate and complete information with derogations from standard practice noted. This recommendation was accepted and closed on the basis that provision was made in the Constitution for the Monitoring Officer to report to the approving body if he/she thinks that the approving body might not have been clear of the material intent. I'm not certain what change was made. Recommendation 30 related to maintaining corporate knowledge and having clear methods to identify decisions. This recommendation was agreed and Sharepoint/IKEN etc to be used.

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	O&S Recommendation	Source of similar theme	Comment
Dual Roles of Council	ISSP theme	The complexity of the roles of the Council, its Members and Officers, means that communication needs to be clear to permit full understanding and promote transparency. Within the Sheerwater review it was seen that confusion arose easily where roles were not clear. See by way of example, section 20 of the report. Structure charts (as recommended by IA in relation to Victoria Square) may assist.	
Timing of projects	ISSP theme	It was apparent from the ISSP review that people will see connections and "motives" at will. Clear project timelines may assist in communication as will clarity over roles.	

Project Management Framework

WBC Project Management Process

The undertaking of projects is an integral part of Woking Borough Council (WBC) business delivery, and a significant amount of Council resources are allocated to their successful completion. Project management processes have been introduced to bring consistency to how projects are managed, and to aid the project manager in delivering projects on time, to budget and to the desired standard.

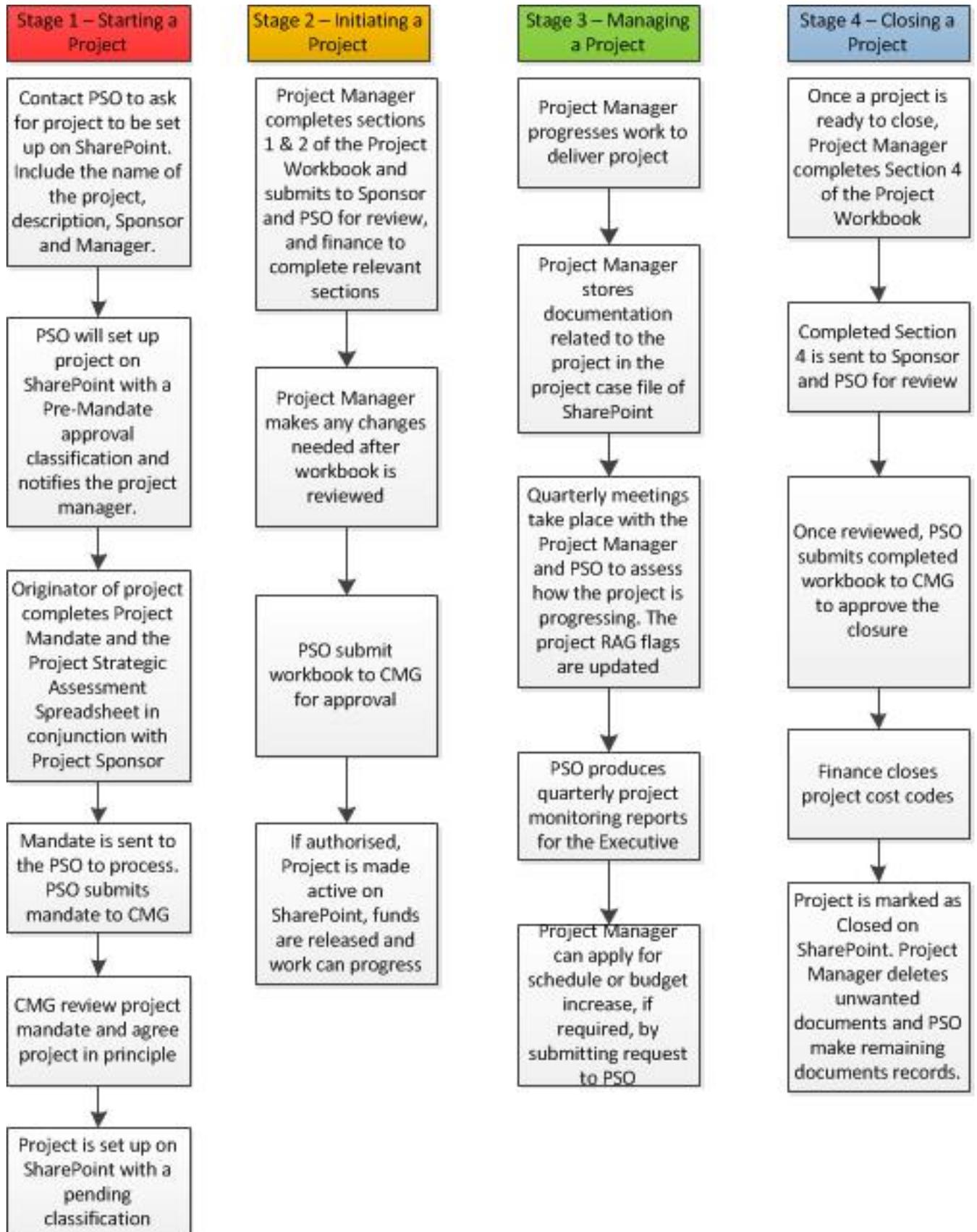
The process has been structured to be flexible and user friendly so it can meet the specific needs of the Council. It has been designed to make the lives of people who work on projects a little easier; its primary objective is to complement the WBC can do culture, not compromise it.

Every WBC project, regardless of size or type, should follow the route outlined in this document. The WBC project management method is loosely based on PRINCE2, which is regarded as the best practice approach when implementing projects.

Project Workflow

The process outlined in the next page provides a complete overview to how a project should be initiated, planned and authorised within the WBC environment. It details a step-by-step approach describing the individual stages of a project and the various steps which must be completed within each stage.

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Stage 1. Starting a Project

This process is used as a business requirement to trigger a Council project. Any Council Employee can start a project as long as it is part of their service plan and has the backing of management. A [Project Mandate](#) is required for the start-up of all projects with the view of presenting an outline idea to CMG. The purpose of the mandate is to get an initial steer from CMG as to whether the project has merit to be explored further or whether it should be abandoned.

At this stage it is not necessary to complete a full business case and justification, as this will be undertaken at Stage 2 (Project Workbook).

Stage 2. Initiating a Project

The purpose of the Initiating a Project process is to establish solid foundations for the project, enabling the Council to understand the work that needs to be done to deliver the project's products before committing to a significant spend.

At this stage, the Project Manager completes sections 1 and 2 of the [Project Workbook](#), consulting colleagues to ensure that resource requirements are realistic and aligned.

The Project Workbook will contain all of the primary information of the project, from the justification of the project to how and when it will be delivered, through to what actions have to be completed following closure. During the Initiating a Project stage, only sections 1 and 2 of the workbook should be completed.

Stage 3. Managing a Project

This process focuses on the Project Manager and their team to deliver the products identified in the Project Workbook within time, cost and quality.

Stage 4. Closing a Project

One of the defining features of a project is that it is finite - it has a start date and an end. This stage covers the work to close a project either at its end or at a premature close. The aim is to prepare the closure document in Section 4 of the Project Workbook and revisit the business case to ensure that all the objectives set out have been met.

It also gives the opportunity to state when the project's benefits can be realised, and note any lessons learned on the project that can be passed onto future projects.

Project Support Office

The Project Support Office (PSO) facilitates project management within the Council. The PSO is responsible for ensuring that all projects within the Council are initiated, executed and closed in a consistent and structured manner. This includes guiding staff on how to develop a robust business case for each project, as well as defining and managing the route through which all projects are authorised.

Additional tasks include advising in the development of project risks and issues, assisting with budget forecasts, and advising on benefits realisation. The PSO is also responsible for running quarterly project performance reports to ensure that all projects are being managed as effectively as possible. You can email the PSO at ProjectSupport.Office@woking.gov.uk

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Project Mandate

The Project Mandate is the first document to be produced in the life of a project. The Mandate is designed to (a) provide a very brief outline of what the project is and what it is looking to achieve and (b) aid in prioritising the project. Every new project mandate will be reviewed and assessed by CMG on a weekly basis. A mandate should take no longer than 1 hour to complete.

Prepared by:		Project Name:	
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1. What is the project?

Provide a brief description of the project Including background information if appropriate.

2. What are the objectives of the project?

What are the short, medium and long-term objectives of the project?

3. Who will be involved in the project?
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This should include the anticipated **Project Manager** and **Project Sponsor** as a minimum.

Person:	Role within project:	SharePoint Access:

4. What is the proposed timetable for this project?
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What are the proposed start and end dates of the project?

5. Estimate of project cost

Do you have an idea of how much this project will cost to deliver? If so please provide an indication here. The figures used at this stage will not be taken as 100% accurate.

6. Funding?

Please indicate what funding has been identified: Section 106 monies, revenue budgets, a successful funding bid or grant etc. If funding has not yet been identified clearly state this fact.

7. Strategic Assessment Score?

Use the Strategic Assessment Spreadsheet to produce a draft priority score for the proposed project.

8. Any other comments?

Are there any other issues/comments you feel should be recorded at this stage?

9. Has the mandate been agreed with the Sponsor?

Confirm here that the mandate has been viewed and agreed with the Sponsor prior to submission.

WBC Project Workbook

Project Reference	[The unique project reference number can be found on the SharePoint project site]
Project Name	[What is the name of this project?]
Project Sponsor	[Who is the Project Sponsor]
Project Manager	[Who is the Project Manager?]
Strategic Score	[What is the strategic assessment score?]

Introduction

This workbook has been designed to provide a standard, easy to use route through which all projects must travel. By working through the sections, answering the questions and completing the templates, the detail of the project will be identified in a step-by-step approach, thereby providing a blueprint for the project as a whole and ensuring that appropriate aspects are considered from start to finish.

Rather than having to complete and maintain several smaller documents, the workbook will mean that all project information will be located in one place, avoiding duplication and making it easier to update and apply version control. The workbook will contain all of the primary information of the project from the justification of the project to how and when it will be delivered, through to what actions have to be completed following closure.

The workbook has been split into four sections to reflect the stages outlined in the project methodology. They should be completed in order. They are:

SECTION 1: Start-Up
SECTION 2: Initiation
SECTION 3: Execution
SECTION 4: Closure

- Please note that you **do not** have to complete every heading within this workbook. Some headings in certain sections may not be applicable to the project you are working on. In this instance it is ok to skip the heading as long as it is clearly marked with N/A to indicate that due consideration has been given.
- If the project has resource implications for other staff and/or areas within the Council, it is strongly recommended that prior to the completion of every section, all of the relevant parties are consulted to ensure that they are aware of, and in agreement with, any reference made to them. The finance section should also be consulted where appropriate.

SECTION 1: PROJECT START-UP

The purpose of this section is to provide initial information about the proposed project to allow an informed decision to be made as to whether it should progress, be refined, or be abandoned. This section is mandatory for all projects although the level of detail will vary.

1. Background information & current situation

[Provide some background information together with the present situation if appropriate. Identify any supporting information and any previous reports/documentation that might impact on the project]

2. What are the factors driving the project?

[The project may be driven by a number of possible factors: Members, Government policy, legal requirement, Council policy, result of a review, business need etc. Try to be as specific as possible]

3. Project Objectives

[What are the objectives of the project? Objectives are concrete statements describing what the project is trying to achieve. A well worded objective will be SMART: Specific, Measurable, Achievable, Relevant and Time-bound]

4. Project Benefits

[Outline the anticipated benefits this project will deliver to the organisation and/or user. Examples are:

- more effectively integrate systems;
- reduction of paper, manual effort, duplication;
- streamline a process to make it quicker / easier / greater value for money etc]

5. Timetable

[What are the anticipated timescales for the start and end date of the project?]

6. What are the implications of NOT implementing the project?

[Please indicate what is likely to happen if the project is NOT implemented in either (a) the timeframe specified above or (b) not run at all]

7. Does this project contribute to the Councils key priorities?

[Please indicate if, and to what extent, the project contributes to the following key priorities: (a) Economic Development (b) Decent and Affordable Housing (c) Health and Well-being (d) The Environment]

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8. Does this project relate to any of the Councils strategies and/or Improvement Plans?

[Please identify exactly which Council Strategy / Improvement Plan action this project relates to]

9. Community Safety, Equalities and Sustainability issues

[Specify if this project will impact upon community safety, sustainability and/or equalities issues. If so please indicate if the project and its objectives are consistent with the Council's policies on each. A full equalities and sustainability impact assessment will be undertaken at section 2 of this workbook]

10. Data Protection

[Specify any personal data that you will be gathering or using as part of this project. State the legal basis that you have for using this data, e.g. a statutory duty, a legal power, a contractual obligation, a legitimate interest or the consent of the people identified. Explain how long the data will be kept, how it will be kept secure and how you will inform people of how their personal data is being used.]

11. Project Approach

[Give a high-level account of the approach that will be taken for this project. Explain the nature of the proposed solution: i.e. bespoke, contracted out, modify existing product, design from scratch, use internal staff, hire contract staff, buy ready made solution etc]

12. Scope of the project

[The project scope states what will and will not be included as part of the project i.e. will include roll-out of IT system, will not include operational maintenance. By defining the project's overall boundaries, a common understanding of the project for all stakeholders will be achieved]

13. Constraints

[Mention any constraints that apply to the project. For example:

- Dependencies on other projects;
- Resource levels;
- Budgetary limits;
- Level of disruption to the business;
- Deadlines, for example launch dates or statutory requirements]

14. Interfaces

[Will any of the products of this project have to interface/integrate with existing Council systems or processes? i.e. IT systems, working practices, policies/procedures, methodologies etc]

15. Contract requirements

[Indicate if the creation of a contract will be formed as part of this project. If so, please describe the likely nature of any such contract (i.e. agreement between WBC and a third party).

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16. Training needs

[What are the training needs for this project in terms of (a) those working on the project and (b) those affected by the project? Any costs should be documented at Appendix 1 of the Workbook]

17. Assumptions

[Have any assumptions been made for the delivery of this project? These are realistic expectations about what will be in place or will happen that you want to highlight to check their validity]

18. Permissions and Approvals

[Please record any permissions or approvals that are needed to complete the project e.g. Planning, Building Control, Highways.]

19. Change Management

[Will this project result in any change management issues i.e. new business process, re-training, organisational restructuring, staff and equipment move, transfer of staff, outsourcing etc?]

20. Alternatives / Feasibility Study

- [What are the alternatives to undertaking the proposed project?
- Are there other potential ways to solve the problem and have they been fully explored?
- Will a feasibility study of the alternatives need to be undertaken to determine the best solution?]

21. Project Risk Summary

[Provide a brief summary of the key business risks to the project. All risks should be recorded and administered in SharePoint where they can be monitored and reported]

22. Supporting Evidence

[Please make reference here to any other documentation you wish to submit to support this section of the Project Workbook.]

23. Additional Comments

[Please record any additional comments to support any aspect of the proposed project]

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Financial Section

24. Funding

[Will the project be included in the Investment Programme or met through existing revenue budgets? Please indicate what funding has been identified: Section 106 monies, a successful funding bid or grant etc. If Section 106 please give a specific planning reference, if revenue budgets please indicated the specific Cost Centre Code against which the project will be funded.]

25. Project Cost

[Complete the template attached at Appendix 1 to record the cost of project implementation and the resources used. The template should be updated throughout the entire life of the project]

26. Ongoing Revenue Costs

[It is also important to identify any year on year costs arising once the project has been completed and is operational. Only include new costs that arise as a result of the project.]

If the following questions are not applicable to your project, please write N/A.

What is the estimated life expectancy of the works?

Is the life of these works the same as the main asset?

	Year 1	Year 2	Year 3	Year 4	Year 5
Additional Revenue Costs					
<i>Premises (water/heating/lighting)</i>					
<i>Ongoing Maintenance</i>					
<i>Supplies and Services</i>					
<i>Additional Employee Costs</i>					
<i>Financing Costs</i>					
Total Expenditure	0	0	0	0	0
Additional Income					
<i>Fees and Charges</i>					
<i>Grants</i>					
<i>Other</i>					
Total Income	0	0	0	0	0
Net Expenditure	0	0	0	0	0
Depreciation / Replacement	0	0	0	0	0

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27. Cashable and Non-Cashable Savings

[Any potential savings must be explained thoroughly to support the project. Cashable savings result in a reduction in expenditure, or the potential to release resources for reallocation elsewhere. Non-cashable savings are intangible aspects that are achieved through improved quality or additional outputs from the same level of resources. For additional help please contact Financial Management.]

	Year 1	Year 2	Year 3	Year 4	Year 5
Cashable (Tangible)					
<i>Staff Saving</i>					
<i>Equipment Saving</i>					
<i>Buildings Savings</i>					
<i>Other</i>					
Non-cashable (Intangible)					
<i>Reference 1</i>					
<i>Reference 2</i>					
<i>Reference 3</i>					
Total Savings	0	0	0	0	0

28. Investment Programme Project Costs

[This section should be filled out (in addition to Appendix 1) **only** if the project is listed on the investment programme. By identifying the costs, provision can be made in the Investment Programme.]

	Year 1	Year 2	Year 3	Year 4	Total
Project Costs					
<i>Development Costs</i>					0
<i>Contractors / consultants</i>					0
<i>Equipment Costs</i>					0
<i>Hardware / Software</i>					0
<i>Implementation costs</i>					0
Total Project Costs	0	0	0	0	0

29. Investment Programme Project Information

The section must be completed in conjunction with Financial Management.

Scoring Category Classification:

Fixed Asset Classification:

VAT Implications:

Project Code: [To be allocated and entered on authorisation of Section 2](#)

1. SECTION 2: PROJECT INITIATION

Section 2 of the Project Workbook is designed to (a) identify and plan the detail of the project so that the Project Sponsor and Budget Owner can give full and final commitment and (b) act as a base against which all project stakeholders can assess progress.

1. Project Organisation

[At this stage you should know who will be filling the role of the Project Sponsor and Manager. If the project requires a board and project team, you should also document exactly who will be involved and in what capacity. Please refer to the methodology for further information.

Project Sponsor: Name / Organisation
Project Manager: Name / Organisation
Project Board Member: Name / Organisation
Project Team Member: Name / Organisation]

2. Financial Control

[Outline the structure for the control of expenditure and budgets i.e. who is responsible, how often will they report expenditure details and to whom, will funding be released as a lump sum or in stages?]

3. Management of Project Outputs

[Identify who will manage and take responsibility for the project outputs once they are delivered and set out the reasoning behind this decision. Examples would be aspects such as:

- Who will be responsible for the servicing arrangements for any external/internal contracts?
- Who will be responsible the funding arrangements for ongoing maintenance of the project output
- Who will write and administer initial terms of reference for a user group or an ongoing Board?
- Who will be responsible for monitoring the benefit realisation plan?]

4. Post Project Review

[Will this project require a post project review i.e. 3 – 6 months after completion? If so give a brief indication of when it will be undertaken, who will do it, how it will be measured & how long it will take]

5. Project Stakeholders and Communications

At this stage it is important to identify everyone who has an interest in the project. This can include individuals, groups, the users, regulatory bodies etc. Describe the quality concerns that are most important to each of the stakeholders so a full picture of the project can be achieved. It is also important to define the key communications that must occur, and with whom, throughout the project. This should include communication plans with stakeholders as well as project management communications such as regular reports to the project sponsor and/or board.

Stakeholder	Interest in the project / Quality Concerns	Nature of Communication / Frequency

6. Equality Impact Assessment

The purpose of this assessment is to improve the work of the Council by making sure that it does not discriminate against any individual or group and that, where possible, it promotes equality. The Council has a legal duty to comply with equalities legislation and this template enables you to consider the impact (positive or negative) a strategy, policy, project or service may have upon the protected groups. For further information or guidance please contact Refeia Zaman on ex: 3479.

		Positive impact?			Negative impact?	No specific impact	What will the impact be? If the impact is negative how can it be mitigated?(action) This section needs to be completed as evidence of what the positive impact is or what actions are being taken to mitigate any negative impacts.
		Eliminate discrimination	Advance equality	Good relations			
Gender	Men						
	Women						
Gender Reassignment							
Race	White						
	Mixed/Multiple ethnic groups						
	Asian/Asian British						
	Black/African/Caribbean/Black British						
	Gypsies / travellers						
	Other ethnic group						
Disability	Physical						
	Sensory						

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	Learning Difficulties						
	Mental Health						
Sexual Orientation	Lesbian, gay men, bisexual						
Age	Older people (50+)						
	Younger people (16 - 25)						
Religion or Belief	Faith Groups						
Pregnancy & maternity							
Marriage & Civil Partnership							
Socio-economic Background							

7. Sustainability Appraisal

Sustainability is one of the Council's 'cross-cutting themes' and the Council has made a corporate commitment to address the social, economic and environmental effects of activities across all service areas. The purpose of this appraisal is to record any positive or negative impacts this project is likely to have on each of the Council's Sustainability Themes. For further information regarding the appraisal refer to section 7.7 of the project methodology.

Theme (Potential impacts of the project)	2. Positive Impact	3. Negative Impact	None identified	What is the nature of the impact?
Use of energy, water, minerals and materials				
Waste generation / sustainable waste management				
Pollution to air, land and water				
Factors that contribute to Climate Change				
Protection of and access to the natural environment				
Travel choices that do not rely on the car				
A strong, diverse and sustainable local economy				
Meet local needs locally				
Opportunities for education and information				
Provision of appropriate and sustainable housing				
Personal safety and reduced fear of crime				
Equality in health and good health				
Access to cultural and leisure facilities				
Social inclusion / engage and consult communities				
Equal opportunities for the whole community				
Contribute to Woking's pride of place				

8. Product / Milestone List

The purpose of this template is to identify, list in order and briefly describe the products that will be required in your project. A product is an item that the project has to create as part of the requirements. This is an important first step in working out exactly what needs to be created, changed or procured in order for the project to be a success. A project can be broken down into many products which, when pulled together, will equate to the project as a whole.

Product / Milestone	Purpose and Description

9. Measuring Objectives and Benefits

At Section 1 of this Workbook (Start-Up) you will have documented the objectives of this project as well as the benefits that the project is intending to deliver. In order to demonstrate if the project has been successful, it is important to state here how all of the objectives and benefits will be assessed and measured on completion. The objectives and benefits will be measured and recorded at Section 4 of this workbook (Closure) to determine the overall success of the project.

Project Objective / Benefit	How will it be assessed / measured?

4. SECTION 3: PROJECT EXECUTION

Section 3 is concerned with handling the day-to-day management of the project and is mainly based around creating and implementing the products that have been identified in section 2 above with a view to achieving the overall objectives of the project.

This Project Workbook is designed to provide a framework for the overall direction of the project, particularly the justification, planning and closure stages. This stage is about the delivery of the project and the project manager is free to undertake this in the most appropriate way available. General guidelines on the areas to consider at this point are contained within the methodology but for the main, the Project Manager should engage the project in line with the information contained within the Workbook.

Please note, therefore, that you **DO NOT** have to obtain authorisation at any point in this section. You should have already obtained full and final commitment from the Project Sponsor and Budget Owner at the end of section 2 and authorisation will not be required now until project closure (Section 4). In the interim, control and awareness of the project will be primarily informed by the following mechanisms:

Project Status: Project status should be reported and discussed at set intervals dependent on the size and scope of the project (typically on a monthly or quarterly basis). The homepage of the project's space on SharePoint displays the project status.

Project logs and Documents: Throughout this stage please ensure that all project information is saved within the Projects area on SharePoint. High emphasis should also be placed on recording all risks and issues within the respective logs.

5. SECTION 4: PROJECT CLOSURE

A defining feature of a project is that it is finite. Formally closing a project avoids the tendency to drift into operational management. It also provides an opportunity to ensure that any unachieved goals are identified so that these can be addressed in the future.

It is recommended at this point that the Project Manager and the Project Team meet as part of the project closure review meeting. The purpose of the meeting would be to pool information and ideas with a view to completing this section of the Workbook and specifically to (a) capture and record any unfinished business (b) measure the relative success of the project by determining whether or not it has met/delivered its original objectives and proposed benefits and (c) assess other general aspects of the project to obtain an all round understanding of what worked well and what could be improved.

In addition to the completion of the templates located within this section, it is important that the Project Manager updates the project's space on SharePoint to ensure that the project is in a suitable position to be reclassified as closed on the system. This includes making documents that need to be retained into records and deleting all other documents.

Mark the following checklist to confirm that all aspects of closure have been completed:

CHECKLIST FOR PROJECT CLOSURE	COMPLETE
Have lessons learned been recorded on SharePoint?	
Have risks been recorded and closed on SharePoint?	
Have issues been recorded and closed on SharePoint?	
Are all project documents saved in the document library?	
Have all documents that need to be retained been made records?	
Have all documents that do not need to be retained been deleted?	
Have Financial Management checked the Project Closure Section has been completed?	
Has the Project Sponsor confirmed no further action regarding variations?	
Final payments have been made and project expenditure has been checked?	

Once complete, this section of the project workbook will need to be sent to the Project Support Office for review. The Project Support Office will then send it to CMG to be signed off so the project can be closed. All other interested parties should be notified when the project is closed.

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1. Contract Final Accounts

This section should be completed as part of project closure if your project resulted in the formation of a contract. A separate template should be completed for each contract that was produced during the life of the project. If the contract will continue after closure of the project, this template should be completed to reflect the status of the contract at the point of project closure.

1. Contract Name	
2. Contractor Name	
3. Start Date / End Date	
4. Contract Manager	
5. Contract Register Ref	
6. Cost Code	
7. Initial Contract Amount Released	
8. Variations issued by budget manager (include a value and date of approval and explanation for each variation)	
9. Final Contract Payments (i.e. total amount paid, including variations)	
10. Difference between approved and actual contract expenditure (7 + 8 - 9)	
11. Explanation for any difference between approved and actual	

3. Project Overview

This section examines a number of general aspects and records the areas of the project that worked well as well as those that could be improved. Please mark the aspects that are not relevant to your project with N/A to indicate that due consideration has been given. Please add additional rows and aspects if required.

Aspect to be examined	What worked well? / What areas could be improved?
The use of the Project Workbook	
The Project Planning techniques	
The Equalities Impact assessment	
The use of the Sustainability Appraisal	
Estimating: (costs, duration, resources)	
The implementation of the project	
Managing change during the project	
Managing issues during the project	
Managing risk during the project	
Managing the quality of the project	
Managing communication / expectations	
Project Team effectiveness	
Working with Stakeholders	
The use of SharePoint for managing the project	
Other comments	

Appendix 1: Project Cost

Use this template to record the planned and costs of the project. This template builds on the initial estimates identified in the mandate. It is important that this worksheet is continually updated throughout the life of the project (unless a separate financial spreadsheet is maintained) so that a full understanding of the budget and resources used in the project can be gained.

Person or Supplier	Item e.g. Equipment, Supplies, Labour	Planned	Actual	Variance
Total Cost:				