		Weaknesses to be addressed by Corporate		
Ref	Risk Rating	Summary of Weakness	Recommended Action	Agreed Actions
22	Significant	Reliance was placed on a single officer for both defining and checking the detailed designs and specifications for the Scheme.	We recommend that future projects, requiring design work, ensure that designs and specifications are reviewed and signed off by an independent Senior Officer, team or consultant to ensure that there is a robust checking mechanism in place. This process should be formally documented and completed before the designs are issued to a Principal Contractor.	**Action 1**: Senior Responsible Officers (SROs) and Programme/Project Managers are responsible for ensuring there are robust controls in place within their projects, including ongoing review of design works, risks and issues. **Action 2**: The Programme Management Office (PMO) will deliver training and guidance to promote effective separation of duties, review and sign-off in future Council projects. This is included in the PMO forward plan: - Project training covering roles and responsibilities, governance and expected controls. - Project Manager Network events to share good practice. - SRO Health Checks supported by the PMO. - Project Reviews by the PMO Board.
23	Significant	Issues requiring changes to designs and specifications, following formal issue, were largely dealt with in isolation to the overall designs without consideration for the entire model.	We recommend that future projects, requiring design and specification changes, ensure that all such changes are reviewed by a Senior Officer, team or consultant to ensure that changes are not dealt with in isolation to the overall model.	**Action 1**: Senior Responsible Officers (SROs) and Programme/Project Managers are responsible for ensuring there are robust controls in place within their projects, including ongoing review of design works, risks and issues. **Action 2**: The PMO will deliver training and guidance to promote effective separation of duties, review and sign-off as well as the use of good practice in the delivery of projects. This is included in the PMO forward plan: - Project training covering roles and responsibilities, governance and expected controls. - Project manager network events. - SRO Health Checks supported by the PMO. - Project Reviews by the PMO Board
24	Moderate	There was no directorial overview of the design and specification process being undertaken in real time	We recommend that future projects ensure that information concerning changes to designs and specifications are subject to the necessary review by the respective Project Board and/or Corporate Project Board, to ensure the ongoing overview by Senior Management within the Council.	**Action 1**: Senior Responsible Officers (SROs) and Programme/Project Managers are responsible for ensuring there are robust controls in place within their projects, including ongoing review of design works, risks and issues. **Action 2**: The PMO will deliver training and guidance to promote improved separation of duties, review and sign-off as well as use of good practice in the delivery of projects. This is included in the PMO forward plan. which will include: - Project training covering roles and responsibilities, governance and expected controls. - PM network events to share good practice. - SRO Health Checks supported by the PMO. - Project Reviews by the PMO Board
25	Significant	Concerns were not raised early enough by the Project Team	We recommend that a culture of openness and accountability be promoted for all future projects to ensure that issues of concern are not concealed by Project Officers and are reported to Senior Management and Members, as appropriate.	We feel that significant progress has already been made in addressing this recommendation. The PMO was established by the Chief Executive in October 2018, providing independent oversight directly into CLT. The PMO working group formed in October 2018 to discuss open and honest issues on managing projects. Project monitoring was established in December 2018; the Corporate Project Dashboard reports the top projects to CLT including a DCA rating. Engagement - PM Network events started 18th December 2018 – with risk management project training included. Monthly reporting was introduced in February 2019 for six months, reverting to quarterly in Summer 2019. Risk training has been offered to all managers in March /April 2019, with specific guidance on escalation of risks and issues.

26	Significant	Initial costings for the Scheme were relied on for the tender process, without further studies or evaluations of potential costs to better inform the procurement process.	We recommend that future projects, undertake a specific costing exercise, in addition to initial ball-park costings. This exercise should look to provide a more accurate potential cost, once all changes and/or additions to the original proposalshave been factored in. This should ensure that when the Council are ready to proceed, funding bids and the subsequent tender process are better informed.	**Action 3**:All SROs / Programme/Project Managers are expected to provide detailed costings as part of Outline and Final Business cases. For major projects, approval of these documents is required through the PMO Gateway process. **Action 4:** Specific actions to be undertaken by the PMO: - Launch of the Gateway handbook to guide the evaluation of projects. - Awareness raising of Gateway process / evidence. - PMO Board to review the process for undertaking specific costing exercises during the lifecycle of the project at intervals and implement relevant changes. Four Gateway stages: – Phase 1, Gateway 1, Phase 2 and Gateway 2 include feasibility, funding and procurement and OBC (Outline business case). – Phase 3, Gateway 3 includes investment appraisal, procurement, design works and FBC (Full business case). –Phase 4, Gateway 4 and Phase 5 include financial and project monitoring and reviews.
27	Moderate	Survey data was not subject to any verification or secondary checks to ensure accuracy, before being passed to the Principal Contractor.	We recommend that future projects, requiring topographical survey data, ensure that all such information is reviewed and sense checked by a Senior Officer, team or consultant to ensure that the information is fit-for-purpose	**Action 1:** Senior Responsible Officers (SROs) and Programme/Project Managers are responsible for ensuring there are robust controls in place within their projects, including ensuring all data/ information is fit for purpose. **Action 2:** The PMO will deliver training and guidance to promote improved separation of duties, review and sign-off as well as use of good practice in the delivery of projects. This is included in the PMO forward plan: - Project training covering roles and responsibilities, governance and expected controls. - PM network events to share good practice. - SRO Health Checks supported by the PMO. - Project Reviews by the PMO Board.
28	Low	Documentation to evidence tender evaluations and moderation had not been retained by the Council for the appointment of the Principal Contractor on the A52 Scheme.	We recommend that suitable documentation is retained to evidence the tender evaluation and moderation process for all future projects. This will ensure openness and accountability and enable the Council to defend itself in the event of challenge from an unsuccessful bidder.	**Action 5:** Senior Responsible Officers (SROs) and Programme/Project Managers are expected to retain appropriate tender documentation. **Action 6:** Training will be undertaken covering the requirements on documentation retention. In addition the PMO will link up with Procurement to ensure there is visibility across the Council.
29	Significant	Over reliance was placed on the Early Contractor Involvement (ECI) stage to arrive at detailed construction costs when mature designs were not in place	We recommend that future projects do not rely solely on the ECI stage to arrive at detailed costings. However, where the ECI stage is utilised for such a purpose detailed specifications and designs should be given to the Contractor, to enable them to make informed decisions about costings. Designs should be around 95% complete at this stage. Furthermore, information requests from the Contractor should be prioritised to ensure that they are in possession of all the data required to set an informed Target Cost.	**Action 1:** Senior Responsible Officers (SROs) and Programme/Project Managers are responsible for ensuring there are robust controls in place within their projects, including ongoing review of costings, design works, risks and issues. **Action 2:** The PMO will deliver training and guidance to promote effective separation of duties, review and sign-off in future Council projects. This is included in the PMO forward plan: - Project training covering roles and responsibilities, governance and expected controls. - Project Manager Network events to share good practice. - SRO Health Checks supported by the PMO. - Project Reviews by the PMO Board.
30	Significant	An unrealistic contingency had been set for the Scheme which was considerably low considering this was a brownfield site	We recommend that future projects set aside a suitable budget provision to provide a realistic contingency element. This should continue to be reviewed by the Project Team throughout the Scheme and the Senior Responsible Officer should be kept fully informed of any developments	**Action 7:** Senior Responsible Officers (SROs) and Programme/Project Managers are responsible for ensuring a realistic contingency is built into their costings. Boards are expected to have adequate finance officer involvement. **Action 8:** The PMO will reflect this in updated project guidance for financial modelling. Contingency will be challenged by PMO Board at Gateway review points.
31	Significant	Essential works were removed from the Scheme to remain in budget, instead of escalating concerns to management and/or seeking further funding. These were subsequently brought back into scope, leading to increased costs and delays	We recommend that future projects, DO NOT remove essential works from the Scheme to remain in budget. Where costs are escalating and this cannot be contained via the streamlining of nonessential works, Project Officers should raise concerns with Senior Management and/or Members for advice and guidance on the way to proceed. This could be to seek further funding or may be to review the fundamental delivery and/or required outcomes of the scheme.	**Action 1:** Senior Responsible Officers (SROs) and Programme/Project Managers are responsible for ensuring there are robust controls in place within their projects, including ongoing review of costings, works, risks and issues. **Action 2:**The PMO will deliver training and guidance to promote improved separation of duties, review and sign-off as well as use of good practice in the delivery of projects. This is included in the PMO forward plan: - Project training covering roles and responsibilities, governance and expected controls. - PM network events to share good practice. - SRO Health Checks supported by the PMO. - Project Reviews by the PMO Board.

32	Significant	Senior Management was not fully conversant with the details set out in the formal document they were ratifying in order to enter into the contract with the Principal Contractor	We recommend that for future projects, Senior Management ratifying key documents and/or signing-off on a gateway process, make sure that they are fully conversant with the information contained in the document(s) that they are signing. It is the responsibility of the authorising parties to satisfy themselves, prior to signing off the document, that they fully understand the detail set out and, effectively, that they agree to what is being proposed.	**Action 9:** Senior Responsible Officers (SROs) are responsible for ensuring they are fully conversant with information before they sign off any documents. CLT agreed and signed off the new Gateway Process for projects over £1m or strategically significant. All major projects now go to the PMO Board at each Gateway stage. **Action 2:** The PMO will deliver training and guidance to promote improved separation of duties, review and sign-off as well as use of good practice in the delivery of projects. This is included in the PMO forward plan: - Project training covering roles and responsibilities, governance and expected controls. - PM network events to share good practice. - SRO Health Checks supported by the PMO. - Project Reviews by the PMO Board.
33	Significant	Council officers failed to provide Members with an honest appraisal of the issues arising and information provided was neither detailed nor accurate. Furthermore, increasing project costs were not reported to Members on a timely basis.	We recommend that for future projects, that suitable mechanisms are put in place for appraising Members of the ongoing progression of the project. Such measures should ensure that information provided is suitably documented, accurate, timely and in sufficient detail to aid with any decision taking process(s). Furthermore, key Members should be appraised of emerging financial issues, that may materially affect the delivery of the project, as soon as practically possible, and that such contact is suitably recorded. We would also expect the Senior Responsible Officer to have an overview of this process to ensure that it is robust.	**Action 10:** SROs are expected to keep Councillors, in particular Cabinet Members, informed during the progression of major projects, including key risks and budget position. Scrutiny Boards can request progress updates on major projects as part of their forward plans. Significant risks from projects may be escalated to the strategic risk register, which is reviewed on quarterly basis by Audit & Accounts Committee. This will be reinforced through awareness of roles / responsibilities, training and guidance delivered to project officers and boards
34	Significant	The Project Team pressed forward with the works, despite Project Officers reservations, due to financial pressures from D2N2 (LEP) and without the s278 agreement being signed to secure third party funding.	We recommend that a suitable gateway process be applied to future projects, to ensure that projects cannot progress to the next stage until all outstanding matters have been previously dealt with. This would include securing all types of funding required, the sign-off of designs, applying robust governance arrangements, etc.	The PMO was set-up in October 2018. CLT agreed and signed off the new Gateway Process for projects over £1m or strategically significant in December 2018. The PMO Board was established in March 2019. All major projects go to the PMO Board at each Gateway stage for approval to progress (effective from April 2019).
35	Significant	Governance arrangements around the Project Board and the Infrastructure Board were largely ineffective and an initial Terms of Reference for the Project Board could not be provided.	We recommend that future projects ensure that suitable governance arrangements are in place for both the Project Board and Corporate Project Board. This should include a suitable Terms of Reference being signed-off for both groups to ensure that the arrangements are robust and provide for an effective level of review and control over the project.	**Action 11:** SROs are accountable for ensuring that appropriate governance arrangements are in place for their programmes / projects, including terms of reference. A corporate PMO was established in October 2018 and the PMO Board was launched in March 2019. The PMO will introduce a Health Check document to enable SROs to self-assess their project controls, including governance arrangements. This will be issued to all SRO's of key projects to carry out their own Health Check with the support from the PMO. Findings will be shared with Audit
36	Moderate	Project Risk Registers were poorly designed and utilised, and were not in line with the Council's methodology for Risk Management. Registers contained a number of inaccuracies and risks were inconsistently documented throughout.	We recommend that future projects adopt the Council's methodology for Risk Management and fully utilise all tools available to them from the Programme Management Office. Risk Registers should be accurate, information should be consistently recorded and the registers should correctly reflect ongoing risks on the project. This will ensure that risk management arrangements are fit-for-purpose and operating in line with Corporate guidelines.	SROs and Programme / Project Managers are expected to use the Council's methodology for risk management. Training on the risk framework, principles of risk management and Derby's approach took place attended by nearly 300 project managers and wider managers from across the Council between December 2018 and April 2019. Awareness regarding risk management was also raised at Senior Leaders Network in April 2019
37	Significant	Mechanisms in place for review and escalation of project risks were not being consistently adhered to and there was insufficient oversight of the project risks, particularly following the absorption of the Project Board into the Infrastructure Board	We recommend that for future projects that the Senior Responsible Officer ensures that Project Risk Registers are regularly reviewed by the respective Project Boards and Corporate Project Boards. This will ensure that project risks are suitably escalated and understood by Senior Management in order for mitigating actions to be taken.	**Action 12:** SROs and Programme / Project Managers are expected to review risk registers on a regular basis with appropriate escalation as required. Project managers received risk training in December 2018 with wider training offered to all managers in March / April 2019. This included specific guidance on how to escalate risks. **Action 13:** The PMO will review the risk registers of all major projects and introduce a health check document for SRO's to self- assess their own arrangements. Significant risks from projects may be escalated to the strategic risk register, which is reviewed on quarterly basis by Audit & Accounts Committee.
38	Moderate	Members were not in receipt of the Project Risk Registers and risks reflected in Cabinet reports did not provide for a comprehensive review of the project risks	We recommend that for future projects that the Senior Responsible Officer makes Project Risk Registers available to Members so they can appraise the ongoing situation. This should ensure Member awareness of the risks and mitigating actions to inform any decision making concerning the project.	**Action 14:** SROs are responsible for making sure councillors are fully appraised of risks. **Action 15:** The PMO will remind SROs of the need to share risk registers with councillors where appropriate. In particular, the PMO will suggest that risk registers are attached to Cabinet reports where they inform decision making. Cabinet and Audit & Accounts Committee received training on risk management (February / April 2019) to aid greater understanding

39	Moderate	There were ineffective risk management arrangements in place between the Council and the Principal Contractor.	We recommend that for future projects that the Senior Responsible Officer ensures that the Project Team formally reviews the Contractor Risk Registers (where these form part of the contractual arrangements) and share these with the respectiveProject Board and/or the Corporate Project Board. This should ensure that emerging risks from the Contractor are known, challenged and understood by the Council.	**Action 16:** SROs and Programme / Project Managers are expected to review contractor risk registers on a regular basis with appropriate escalation as required. Project managers received risk training in December 2018 with wider training offered to all managers in March / April 2019. **Action 17:** The PMO will review the risk registers of all major projects and introduce a health check document for SRO's to self- assess their own arrangements.
40	Moderate	Management did not address issues with the former Project Manager working in isolation in order to provide comprehensive support over the work programme. Furthermore, arrangements had not been put in place by management to cover the role of Project Manager in periods of absence.	We recommend that for future projects that the Senior Responsible Officer ensures that no officer is working in complete isolation to the Project Team. The Project Manager is also expected to share information and knowledge readily with his colleagues and keep them updated on the ongoing work programme /activities in order for the project to be effectively managed. This will also enable officers to provide additional support, where required. Furthermore, theSenior Responsible Officer should put appropriate arrangements in place to cover the Project Managers role in periods of absence. This should ensure proper management of the project and that works are suitably progressing on an ongoing basis.	**Action 18:** SROs are expected to ensure effective team meetings and mitigate the risk of single person dependency in programmes and projects. SROs and Programme / Project Boards are expected to mitigate the risk of single person dependency. **Action 2:** The PMO will deliver training and guidance to promote effective separation of duties and resilience as well as use of good practice in the delivery of projects. This is included in the PMO forward plan: - Project training covering roles and responsibilities, governance and expected controls. - PM network events to share good practice. - SRO Health Checks supported by the PMO. - Project Reviews by the PMO Board.
41	Moderate	There were inadequate mechanisms in place for the monitoring of Senior Officers on the A52 Scheme	: We recommend that Strategic Directors, with overall responsibility for future projects, ensure that they undertake suitable check and balance measures over their Senior Managers with responsibility for these respective projects. This should ensure that these Senior Managers are being suitably monitored and that appropriate actions and/or decisions are being taken on each scheme.	Agreed and actioned. The PMO was established by the Chief Executive in September 2018 to ensure greater grip over programmes and projects. Oversight and reporting was established in November 2018 with review of SRO and Programme / Project Managers accountabilities. A Corporate Project Dashboard now reports progress on major projects to CLT - introducing an additional Deliverability Confidence Assessment (DCA) rag status. CLT agreed and signed off the new Gateway Process for projects over £1m or strategically significant. The PMO Board was established in March 2019 and now meets monthly. All major projects go to the PMO Board at each Gateway stage and the Board can commission reviews of projects with risks / deteriorating DCA status.
42	Moderate	No evidence could be provided by Council officers to demonstrate that clear guidance or instruction concerning Traffic Management had been given to the Principal Contractor, prior to on-site works commencing.	We recommend that for future projects, where Traffic Management is required, that the Project Manager/Team provides clear guidance and/or instruction to the Principal Contractor, prior to on-site works commencing. Ideally this should be provided at the tender stage to inform Contractor bids.	**Action 19:** The relevant SRO takes responsibility for any projects involving traffic management. **Action 2:** The PMO will deliver training and guidance to promote effective separation of duties and resilience as well as use of good practice in the delivery of projects. This is included in the PMO forward plan: - Project training covering roles and responsibilities, governance and expected controls. - PM network events to share good practice. - SRO Health Checks supported by the PMO. - Project Reviews by the PMO Board
43	Moderate	The Project Team took the decision to move to night working without the involvement of the Strategic Director or Members, and without the costs of this change, or impact on the project timeframes, being known	We recommend that project decisions are not taken based on inaccurate or incomplete information. Furthermore, Project Officers should not be taking key decisions without the involvement of either Senior Manager or Members, or both. This should ensure that such decisions are taken at the appropriate level within the Council.	**Action 20:** SROs and Programme / Project Managers are responsible for keeping Senior Managers and Councillors appraised. **Action 2:** The PMO will deliver training and guidance to promote effective separation of duties, review and sign-off as well as use of good practice in the delivery of projects. This is included in the PMO forward plan: - Project training covering roles and responsibilities, governance and expected controls. - PM network events to share good practice. - SRO Health Checks supported by the PMO. - Project Reviews by the PMO Board.
44	Significant	There were no performance indicators in place which facilitated the ongoing monitoring of the Scheme's progression	We recommend that when agreeing the performance measures for future projects that consideration is given to implementing performance indicators that actually measure project progression in some tangible way. Such measures should review the progress of works, to provide assurance that the project is moving forward at a suitable pace and within the allotted budget.	**Action 21:** SROs and Project Managers are expected to ensure that appropriate performance measures are included in Project Initiation Documents, Outline Business Cases and Full Business Cases. CLT agreed and signed off the new Gateway Process for projects over £1m or strategically significant. This includes challenge and approval of PID /OBC /FBC. The Gateway template will be updated to include requirements of performance measures so this can be reinforced.

45	Significant	The Corporate Pledge reporting and monitoring process was not sufficient to inform Members of issues arising from the Scheme	We recommend that suitable performance measures be identified for corporate projects that provide a structured approach for measuring and monitoring Scheme progression, in a tangible way. More robust, and detailed, performance measures should provide for better monitoring and more informed decision taking by Members and Senior Management.	**Action 21:** SROs and Project Managers are expected to ensure that appropriate performance measures are included in Project Initiation Documents, Outline Business Cases and Full Business Cases. CLT agreed and signed off the new Gateway Process for projects over £1m or strategically significant. This includes challenge and approval of PID /OBC /FBC. The Gateway templates will be updated to include requirements of performance measures so this can be reinforced. **Implemented:** The PMO has introduced improved monitoring for projects using the Corporate Project Dashboard which includes a Delivery Confidence Assessment designed to reflect emerging risks / issues that may affect project outcomes.
46	Moderate	There was a lack of dedicated Council Officer resource for the management /oversight of this Scheme	We recommend that for future projects that Senior Management evaluate the level of resources allocated to the project, to enable effective management /oversight over the Scheme. This process should consider both the level of the managers assigned and their capacity to dedicate sufficient time to facilitate this function effectively.	Agreed and actioned CLT agreed and signed off the new Gateway Process for projects over £1m or strategically significant. The PMO Board was established in March 2019 and now meets monthly. All major projects go to the PMO Board at each Gateway stage and the Board can commission reviews of projects with risks / deteriorating Delivery Confidence Assessment (DCA) status.
47	Moderate	The appointment of the former Project Manager was not subject to the appropriate scrutiny	We recommend that for future projects that the Senior Responsible Officer ensures that any appointed project officers, in particular the Project Manager, are subject to a rigorous appointment process. This should ensure that there is a suitable interview panel in place and appropriate measures for evaluating the duties and any specific requirements that may be required for the project. Such a process should be suitably documented and records retained for the allotted period of time.	**Action 22:** All SROs are required to ensure that project officers have the right skills and capabilities for the role specification. SROs will be reminded by the PMO of the need to ensure effective appointment processes are undertaken to ensure sufficiently skilled and qualified individuals are in place.
48	Significant	The monitoring of the A52 Scheme, by the respective Boards with project management oversight, was largely ineffective.	We recommend that for future projects that the Senior Responsible Officer should ensure that adequate supporting documentation is provided at meetings of the respective boards, for the effective monitoring of the scheme. Matters discussed and all decisions taken should be recorded in the minutes, along with officer's declarations of interest for the respective meetings. Declarations of interest should also be recorded on a Register of Declarations of Interest for the Scheme. Additionally, these boards should be attended by a representative from any Principal Contractor appointed, to ensure that all parties are adequately represented	**Action 23**: All SROs are required to ensure that supporting documentation is provided at meetings to inform decision making and declare interests where appropriate. **Action 2:** The PMO will deliver training and guidance to promote effective separation of duties, review and sign-off in future Council projects. This is included in the PMO forward plan: - Project training covering roles and responsibilities, governance and expected controls. - Project Manager Network events to share good practice. - SRO Health Checks supported by the PMO. - Project Reviews by the PMO Board
49	Low	There was insufficient recording of meetings and decisions, and a lack of version control over working documents	We recommend that on future projects the Senior Responsible Officer enforces a regime of documenting ad-hoc meetings where key decisions are taken, and maintaining version control over working documents on a specific project folder, located on the Council's main network. This should promote accountability between officers and ensure that the most recent documents are accessed and utilised by project officers.	**Action 24:** All SROs are required to use the Council's network to record meetings and decisions. SROs /Project Managers will be reminded of the need to document all key decisions and ensure the Council's standard approach to version control (using opentext) is adhered to.
50	Moderate	Financial documentation contained errors and questionable figures that had not been properly explained.	We recommend that on future projects that the Senior Responsible Officer makes it a requirement that Senior Officers formally review the content of financial documents, prior to these being passed to either Senior Management or Members. This should help to alleviate confusion and ensure that decisions are based on correct information.	**Action 25:** All SROs are required to ensure that they formally review the content of financial documents before passing to Senior Managers and Councillors. **Action 2:** The PMO will deliver training and guidance to promote effective separation of duties, review and sign-off in future Council projects. This is included in the PMO forward plan: - Project training covering roles and responsibilities, governance and expected controls. - Project Manager Network events to share good practice. - SRO Health Checks supported by the PMO - Project Reviews by the PMO Board.
51	Moderate	There was a lack of review and verification over key elements of the cost schedules	We recommend that on future projects that the Senior Responsible Officer ensures sufficient time is spent on all aspects of the charging system, at the beginning of the project, to ensure that there are standard rules and procedures in place, which have been agreed by all parties. Monthly checks should then be undertaken, and suitably documented, in line with the agreed protocols.	Agreed in principle. The relevant SRO is required to ensure charging systems are robust. The PMO will deliver training and guidance to promote effective separation of duties, review and sign-off in future Council projects. This is included in the PMO forward plan. - Project training covering roles and responsibilities, governance and expected controls. - Project Manager Network events to share good practice. - SRO Health Checks supported by the PMO. - Project Reviews by the PMO Board.

52	Moderate	The Council officer authorising Compensation Events and subsequently the additional payments, was doing so without the formal delegated approval being in place	We recommend that on future projects that the Senior Responsible Officer ensures that the necessary delegated approvals have been put in place, and formally authorised, prior to any contracts commencing. This should ensure the suitability of all financial approvals in line with the necessary contractual arrangements.	**Action 26:** The relevant SRO is required to ensure the appropriate financial approvals are in place. **Action 2:** The PMO will deliver training and guidance to promote effective separation of duties, review and sign-off in future Council projects. This is included in the PMO forward plan: - Project training covering roles and responsibilities, governance and expected controls. - Project Manager Network events to share good practice. - SRO Health Checks supported by the PMO. - Project Reviews by the PMO Board.
53	Moderate	Instructions to the Principal Contractor were being given reactively via Project Managers Instructions, rather than following the standard Early Warning Notice and Compensation Event route for properly appraising the change and giving due consideration to the overall impact on the works.	We recommend that on future projects that the Senior Responsible Officer promotes a regime whereby works have been planned in advance and where Contractor instructions can be suitably managed. Where NEC contracts are utilised, this should facilitate the raising of Early Warning Notices prior to Compensation Events, to allow time for matters to be properly appraised and costed.	**Action 27:** The SRO is required to ensure the appropriate controls are in place over the management of contract variations. **Action 2:** The PMO will deliver training and guidance to promote effective separation of duties, review and sign-off in future Council projects. This is included in the PMO forward plan: - Project training covering roles and responsibilities, governance and expected controls - Project Manager Network events to share good practice - SRO Health Checks supported by the PMO - Project Reviews by the PMO Board