

TOWER HAMLETS BEST VALUE IMPROVEMENT BOARD

Monday, 18 December 2017 at 6.00 p.m.
Room C1, 1st Floor, Town Hall, Mulberry Place, London E14 2BG

This meeting is open to the public to attend.

Members:

Mayor John Biggs

Sir Steve Bullock

Alan Finch

Alan Wood

Will Tuckley

Sharon Godman

(External Representative - THBVIB)

(Local Government Association)

(Chair, Children's Improvement Board)

(Chief Executive)

(Divisional Director, Strategy, Policy and Partnerships)

Councillor Peter Golds

Councillor Sirajul Islam

(Leader of the Conservative Group)

(Statutory Deputy Mayor and Cabinet Member for Housing)

Councillor Rabina Khan

Councillor Oliur Rahman

Councillor David Edgar

Councillor Amy Whitelock Gibbs

(Leader of PATH Group)

(Leader of the Independent Group)

(Cabinet Member for Resources)

(Cabinet Member for Education and Children's Services)

Councillor Dave Chesterton

(Chair of the Overview and Scrutiny Committee)

Contact for further enquiries:

Antonella Burgio, Democratic Services,

Tel: 0207 364 4881

E-mail: anotnella.burgio@towerhamlets.gov.uk

Web: www.towerhamlets.gov.uk/committees

Scan this code to your mobile phone to view Committee website.



Public Information

Attendance at meetings.

The public are welcome to attend meetings of the Committee. However seating is limited and offered on a first come first served basis.

Audio/Visual recording of meetings.

Should you wish to film the meeting, please contact the Committee Officer shown on the agenda front page.

Mobile telephones

Please switch your mobile telephone on to silent mode whilst in the meeting.

Access information for the Town Hall, Mulberry Place.



Bus: Routes: D3, D6, D7, D8, 15, 108, and 115 all stop near the Town Hall.

Docklands Light Railway: Nearest stations are East India: Head across the bridge and then through complex to the Town Hall, Mulberry Place Blackwall station. Across the bus station then turn right to the back of the Town Hall complex, through the gates and archway to the Town Hall.

Tube: The closest tube stations are Canning Town and Canary Wharf

Car Parking: There is limited visitor pay and display parking at the Town Hall (free from 6pm)

If you are viewing this on line: (http://www.towerhamlets.gov.uk/content_pages/contact_us.aspx)

Meeting access/special requirements.

The Town Hall is accessible to people with special needs. There are accessible toilets, lifts to venues. Disabled parking bays and an induction loop system for people with hearing difficulties are available. Documents can be made available in large print, Braille or audio version. For further information, contact the Officer shown on the front of the agenda



Fire alarm

If the fire alarm sounds please leave the building immediately by the nearest available fire exit without deviating to collect belongings. Fire wardens will direct you to the exits and to the fire assembly point. If you are unable to use the stairs, a member of staff will direct you to a safe area. The meeting will reconvene if it is safe to do so, otherwise it will stand adjourned.

Electronic agendas reports and minutes.

Copies of agendas, reports and minutes for council meetings can also be found on our website from day of publication.

To access this, click www.towerhamlets.gov.uk/committee and search for the relevant committee and meeting date.

Agendas are available at the Town Hall, Libraries, Idea Centres and One Stop Shops and on the Mod.Gov, iPad and Android apps.



QR code for smart phone users.

LONDON BOROUGH OF TOWER HAMLETS
TOWER HAMLETS BEST VALUE IMPROVEMENT BOARD

MONDAY, 18 DECEMBER 2017

6.00 p.m.

1. APOLOGIES FOR ABSENCE

To receive any apologies for absence.

2. MINUTES

To receive the minutes of the Best Value Improvement Board meeting held on 11 September 2017.
(Document to follow)

3. DECLARATIONS OF DISCLOSABLE PECUNIARY INTERESTS **5 - 8**

4. Best Value Improvement Plan 2017-18 Q3 Monitoring Report **9 - 32**

5. SPOTLIGHT - PROPERTY

To receive a presentation.

6. IMPROVEMENT AREAS: CUSTOMER SERVICES & ORGANISATIONAL CULTURE

To receive a presentation.

7. Children's Services Improvement- Progress Report **33 - 46**

8. Clear Up Project Recommendations Implementation **47 - 78**

9. Forward Plan **79 - 80**

10. ANY OTHER URGENT BUSINESS

Any other business that the Chair considers to be urgent.

This page is intentionally left blank

Agenda Item 3.

DECLARATIONS OF INTERESTS - NOTE FROM THE MONITORING OFFICER

This note is for guidance only. For further details please consult the Members' Code of Conduct at Part 5.1 of the Council's Constitution.

Please note that the question of whether a Member has an interest in any matter, and whether or not that interest is a Disclosable Pecuniary Interest, is for that Member to decide. Advice is available from officers as listed below but they cannot make the decision for the Member. If in doubt as to the nature of an interest it is advisable to seek advice **prior** to attending a meeting.

Interests and Disclosable Pecuniary Interests (DPIs)

You have an interest in any business of the authority where that business relates to or is likely to affect any of the persons, bodies or matters listed in section 4.1 (a) of the Code of Conduct; and might reasonably be regarded as affecting the well-being or financial position of yourself, a member of your family or a person with whom you have a close association, to a greater extent than the majority of other council tax payers, ratepayers or inhabitants of the ward affected.

You must notify the Monitoring Officer in writing of any such interest, for inclusion in the Register of Members' Interests which is available for public inspection and on the Council's Website.

Once you have recorded an interest in the Register, you are not then required to declare that interest at each meeting where the business is discussed, unless the interest is a Disclosable Pecuniary Interest (DPI).

A DPI is defined in Regulations as a pecuniary interest of any of the descriptions listed at **Appendix A** overleaf. Please note that a Member's DPIs include his/her own relevant interests and also those of his/her spouse or civil partner; or a person with whom the Member is living as husband and wife; or a person with whom the Member is living as if they were civil partners; if the Member is aware that that other person has the interest.

Effect of a Disclosable Pecuniary Interest on participation at meetings

Where you have a DPI in any business of the Council you must, unless you have obtained a dispensation from the authority's Monitoring Officer following consideration by the Dispensations Sub-Committee of the Standards Advisory Committee:-

- not seek to improperly influence a decision about that business; and
- not exercise executive functions in relation to that business.

If you are present at a meeting where that business is discussed, you must:-

- Disclose to the meeting the existence and nature of the interest at the start of the meeting or when the interest becomes apparent, if later; and
- Leave the room (including any public viewing area) for the duration of consideration and decision on the item and not seek to influence the debate or decision

When declaring a DPI, Members should specify the nature of the interest and the agenda item to which the interest relates. This procedure is designed to assist the public's understanding of the meeting and to enable a full record to be made in the minutes of the meeting.

Where you have a DPI in any business of the authority which is not included in the Member's register of interests and you attend a meeting of the authority at which the business is considered, in addition to disclosing the interest to that meeting, you must also within 28 days notify the Monitoring Officer of the interest for inclusion in the Register.

Further advice

For further advice please contact:-

Asmat Hussain, Corporate Director, Governance & Monitoring Officer,
Telephone Number: 020 7364 4800

APPENDIX A: Definition of a Disclosable Pecuniary Interest

(Relevant Authorities (Disclosable Pecuniary Interests) Regulations 2012, Reg 2 and Schedule)

Subject	Prescribed description
Employment, office, trade, profession or vacation	Any employment, office, trade, profession or vocation carried on for profit or gain.
Sponsorship	<p>Any payment or provision of any other financial benefit (other than from the relevant authority) made or provided within the relevant period in respect of any expenses incurred by the Member in carrying out duties as a member, or towards the election expenses of the Member.</p> <p>This includes any payment or financial benefit from a trade union within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992.</p>
Contracts	<p>Any contract which is made between the relevant person (or a body in which the relevant person has a beneficial interest) and the relevant authority—</p> <p>(a) under which goods or services are to be provided or works are to be executed; and</p> <p>(b) which has not been fully discharged.</p>
Land	Any beneficial interest in land which is within the area of the relevant authority.
Licences	Any licence (alone or jointly with others) to occupy land in the area of the relevant authority for a month or longer.
Corporate tenancies	<p>Any tenancy where (to the Member's knowledge)—</p> <p>(a) the landlord is the relevant authority; and</p> <p>(b) the tenant is a body in which the relevant person has a beneficial interest.</p>
Securities	<p>Any beneficial interest in securities of a body where—</p> <p>(a) that body (to the Member's knowledge) has a place of business or land in the area of the relevant authority; and</p> <p>(b) either—</p> <p>(i) the total nominal value of the securities exceeds £25,000 or one hundredth of the total issued share capital of that body; or</p> <p>(ii) if the share capital of that body is of more than one class, the total nominal value of the shares of any one class in which the relevant person has a beneficial interest exceeds one hundredth of the total issued share capital of that class.</p>

This page is intentionally left blank

Best Value Improvement Board

TITLE	Author	ITEM NO	Date
Best Value Improvement Plan 2017-18 – Oct-December 2017 Update	Afazul Hoque Interim Service Manager Strategy, Policy & Performance		18 th Dec 2017

1. **INTRODUCTION**

- 1.1. This report provides an update on the nine months of the Council's Best Value Improvement Plan 2017-18 covering the period October-December 2017. The report builds on the June - September 2017 submission to the Secretary of State and details the continuous progress against the five areas of Communications, Property, Elections, Organisational Culture and Grants and the 26 actions found within the Improvement Plan.
- 1.2. The Directions from the Secretary of State for Department of Communities & Local Government (DCLG) requires the Council to submit quarterly update reports. The third quarterly update report will be submitted on 22nd December 2017.

2. **RECOMMENDATIONS**

- 2.1. The Board is asked to:
 1. Consider and comment on the draft update report attached as Appendix 1
 2. Consider and agree any revised milestone timescales in the Improvement Plan attached as Appendix 2.

3. **BACKGROUND**

- 3.1. The Council as part of its final submission to the Secretary of State for DCLG submitted a Best Value Improvement Plan 17-18 and outlined proposals to set up a Best Value Improvement Board to drive sustainable improvement across the organisation by providing oversight, support and challenge. Following the Secretary of State revoking the previous Directions and the removal of the Commissioners involved in the governance of the Council, the Secretary of State issued new Directions which will be in force until 30th September 2018.
- 3.2. In line with the new Directions the Council has undertaken the following:
 - Submission of quarterly reports on all outstanding actions in the Best Value Action Plan and Best Value Improvement Plan 2017-18 to the Secretary of State with the second update submitted in September 2017;
 - Set up a new Best Value Improvement Board, chaired by the Mayor, with cross party representation and external representatives to provide suitable challenge to improve all Council activities;

- Developed proposals for an independent review of achievement against the Best Value Action Plan and Best Value Improvement Plan 2017-18. This will be undertaken with the LGA in the form of a Corporate Peer Review and is planned for June 2018.

- 3.3. The Best Value Improvement Plan 2017-18 has five key priority areas comprising 26 strategic actions. These priority areas are a continuance of those found in the Best Value Action Plans arising from the original Secretary of State's Directions. The Plan demonstrates continued implementation where previous activities could not be implemented before the Directions expired as well as continued improvements.
- 3.4 The Best Value Improvement Plan sits within an Improvement Framework which outlines the work streams the Council is delivering to become an 'excellent modern council'. This includes the work being driven by the Children's Services Improvement Board led by an independent Chair, an internal time limited Adults Improvement Board and new improvement areas of customer services and Organisational culture as reported to the Board at the last meeting.
- 3.5 Cabinet on 19th December 2017 will receive a report detailing the progress the Council has made in becoming a more open and transparent organisations with ongoing work that will help to:
- Continuously provide opportunities for the public to hold the Council to account , whilst also ensuring that it always holds itself to account;
 - Provide quality data, which is clear, easy to understand and accessible;
 - Involve residents in the design and delivery of services enabling a more open and collaborative approach to Council business.
- 3.6 The latest Annual Residents Survey shows residents perception of the Council is improving with 79% saying they trust the Council and 59% agreeing the Council is open and transparent. We also saw an 11 points increase to 68% of residents feeling the Council listens to their concerns and a 9 points increase to 58% of residents agreeing that the Council involves them in the decision making.

4. OVERALL PROGRESS AGAINST BEST VALUE IMPROVEMENT PLAN

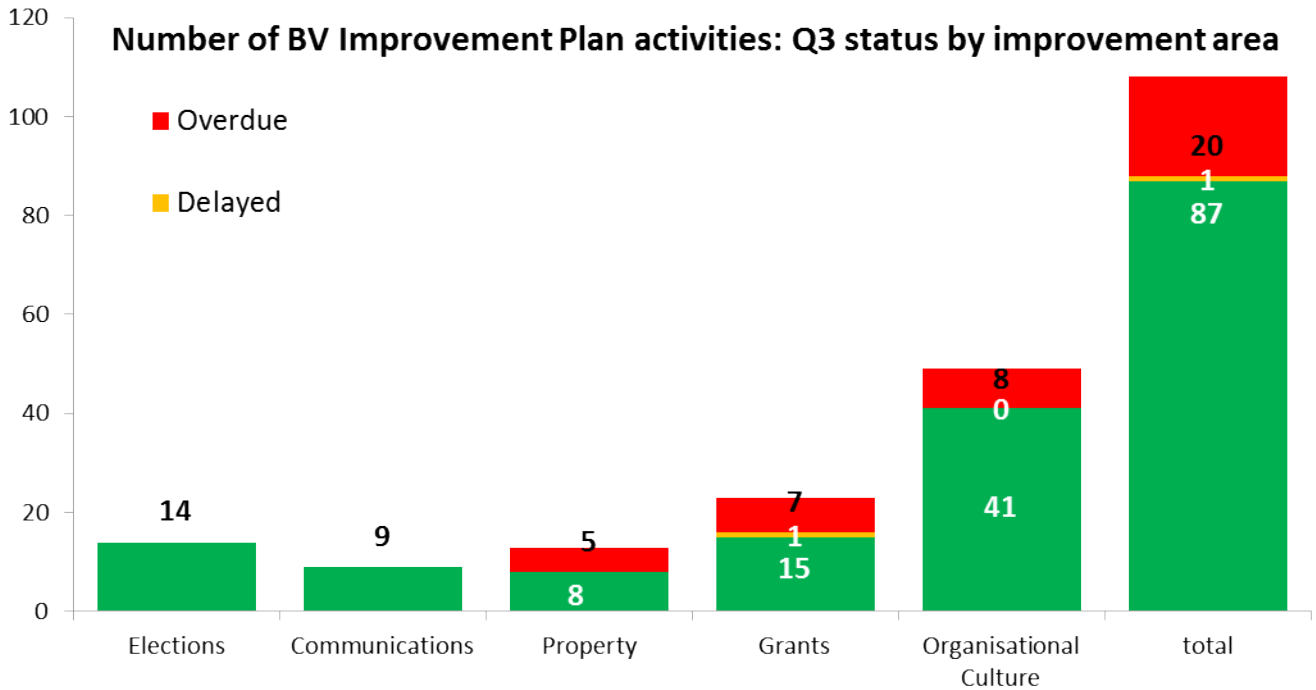
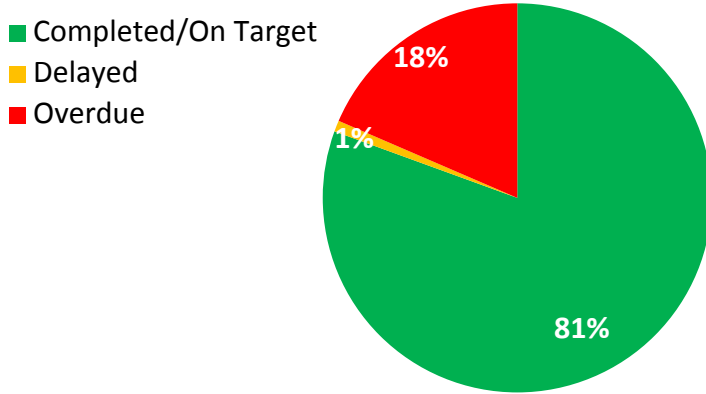
- 4.1. During the nine months of the Best Value Improvement Plan the Council has delivered the majority of the short-term and medium-term milestones and where there are any delays a revised plan has been set out. Work on the longer-term milestones are on-going with plans for delivery over the next financial year. Regular updates on progress are provided to the Corporate Leadership Team and Members and all activities have been incorporated within individual Directorate Plans to ensure focus remains on delivery.
- 4.2. On election the Council has published a revised Register of Electors and is counting to meet regularly with partners to plan the Mayoral and local

elections. The Council has also agreed to pilot an enhanced Postal Voting Scheme with the Cabinet Office which will include increased security and guidance as well as sample checking. The communication infrastructure has been enhanced considerably over the last nine months. The media consumption survey has been completed and analysed which is being used to develop future work and ensure we can reach different audience. The survey provides a range of intelligence including areas where can further develop its communication work. We have seen significant increase in the number of residents signed up to our e-newsletter and with the segmentation of this we will be able to target information to residents according to their interests.

- 4.3. The Programme of work to develop a range of community hubs is progressing with the first hub launched in September. Three more sites have been identified and work is progressing to deliver these over the next two years. The Council continues to manage its assets through the revised governance structure and use vacant buildings for housing and commercial use.
- 4.4. A new approach to grants management is being developed in partnership with the local voluntary and community sector. The Mainstream Grants Programme is monitored quarterly by the Grants Scrutiny Committee and Grants Determination Committee. An audit has recently been completed of the grants monitoring process and recommendations arising from this will be taken forward.
- 4.5. On organisational culture the Council has agreed a refreshed Member/Officer Protocol and work will be undertaken over the next quarter to raise awareness and implementation. A revised Whistleblowing Policy has been agreed and launched to a wide range of audience. This will be a mandatory training for all staff in the new Learning Management System. A range of activities were held during Core Value launch week in October to engage staff and an engagement tool developed for managers embed this across the organisation.
- 4.6. The Tower Hamlets Partnership bringing together key statutory and voluntary sector partner is developing a Community Plan which will set out a joint vision and priorities for the borough. A Tower Hamlets Summit has been planned for January 2018 and invitation has been sent to a range of stakeholders to ensure their views and involvement helps shape the Plan.
- 4.7. The charts below shows progress against the 108 milestones in the Best Value Improvement Plan which are still active. In order to ensure consistency in the reporting of the status of key milestones the following criteria have been applied:
- **On Target** – where the key milestone will be achieved by the deadline
 - **Completed** – Where the key milestone has been achieved by the deadline
 - **Delayed** – where the key milestone has not yet been completed but will be completed within a month of the original deadline
 - **Overdue** - where the key milestone has been delayed by more than a

month from the date of the original deadline

BV Improvement Plan activities : Overall Q3 Status



5. COMMENTS OF THE CHIEF FINANCE OFFICER

5.1. The Best Value Improvement Plan is a priority for the Council, and requisite resources have been identified within the budget in order to deliver the outcomes. Any additional resources required to deliver any of the activities will need relevant authority before commencing.

6. LEGAL COMMENTS

6.1. The Council is a best value authority within the meaning of Part 1 of the Local Government Act 1999. As a best value authority, the Council has an obligation under section 3 of the Local Government Act 1999 to “make arrangements to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy,

efficiency and effectiveness” (the best value duty).

- 6.2. Where the Secretary of State is satisfied that an authority is not meeting its best value duty, the Secretary of State may: (1) direct the authority to take action to bring itself into compliance with that duty; (2) direct that specified functions be carried out by the Secretary of State or a nominee and that the authority follow the Secretary of State’s instructions and provide such assistance as may be required (Local Government Act 1999). In accordance with this power the Secretary of State gave directions to the Council on 17 December 2014, 29 April 2015 and 6 May 2015. Revised directions were also given on 16 January 2017.
- 6.3. The directions are enforceable by the Secretary of State, who may seek an order in the High Court requiring the Council to remedy any breach. Under the current circumstances, it is appropriate for the Council to take steps to comply with the directions and to monitor its compliance with the directions. The report relevantly informs members of progress and appropriately indicates that Cabinet approval will be sought before presenting the required update to the Department of Communities and Local Government.
- 6.4. Although the Directions expired on 31st March 2017 and the specified functions to be carried out by the Commissioners on behalf of the Secretary will return to the authority, it is open to the Secretary of State to issue fresh directions to the Council for it to take specific action which is considered necessary or expedient to secure the Council’s compliance with its best value duty without specifying that specified functions be carried out by the Secretary of State or a nominee.
- 6.5. When taking action in response to the directions, the Council must have due regard to the need to eliminate unlawful conduct under the Equality Act 2010, the need to advance equality of opportunity and the need to foster good relations between persons who share a protected characteristic and those who do not (the public sector equality duty). Compliance with this duty has been a feature, to the extent relevant, of the Council’s action in response to the directions.
- 6.6. There are no immediate legal implications arising from this report.

Appendix 1: Best Value Improvement Plan 2017-18 summary

Appendix 2: Best Value Improvement Plan 2017-18 delivery plan

This page is intentionally left blank

BEST VALUE IMPROVEMENT PLAN OCTOBER-DECEMBER 2017 UPDATE

1 Introduction

The Council is pleased to provide an update on the progress made in implementing the Best Value Improvement Plan 2017-18 as required under the Directions of March 2017. The Best Value Improvement Plan 2017-18 includes 26 strategic actions against the five areas of: Property, Elections, Organisation Culture, Grants and Communications.

This report notes that in the first nine months of this Improvement Plan, covering the period between October-December 2017, a large number of milestones have been completed and where any are overdue or delayed a revised plan has been developed to ensure delivery. This demonstrates the focused determination of the Council in delivering continuous improvement and provides the Council with momentum as it works to deliver the remaining milestones in the plan over the next six months.

2 Summary of key achievements

A summary of key achievements for Quarter 3 is detailed below:

- The Council has agreed to take part in a Cabinet Office Pilot on Postal Vote which will lead to improvements in security and guidance;
- Regular review and planning meetings with Police and Electoral Commission and other partners are taking place for the 2018 Mayoral/borough elections on an on-going basis now;
- The weekly staff newsletter continues to have a high open rate and the results of the media consumption survey have been considered by the team and discussed with stakeholders. This will be used to target communication information to different audiences;
- Tramshed has been identified as the second community hub and feasibility work has been undertaken and costings are being finalised. The opening of this hub is expected to take place in April 2018.
- The Grants Scrutiny Sub-Committee has met 5 times this municipal year to consider a range of Grants Decision Reports and MSG monitoring reports. The Committee is currently planning an in-depth review into grant spending on organisations that provide physical activities for young people;
- All Community Cohesion contracts have now been mobilised and are delivering.. Where contracts are successfully delivering we are hoping to extend by a further 7 months to bring the end date into line with MSG grants. This will enable them to be considered and co-produced as part of the future grants/commissioning process;
- Reports outlining revised Council Procedure Rules and Member/Officer Relations Protocol went to General Purposes Committee on 12 October 2017 and were approved by Council on 22 November 2017;

- A Report went to GPC on 12 October 2017 and then Audit Committee on 16 November 2017 with a revised Whistleblowing Policy, Procedure, Guidance for Managers and Guidance for Investigators as well as an Action Plan for the implementation of a more effective whistleblowing framework.
- The Corporate Peer Challenge proposals were agreed by the Best Value Improvement Board at their last meeting. Planning for this is currently underway and will be held in June 2018. A Members Seminar was jointly delivered with the LGA on Members' role in Children's Services. Discussions are planned with the LGA about further areas of review and improvement work.

Best Value Improvement Plan Summary

ELECTIONS: Progress Summary

The Council has delivered a number of successful elections and referendum since 2015 which include:

- UK Parliamentary Election May 2015
- Election of Executive Mayor June 2015
- Election of Mayor of Tower Hamlets and Greater London Authority elections May 2016
- EU Referendum June 2016
- Whitechapel ward by election December 2016
- UK Parliamentary Election May 2017

Key achievements	Measurable outcomes for existing work	Areas where work continues to progress
<ul style="list-style-type: none"> • Council taking part in Cabinet Office Postal Vote Pilot • Published revised Register of Electors on 1st Dec 2017 • Provisionally booked the Excel as the Count Centre but other venues being explored. • Regular review and planning meetings with Police and consultation work with Electoral Commission Office have taken place for 2018 Elections. • Additional Presiding Officers are being identified in January 2018 and contingency planning for the 2018 elections and given training on additional duties required. 	<ul style="list-style-type: none"> • All meetings have been diarised up to April 2018. New dates being issued for April to June 2018. Attendees include senior officers and representatives from relevant agencies /bodies. 	<ul style="list-style-type: none"> • Currently undertaking a review of Count Venues. Due to it being a combined election, the location size and security are of paramount importance. Count processes to be reviewed and documented including the use of grass skirt counting method for mixed votes and improving the layout of the count venue. • Awareness raising and publicity for 2018 elections. • Due to the complexity of the combined elections in 2018, mandatory face to face training will take place in April 2018. • Visual aids to be included in combined election training 2018 and for this to be made available at all polling centres to help voters with language difficulties. More work to be done by LBTH Communications Team to promote this new resource and to make voters aware of polling centre rules in particular that staff can only speak in English whilst on duty in the polling station.

COMMUNICATIONS: Progress Summary

Communications in Tower Hamlets had a history of being reactive with a heavy reliance on the Council's weekly publication, East End Life. Many of the messages and activities being communicated were determined by services' willingness and ability to pay and there was little use of insight or data to identify appropriate communication channels and support the delivery of effective communications campaigns. Since the Best Value Action Plan was introduced there has been significant progress in reforming the way the Council deals with internal and external publicity management.

Key achievements	Measurable outcomes for existing work	Areas where work continues to progress
<ul style="list-style-type: none"> • Further development of staff newsletter with a forward planner of articles and a range of regular updates including on Cabinet decision, ICT improvements and Learning and Development opportunities. • Media consumption survey has been completed and analysed to develop future work programme • Gov Delivery Company procured. Setting up of E-Newsletter is on schedule for December 2017. This will put all council newsletters into one portal and segment our residents so that they can receive information from services and communications about specific areas of interest. 	<ul style="list-style-type: none"> • Tower Hamlets Now open rate continues to improve with an average 64% (including an issue at 73%) • The media consumption survey has been completed and involved 943 residents. Analysis of the results has enabled us to identify gaps in service delivery and areas for improvement. 	<ul style="list-style-type: none"> • Culture change regarding communications: a critical aspect of changing the culture is to work collaboratively with teams to determine delivery milestones related to key programmes so that they can be communicated widely to residents. • Progress on intelligent newsletter and new intranet site is continuing. Project Delivery Company has been procured and the first E-Newsletter is on schedule for December 2017. • Research phase completed for new intranet site. Final proposals for Corporate Leadership Team in place and will be going to procurement by end of March 2018.

PROPERTY: Progress Summary

The Council owns, occupies or maintains around 860 non-HRA properties, valued at £1bn, located within the borough. The Council also owns around £800m of HRA properties (the housing element is managed and maintained by Tower Hamlets Homes (THH), the Council's arms-length management organisation) as well as a further £50m of community assets.

Key achievements	Measurable outcomes for existing work	Areas where work continues to progress
<ul style="list-style-type: none"> • Feasibility work completed on second community hub which is expected to open in April 2018 • Raines House identified as third community hub and feasibility work completed • Vacant building in Watney Market ready for marketing • Specialist consultants appointed to review depot provision across the borough • On-going work to agree occupation agreements with building occupiers 	<ul style="list-style-type: none"> • 2nd, 3rd & 4th Community Hub identified 	<ul style="list-style-type: none"> • Granby Hall is now likely to be the fourth community hub. The timetable has been revised to allow negotiations to commence with the current occupiers of the building. • Specialist consultants have been appointed to provide additional consultancy advice for a complete review of depot provision across the borough. Work on the feasibility work has started; this is due to be completed by January 2018. • Temporary community use is in place for Turin Street, approved by the Mayor, which is due to come to an end in July 2018. • Housing Strategy are taking forward the Bethnal Green Cottage, the scheme is in planning awaiting a delegated decision for November 2017. Start on site will be scheduled to commence for January 2018.

GRANTS: Progress Summary

All actions in the original Grants Best Value Action Plan have been completed. Work has been undertaken to review and develop approaches to, and processes for, grant making with the Grants Determination Sub-Committee. The Grants Scrutiny Sub-Committee continues to provide cross party member review and challenge to the grants decision making process.

Key achievements	Measurable outcomes for existing work	Areas where work continues to progress
<ul style="list-style-type: none"> • Audit of grants monitoring completed. • The Grants Determination Sub-Committee (GDSC) and Grants Scrutiny Sub-Committee continue to meet every six weeks. • The system mapping of requirements to improve management reporting, information management and analysis of the new GIFTS software has now been completed. • Detailed and technical work is progressing to revise the business processes, streamline the system for grant awards and monitoring via the internet, ensuring accessible information and reporting for members, the VCS and the public. • Working collaboratively with TH CVS and the sector to develop a Grants Policy 	<ul style="list-style-type: none"> • Complete audit of grants monitoring completed. • 8 contracts previously grants co-commissioned with the voluntary and community sector 	<ul style="list-style-type: none"> • There is on-going work to get greater involvement of voluntary and community sector in the co-production of commissioned services. • Work with the voluntary sector to develop a voluntary sector compact is progressing. Further discussion with the VCS will be carried out so that the new Compact can be considered alongside the new grants policy and replacement programme for the current mainstream grants. • Co-production programme to produce new grants policy is now under way working with TH Council for Voluntary Service. First stage to develop policy framework will be complete by Christmas and on target for consideration by Cabinet in March 2018. Second stage of co-production to develop the detailed scheme and procedures will begin in the New Year with a view to launching the new programme early in the summer. • Finalising third sector team structure and implementation of web based GIFTS system

ORGANISATIONAL CULTURE : Progress Summary

Organisational culture is recognised as a key component in moving the Council forward. The aims of the Organisational Culture Plan are to: ensure that the culture of the organisation continues to be one which strives for continuous improvement; engages and invests in staff; ensures relationships between groups of members and between members and officers are professional, respectful, open and honest and rebuild trust in the areas where this has, or is perceived to have, broken down.

The key outcomes we are looking to achieve are:

- Staff engaged with and committed to delivering the Council’s vision and priorities;
- Improved clarity and understanding of formal roles and responsibilities of the Executive, non-Executive and senior officers of the Council in a Mayoral system;
- Effective working relationships between elected members, and between elected members and senior officers, to enable all to work together to achieve the best outcomes for Tower Hamlets and its residents;
- A shared commitment to a set of agreed behaviours and cultural values to underpin formal roles and responsibilities;
- A sustainable approach to maintaining and refreshing this shared commitment.

Key achievements	Measurable outcomes for existing work	Areas where work continues to progress
<ul style="list-style-type: none"> • Refreshed Member / Officer protocol agreed by Full Council which also included Member to Member conduct • LGA supported seminar for Members to increase understanding of their roles in children services • Comprehensive Quarter 2 financial monitoring report presented to Cabinet in November with savings and growth tracker information • Transformation Programme engaging staff through conversation groups and other wider staff engagement. • Core Values launched through range of engagement events across different Council sites • Revised whistleblowing framework agreed by general Purpose Committee and implemented 	<ul style="list-style-type: none"> • Programme Board and Smarter Together Governance agreed and Boards meeting monthly • Smarter Together Programme plans agreed and progress monitored by Transformation Board. 	<ul style="list-style-type: none"> • Members Annual Declaration of Interest • Corporate Scheme of Management (what is this?) • Planning for Corporate Peer Challenge underway • Refreshed Member/Officer Protocol will be cascaded to all staff in the organisation and will form part of induction for new staff and members • Communication to members and officers about revised whistleblowing arrangements

This page is intentionally left blank

Elections					
Activities	Lead Officer	Deadline	Status	%Comp	QUARTER 3 COMMENTS
1. Planning for 2018 Mayoral and local elections					
Key Milestones					
Joint working with partner agencies - First meeting February 2017	Will Tuckley/Louise Stamp	May-18	On Target	50%	Planning meeting held on 14th November 2017. Meeting included Police and Electoral Commission representatives and from other partner agencies.
Project group to meet monthly from April 2017, fortnightly from December 2017 and more frequently as required immediately prior to elections.	Will Tuckley/Louise Stamp	May-18	On Target	50%	All meetings have been diarised up to April 2018. New dates being issued for April to June 2018. Attendees include senior officers and representatives from relevant agencies /bodies.
Ensure integrity of the process and good order at polling stations	Will Tuckley/Louise Stamp	May-18	On Target	50%	The Council is working with the Cabinet Office on Postal Vote Pilot to increase security and guidance for voters. On going work with Police and consultation with Electoral Commission Office. Police support confirmed and review meeting have taken place with PO's, PSI's, Count Supervisors and Accountants. All feedback will be incorporated in training.
Train 40/50 experienced poll clerks to act as presiding officers in May 2018, to be placed with an experienced PO at a double station.	Louise Stamp	Jan-18	On Target	50%	Additional Presiding Officers to be identified in January 2018 due to demands of service and contingency planning and given training on additional duties required.
Enhanced mandatory training for polling station staff before taking up roles. To include bespoke e. training and dedicated training for PO's with specific scenarios.	Will Tuckley/Louise Stamp	Feb-18	On Target	50%	The option of providing E-learning training for PSI's (to compliment the mandatory face to face and group training) will be explored. Training session rooms and dates are due to be booked.
Continuation of RO instruction to ensure polling staff only speak in English whilst on duty in the polling station	Will Tuckley/Louise Stamp	May-18	On Target	50%	Visual aids to be included in combined election training 2018 and for this to be made available at all polling centres to help voters with language difficulties. More work to be done by LBTH Communications Team to promote this new resource and to make voters aware of polling centre rules in particular that staff can only speak in English whilst on duty in the polling station.
Ballot papers at polling stations - folded to assist with check of ballot paper number before being placed in the ballot box and to ensure secrecy of the ballot.	Will Tuckley/Louise Stamp	Mar-18	On Target	50%	Waiting for supplier to provide quotation. The decision to confirm if this is required will be made by RO by end of January 2018.
Full review of count procedures and paperwork in consultation with EC	Will Tuckley/Louise Stamp	Jan-18	On Target	20%	Currently undertaking a review of Count venues. Due to it being a combined election, the location size and security are of paramount importance. Count processes to be reviewed and documented including the use of grass skirt counting method for mixed votes and improving the layout of the count venue.
Count venue booked	Will Tuckley/Louise Stamp	Jan-18	On Target	50%	Provisionally booked the Excel Centre but other venues are being explored too.
Dedicated count training for accountants using Xpress count module	Louise Stamp	Jan-18	On Target	20%	Still on target. The Joint training to take place early 2018 with Haringey.
Enhanced mandatory training for count staff before taking up roles. To include dedicated training on count procedures.	Will Tuckley/Louise Stamp	Mar-18	On Target	20%	Training rooms and session have been booked. To include count demonstration for all new count staff.
Enhanced security measures including photo ID checks at count; non-Council security staff; non-transferable security wristbands	Will Tuckley/Louise Stamp	May-18	On Target	20%	Front of house security identified for VIP's and with political party representatives. Meeting to be held to go through procedures.
Platform area for RO and Accountants to ensure visibility of count area	Will Tuckley/Louise Stamp	Jan-18	On Target	20%	To be identified when count venue confirmed.

Activities	Lead Officer	Deadline	Status	%Comp	QUARTER 3 COMMENTS
Review of Media Pack to ensure up-to-date information provided	Andreas Christophorou/Kelly Powell	Jan-18	On Target	20%	Meeting to be arranged with Communications in January/February 2018.
2. Participate in pilot ID scheme					
Key Milestones					
Meeting Government Officials to discuss pilot voter identification scheme proposal	Will Tuckley/Louise Stamp	Feb-17	N/A	0%	These actions are no longer required as TH is no longer participating in the ID Pilot Scheme.
ID at polling stations - extensive awareness campaign informing electors what ID must be produced at polling stations to enable them to cast their vote (include sanction)	Andreas Christophorou/Kelly Powell	Jan-18	N/A	0%	These actions are no longer required as TH is no longer participating in the ID Pilot Scheme.
Identification of electors who have already provided evidence to support their registration application	Louise Stamp	Jun-17	N/A	0%	These actions are no longer required as TH is no longer participating in the ID Pilot Scheme.
Liaise with partners for possible provision of Electoral ID Cards/Letters	Will Tuckley/Louise Stamp	Dec-17	N/A	0%	These actions are no longer required as TH is no longer participating in the ID Pilot Scheme.
Additional information provided on poll cards	Louise Stamp	Feb-18	N/A	0%	These actions are no longer required as TH is no longer participating in the ID Pilot Scheme.
Additional staff identified for polling stations to act as 'meet and greet' to check that suitable ID is available and assist with queues	Louise Stamp	Jan-18	N/A	0%	These actions are no longer required as TH is no longer participating in the ID Pilot Scheme.
Include training for PO's and PC's for ID and signature verification checks	Louise Stamp	Feb-18	N/A	0%	These actions are no longer required as TH is no longer participating in the ID Pilot Scheme.
Communications					
Activities	Lead Officer	Deadline	Status	%Comp	
3. Develop and deliver Communication Strategy for 2017-18					
Key Milestones					
Launch new weekly staff newsletter	Andreas Christophorou	Apr-17	Completed	100%	We have made improvements to the planning of our weekly newsletter, which now includes an article list forward planner. We have also developed the content, with more social articles from staff, Cabinet updates, and updates from ICT and HR on learning and development opportunities. During August we hit a 73% open rate – the top three articles were Employee Spotlight, CE's message (Strategic Plan) and Social Events roundup. During the last quarter the top two read articles were the Chief Executive welcome message and the employee spotlight. The average open rate is 64%.
Commission media consumption Survey	Andreas Christophorou	Apr-17	Completed	100%	The survey was completed in September and covers media consumption habits of our residents based on a representative sample of around 940 people. It covers press and broadcast media, social media, website, Our East End and campaigns. It has been shared with the Communications Team which is using it to better target our audiences for different communications and campaigns. The results will also be shared with members and CLT.

Activities	Lead Officer	Deadline	Status	%Comp	QUARTER 3 COMMENTS
Build a range of communication infrastructure	Andreas Christophorou	Jul-17	Completed	100%	This has been completed as planned in the Communications Strategy. It includes a newsletter, internal newsletter, plasma screens for internal and external use, poster frames, planning grids, communications protocols and processes, new social media accounts and the use of film and pictures. This work will continue. Next up we are putting out to tender new contracts for street advertising which will include council advertising, better use of channels and advertising at council buildings, online communities and a social media monitoring and engagement service.
Develop Intelligence Newsletter allowing better targeting of information to local people	Andreas Christophorou	Dec-17	Completed	75%	Gov Delivery Company procured. Setting up of E-Newsletter is on schedule for December 2017. This will put all council newsletters into one portal and segment our residents so that they can receive information from services and communications about specific areas of interest.
Launch new Intranet Site	Andreas Christophorou	Mar-18	On Target	30%	Research phase completed. The next phase is to work with directorates to understand their needs and then choose the scope of a product that meets our needs. We are aiming to go to procurement by end of March 2018. The timeline for implementation beyond that depends on the scope of the software we want to bring in and the migration involved.

4. Procurement of statutory notices

Key Milestones

Invitation to tender	Andreas Christophorou	Feb-17	Completed	100%	This has been completed as planned.
Evaluation	Andreas Christophorou	Feb-17	Completed	100%	This has been completed as planned.
Contract award	Andreas Christophorou	Apr-17	Completed	100%	This has been completed as planned.
Contract mobilisation	Andreas Christophorou	May-17	Completed	100%	This has been completed as planned and reported in the last quarter update.

Property

Activities	Lead Officer	Deadline	Status	%Comp	
5. Deliver Asset Rental Account Action Plan					
Key Milestones					
Managers' briefing on moves procedure	Richard Chilcott	Apr-17	Completed	100%	This has been completed as planned. New moves procedure has been advertised on the Council's intranet. The new procedure will be implemented for upcoming moves.
6. Implement Community buildings programme					
Key Milestones					
Agree action plan for validation of TRAs with THH	Richard Chilcott	Apr-17	Overdue	85%	Agreement has been made with Lead Member and with THH for lettings of Community Buildings to TRA's, at a peppercorn rent. This will be subject to a validation exercise by THH to ascertain proper utilisation of the building. We aim to have this agreed by the end of February 18.
Formally transfer caretaker's facilities to THH	Richard Chilcott	Jun-17	Completed	100%	This has been completed as planned.

Activities	Lead Officer	Deadline	Status	%Comp	QUARTER 3 COMMENTS
Complete marketing and letting of vacant buildings identified for commercial use	Richard Chilcott	Jun-17	Overdue	80%	The former Santander building was included in the update for Q2 by mistake, this building is not part of the community buildings portfolio. Unit 6 in Watney Market has been vacated. We were investigating whether the building needed to have some initial strip out and repair works undertaken but it has now been agreed to take this to the market in the current condition. GVA have been appointed to undertake the marketing which is to start imminently.
Complete and open second community hub	Richard Chilcott	Jun-17	Overdue	30%	Tramshed has been identified as the second community hub. Feasibility work has been undertaken and costings are being finalised to allow refurbishment works to commence. The formal opening of the second community hub to take place in April 2018.
Establish implementation plan for third hub and wider roll-out across the borough	Richard Chilcott	Jun-17	Overdue	40%	Raines House has been identified as the third community hub. Feasibility work has been completed. Pre- application advice is being sought. Following consultation with the existing occupier on design a public consultation will take place in December. Granby Hall is now likely to be the fourth community hub. The timetable has been revised to allow negotiations to commence with the current occupiers of the building. Consultation event to take place in January and in parallel detailed design drawings will be prepared for a planning application in May. A contractor will be appointed in September with works commencing in October 2018 - ending in early 2019.
Complete and open third community hub	Richard Chilcott	Mar-18	On Target	10%	As above. The delivery of the third community hub will be delayed due to the level of refurbishment required to Raines House. Planning and heritage consent will be required. Completion of third hub anticipated to be March 2019.
Convert vacant community buildings identified for housing use to housing and transfer to THH/Homeless Services	Richard Chilcott	Mar-18	On Target	75%	Temporary community use is in place for Turin Street, approved by the Mayor, which is due to come to an end in July 2018. Housing Strategy are taking forward the Bethnal Green Cottage, the scheme is in planning awaiting a delegated decision. Start on site will be scheduled to commence for January 2018.
7. Strengthen governance arrangements					
Key Milestones					
Review of revised governance arrangements	Richard Chilcott	Sep-17	Completed	100%	Template for new governance arrangements has been signed off and is now fully operational.
8. Asset reviews and service delivery plans					
Key Milestones					
Complete review of depot provision across the borough	Richard Chilcott	Sep-17	Overdue	60%	Specialist consultants have been appointed to deliver this activity and work on the feasibility work has started, this is due to be completed by January 2018.
Complete review of leisure facilities across the borough	Richard Chilcott	Mar-18	On Target	10%	Working with colleagues in culture learning and leisure and finance to progress as required to match service delivery plans
9. Complete audit of assets					
Key Milestones					
Complete audit, specifically any additional requests for information or documentation following visits in 2016/17	Richard Chilcott	Jun-17	Completed	100%	This has been completed as planned.

Activities	Lead Officer	Deadline	Status	%Comp	QUARTER 3 COMMENTS
Complete any regularisation work required (e.g. enter into leases)	Richard Chilcott	Dec-17	On Target	75%	Asset managers are assigned to progress cases, which are at a variety of stages. In some cases heads of terms for new occupation agreements have been issued to be progressed to Legal Services. In others alternative action is being progressed to achieve regularisation

Grants					
Activities	Lead Officer	Deadline	Status	%Comp	
10. Complete review of Third Sector Team					
Key Milestones					
Review of Third Sector Team completed	Steve Hill	Mar-17	Completed	100%	This has been completed as planned.
New team structure finalised	Steve Hill	Mar-17	Completed	100%	This has been completed as planned.
Staff / Trade Union consultation on new team structure completed	Steve Hill	Apr-17	Overdue	90%	The consultation on the new structure has been completed. The proposals have been subject to detailed scrutiny and a number of points have been raised by the unions. The response to the feedback on the consultation has been completed. The revised structure is the subject of disagreement with the unions. A joint Advisory Consultation Committee has been arranged to address the matter, so that the restructure can be implemented.
Assimilation into posts / interviews	Steve Hill	May-17	Overdue	40%	The provisional dates for completing the assimilation/interview process have been arranged for January to February 2018 as they will involve all posts in the team.
Full Implementation of new team structure	Steve Hill	Jun-17	Overdue	0%	Full implementation is anticipated to be during January to February 2018
11. Implement web based GIFTS software					
Key Milestones					
System mapping of requirements to improve management reporting, information management and analysis	Steve Hill	Feb-17	Completed	100%	This has been completed as planned.
Development of web-based solution completed	Steve Hill	Apr-17	Overdue	60%	Detailed and technical work is progressing to revise the business processes, streamline the system, ensure accessible information and reporting for members, the VCS and the public relating to grant awards and monitoring via the internet. Future proofing and being able to administer and report on MSG and other council grants are key targets in the revised action plan, which is linked to the full implementation of the new team structure
Full implementation of new web-based system	Steve Hill	Jun-17	Overdue	60%	Full implementation is anticipated to be during from February 2018 in line with the full implementation of the new staffing structure
12. Development of Grants Scrutiny Sub-Committee					
Key Milestones					
Grants Scrutiny Committee Induction and work planning	Sharon Godman	Jun-17	Completed	100%	This was used to develop the work programme for the municipal year.
Develop Grants Scrutiny Sub-Committee Work programme 2017-18	Sharon Godman	Jul-17	Completed	100%	The Grants Scrutiny Sub-Committee has met 5 times this municipal year considering a range of grants decision reports and MSG monitoring reports. The Committee is currently planning an in-depth review into physical activities for young people which will also consider grant spend.
Strengthen resident and local stakeholders involvement in Committee's Work programme	Sharon Godman	Aug-17	Completed	100%	There is on-going work to publicise the work of the Committee. All papers are published on the Council website and the meetings are open to local residents. The Committee's review work will look to engage local people to ensure their views inform the recommendations.
13. Complete commissioning of Community Cohesion Theme					

Activities	Lead Officer	Deadline	Status	%Comp	QUARTER 3 COMMENTS
Key Milestones					
Tender advert	Steve Hill / Emily Fieran-Reed	Mar-Apr 17	Completed	100%	The tender went out to advert in March 2017.
Tender evaluation	Steve Hill / Emily Fieran-Reed	May-17	Completed	100%	Interviews have been completed
Contract award	Steve Hill / Emily Fieran-Reed	Jun-17	Completed	100%	All 8 lots have been awarded and delivery began from 1 October for the final 3 lots.
Contract mobilisation	Steve Hill / Emily Fieran-Reed	Aug-17	Completed	100%	All contracts have now been mobilised and are delivering. The New Economics Foundation provided training and review to ensure that the contracts are co-delivered with the community and between the provider and Council in a way which delivers against co-production principles. Where contracts are successfully delivering we are hoping to extend by a further 7 months to bring the end date into line with MSG grants. This will enable them to be considered as part of the future grants/commissioning process.
14. Review and improve working of Grants Determination Sub-Committee					
Key Milestones					
6 - month review of the Grants determination Sub-Committee	Matthew Mannion / Steve Hill	Sep-17	Overdue	10%	This review will be progressed following the outcome of the wider grant policy review before finalising a specific review of the Sub-Committee.
Forward plan implemented to set out future work plan	Matthew Mannion / Steve Hill	On-going	Completed	100%	This has been completed as planned.
Grants Determination Sub-Committee away-day	Matthew Mannion / Steve Hill	Sep-17	Overdue	0%	The away day will take place once the wider grants review process has been completed.
Grants Determination Sub-Committee Members development seminars	Matthew Mannion / Steve Hill	On-going	Delayed	0%	This is being fed into the wider review of the Member Development Programme currently being undertaken and will also be considered as part of the Member Induction process after the elections in 2018.
15. Strengthen grants management and work strategically with voluntary and community sector					
Key Milestones					
Complete audit of grants monitoring	Minesh Jani	Oct-17	Completed	100%	Audit completed. Report has been discussed with the service and recommendations will be taken forward.
Review and update the Council's grants policy, working closely with services	Sharon Godman	Mar-18	On Target	20%	Co-production programme to produce new grants policy is now under way working with TH Council for Voluntary Service. First stage to develop policy framework will be complete by Christmas and on target for consideration by Cabinet in March 2018. Second stage of co-production to develop the detailed scheme and procedures will begin in the New Year with a view to launching the new programme early in the summer.
Work with the voluntary sector to develop a voluntary sector compact	Sharon Godman	Mar-18	On Target	20%	Some work has been completed to follow up initial work carried out early in 2017. Further discussion with the VCS will be carried out so that the new Compact can be considered alongside the new grants policy and replacement programme for the current mainstream grants.
Undertake comprehensive review of contracts and grants to inform the development of the Council's new approach to commissioning	Zena Cooke	Mar-18	On Target	20%	Engagement has been undertaken with Commissioners across the Council and also research on best practice examples. A working Group has been formed which will take forward this work. This work is also being aligned to the development of the wider Grants Policy.

Organisational Culture

Activities	Lead Officer	Deadline	Status	%Comp
------------	--------------	----------	--------	-------

Activities	Lead Officer	Deadline	Status	%Comp	QUARTER 3 COMMENTS
16. Permanent recruitment to the post of Corporate Director Governance					
Key Milestones					
Advert	Will Tuckley	Jan-17	Completed	100%	This has been completed as planned.
Long-list Interviews	Will Tuckley	Feb-17	Completed	100%	This has been completed as planned.
Short-list Interviews	Will Tuckley	Mar-17	Completed	100%	This has been completed as planned.
Appointment confirmed	Will Tuckley	Apr-17	Completed	100%	This has been completed as planned and reported in Q2.
17. Complete review of Constitution					
Key Milestones					
Constitutional Working Group review parts 5,6 and 7	Asmat Hussain	Apr-17	Completed	100%	Reports went to GPC on 12 October 2017 with a revised Council Procedure Rules and Member/Officer Relations Protocol. Reports agreed by Council on 20 November 2017.
Amendments to General Purpose Committee	Asmat Hussain	Apr-17	Completed	100%	On 18 May 2016 Council agreed to establish a new enlarged GP Committee incorporating the Human Resources and Appeals Committees. A revised Terms of Reference were agreed at that time. On 17 May 2017 Council established the GP Committee for the municipal year 2017/18 under the same Terms of Reference
Full Council approval of parts 4 to 7	Asmat Hussain	May-17	Completed	100%	Council has approved all of Parts 4 to 7 except Part 4.1 (Council Procedure Rules) and Part 5.2 (Member/Officer Relations Protocol). Reports agreed by Council on 20th November 2017 for approval
18. Recruitment of seniors officers to complete new corporate structure					
Key Milestones					
Advert	Will Tuckley	Jan-17	Completed	100%	This has been completed as planned.
Short-listing	Will Tuckley	Feb-17	Completed	100%	This has been completed as planned.
Interviews	Heather Daley	Mar-Apr 18	Completed	85%	The following senior posts are covered on an interim basis: - CD Place (internal acting up arrangements in place for 12 months to July 2018 - review to take place at that time) - DD Adult Social Care - DD Commissioning & Health - DD Children's Social Care (substantive post holder on outward secondment)
19. Implement actions from Clear Up Project					
Key Milestones					
Publish report	Asmat Hussain	Apr-17	Completed	100%	This has been completed as planned.
Report and recommendations to Full Council	Asmat Hussain	Jun-17	Completed	100%	This has been completed as planned.
Implement recommendations from Clear Up Project	Asmat Hussain	July 17 onwards	On Target	30%	A report went to CLT on 20 September 2017 where it was agreed the progress reporting will be quarterly to CLT and reports will be presented to Cabinet; the due process allowing OSC to have sight of the content. Further, reports should only go SAC if there are Clear Up matters relating specifically to a Member conduct issue. Similarly, any matter relating to Audit should potentially go to the Audit Committee subject to further discussion
Review progress against implementation	Asmat Hussain	Quarterly	On Target	30%	As per above - the next report to CLT will be going in January 2018

Activities	Lead Officer	Deadline	Status	%Comp	QUARTER 3 COMMENTS
Review Whistleblowing arrangements and implement new scheme	Heather Daley	May-17	Completed	100%	A Report went to GPC on 12 October 2017 with a revised Whistleblowing Policy, Procedure, Guidance for Managers and Guidance for Investigators as well as Action Plan for the implementation of a more effective whistleblowing framework. The Whistleblowing Policy and supporting documents have been relaunched with the widest possible audience. All political group Leaders will be asked to encourage the promotion of the policy within their group membership. The Audit Committee will be the responsible committee for the oversight of Whistleblowing and will be asked to assess the effectiveness of the Policy as well as monitoring the implementation of the policy. An e-Learning module has been prepared and is to be added to new Learning Management System (LMS) as well as forming part of the Learning and Development Core Offer training packages for all staff and Members. It will be mandatory for officers.
20. Review employment policies and practices and implement them					
Key Milestones					
Project Group formed and policies prioritised for review	Heather Daley	Jan-17	Completed	100%	This has been completed as planned.
Workshops with key stakeholders held to identify issues	Heather Daley	Feb-17	Completed	100%	This has been completed as planned.
First draft proposals developed on good practice and procedural amendments	Heather Daley	Mar-17	Completed	100%	Engagement with trade unions informally has occurred
Development of detailed changes and stakeholder engagement	Heather Daley	Apr-17	Overdue	80%	Briefing paper considered by GP Committee on 12 October; A further paper is planned to go to BVIB on 18 December; and engagement with the trade union is planned from Q4 onwards A cross referencing with 6 x emerging key themes within a revised HR Strategy has now occurred. A cross referencing with the review of Whistleblowing Policy/Procedure is taking place.
Implement changes to practice through (a) BP training (b) management and staff training	Heather Daley	(a) Sept-17	Overdue	10%	Interim resource secured in October and quality assurance of ER casework and records being undertaken.
21. Develop and implement refreshed employee values					
Key Milestones					
Staff survey completed	Heather Daley	Jan-17	Completed	100%	This has been completed as planned.
Focus Groups	Heather Daley	Feb-17	Completed	100%	This has been completed as planned.
Revised values developed and: (a) communicated (b) staff engaged via their managers	Heather Daley	Mar-Apr 17 (a) August (b) By October	Completed	100%	Core values launch week held in October across different Council sites. Engagement tool publicised to all managers. Significant engagement achieved and further on going activities planned.
22. Deliver Year 1 of Smarter Together Programme					
Key Milestones					
Resource programme and project roles	Heather Daley	May-17	Completed	100%	This has been completed as planned.
Programme plans mapped to MTFS to ensure benefits are realised	Neville Murton	Jun-17	Completed	100%	This has been completed as planned.

Activities	Lead Officer	Deadline	Status	%Comp	QUARTER 3 COMMENTS
Change managed and staff engagement maintained and measured via staff pulse surveys	Heather Daley	Jan-18	On Target	45%	Conversation groups are in place to engage staff in upcoming changes. Programme Managers attended CE Roadshows to provide an update on the programme/increase interest in joining conversation groups. New Communications Officer appointed and discussions with DD Communications to increase interest and engagement in the programme by better defining and communicating the look and feel of the end goal.
Year 1 MTFS benefits realised via Programme	Neville Murton	Mar-18	On Target	60%	Quarter 2 budget monitoring information has been presented to the Cabinet meeting in November 2017. This includes the growth and savings tracker information which has identified some aspects of slippage and some where delivery is at risk. This has been fed into the 2018/19 budget setting process to ensure that compensatory resources are identified to ensure that the Council's budget remains balanced over the MTFS period
Smarter Together Programme plans delivered	Neville Murton	Mar-18	On Target	60%	The Smarter Together programme has moved into delivery stage. Activity is now underway to deliver a series of quick wins to manage demand and achieve efficiencies within this financial year to support achievement of savings targets. In parallel, we are continuing work on change initiatives identified in the MTFS and the invest to save initiatives to achieve our vision of becoming an outcomes-based organisation. A number of controls have been introduced to make sure our priority change initiatives are sufficiently resourced and progress against plans is expedited. We have increased our efforts to manage risks and dependencies on early warning signals and triggers for senior leadership escalation and attention. A rigorous process for managing benefit delivery has been agreed. The iterative process of benefit validation has commenced to provide assurance that benefits are on track, being monitored effectively and instances of over or under delivery are quickly identified and acted upon. A benefits dashboard is being developed to strengthen the monitoring process for MTFS and other council efficiency initiatives
23. Ensure Council more outward focussed and review feedback from external stakeholders					
Key Milestones					
Ofsted Inspection - Review recommendations and develop improvement action plan	Debbie Jones	Apr-17	Completed	100%	This has been completed as planned.
Review Annual Residents Survey 2017	Sharon Godman	May-17	Completed	100%	This has been completed as planned.
Establish regular meetings of Tower Hamlets Partnership	Sharon Godman	Apr-17	Completed	100%	This has been completed as planned.
Investors in People Gold Accreditation	Heather Daley	Dec-17	On Target	80%	IIP staff survey completed. The results will form part of the end assessment report. Staff have been interviewed by the assessor over a two week period, week commencing 27 Nov 2017.
ADASS Peer Review	Denise Radley	Apr-17	Completed	100%	This has been completed as planned and reported in Q1.
Undertake a programme of improvement work with LGA	Sharon Godman	Apr 17- Mar 18	On Target	50%	The Corporate Peer Challenge proposals was agreed by the Best Value Improvement Board at their last meeting. Planning for this is currently underway and will be held in June 2018. A Members Seminar was jointly delivered with the LGA on Members role in Children's Services. Discussions will be held with LGA about further areas of review and improvement work.
24. Complete phase 2 of Officer Schemes of Delegation					
Key Milestones					

Activities	Lead Officer	Deadline	Status	%Comp	QUARTER 3 COMMENTS
Report to Council on Constitutional changes including in respect of revisions proposed to Parts 3.7 and 3.8 of the Constitution and which relate to Limitations and Delegated Decision Making – General Principles respectively; and on Directorate Scheme of Management	Asmat Hussain	Jun-17	Overdue	75%	Parts 3.7 and 3.8 have been revised and approved by Council. In retrospect, the deadline specified for this was very inaccurate. The work on the Schemes of Management etc. could only be undertaken once the main body of the Constitution had been reviewed and approved by Council. The Corporate Scheme of Management is being reviewed and will be reported to CLT by the beginning of Q4 and reported to Council in 2018.
Circulate revised proposed Officer Scheme of Delegations to Corporate and Divisional Directors	Asmat Hussain	Jul-17	Overdue	0%	This will be considered once the Corporate Scheme of Management has been finalised
Corporate Director and Monitoring Officer sign off on respective Officer Scheme of Delegations for Directorates	Asmat Hussain	Sep-17	Overdue	0%	As per above
Report to Cabinet on the final Officer Scheme of Delegations	Asmat Hussain	Nov-17	Overdue	0%	As per above
Report to General Purposes on the final Officer Scheme of Delegations	Asmat Hussain	Nov-17	Overdue	0%	As per above
Report to Council on the final Officer Scheme of Delegations	Asmat Hussain	Nov-17	Overdue	0%	As per above
25. Review and implement Member/Officer Development work programme					
Key Milestones					
Review and update Planning Code of Conduct	Asmat Hussain	Apr-17	Completed	100%	This has been completed as planned.
Review and Update Member /officer Protocol	Asmat Hussain	May-17	Completed	100%	This has been reviewed and updated and reports have gone to GPC on 5 July 2017 and 12 October 2017 and to SAC on 19 October 2017. Report agreed by Council on 20 November 2017
Corporate Induction to include session on Member and Officer Protocol	Asmat Hussain	Jun-17	Completed	100%	The revised Member/Officer Relations' Protocol will be cascaded down to DLTs, SMTs and Team Meetings. It will also form part of the Induction for both Members and new members of staff. Corporate Inductions include a session on Member/Officer Protocol delivered by the Corporate Director Governance.
Develop and agree Member to Member protocol	Asmat Hussain	May-17	Completed	100%	This has now been included in the Member/Officer Relations Protocol and which was agreed at GPC on 12 October 2017 and to SAC on 19 October 2017. Report agreed by Council on 19 November 2017.
26. Declarations of Interest - Members & Officers					
Audit of 2016-17 Staff Declarations of Interest & follow up in six months	Minesh Jani	Apr 17 & Oct 17	Completed	100%	Findings reported to the Audit Committee.
Follow up on audit of management and control of staff hospitality and gifts	Minesh Jani	May-17	Completed	100%	This has been completed as planned.
Annual Officers Declaration of Interest 17-18	Heather Daley	Jun-17	Completed	80%	This is being completed as part of the Personal Development Process for all staff.
Audit of 2017-18 Staff Declarations of Interest	Minesh Jani	Dec-17	On Target	50%	A follow up review has been completed and reported. Compliance with the requirements for staff declarations of interest is now embedded as part of management controls.
Annual Members Declaration of Interest	Asmat Hussain	Dec-17	On Target	50%	This is to be undertaken in December 2017

Best Value Improvement Board

TITLE	Author	ITEM NO	Date
Children's Services Improvement-progress report	Anthony Walters- Programme Manager, Children's Services Improvement		18/12/2017

1 Summary

1.1 This report provides an update on progress in delivering improvements to Children's Services in response to the report published by Ofsted in April 2017 which rated our services 'inadequate'. The Council's improvement plan aims to achieve a standard of 'good' by April 2019, which is the minimum our children and families deserve.

1.2 The body of this report includes commentary on progress in the four themes of our improvement plan at the end of its first stage, 'laying the foundations.' Whilst we have met most of the aims of this first stage, giving us a firm foundation for improvement, there remain significant challenges in ensuring that the service improves to meet a 'good' standard and sustains this improvement. The focus in our next stage will be to build on the progress made so that improvement is achieved and sustained.

2 RECOMMENDATIONS

2.1 The Best Value Improvement Board is recommended to:

- Note the progress made in delivering the children's services improvement programme.
- Note the next steps in the improvement journey which will be updated on in the next report.

3. DETAILS OF REPORT

- 3.1 In April 2017, Ofsted published its report rating our services for children in need of help and protection, children looked after and care leavers and the local safeguarding children board inadequate overall (but with some areas requiring improvement.) Subsequently Cabinet agreed an improvement plan on 27th June which has now been agreed by the Department for Education and Ofsted.
- 3.2 The improvement plan responds directly to the 15 recommendations identified in the Ofsted inspection report. It is an operational tool used by managers and frontline staff to drive our improvement activity which, crucially, focuses on the impact changes will have for vulnerable children. It is monitored and updated on a monthly basis by the Children's Services Improvement operational board, chaired by the Director of Children's Services, and every six weeks by our independently chaired improvement board. Quarterly updates are reported to Best Value Improvement Board. The first quarterly update, covering the period from April to June 2017, was considered by Best Value Improvement Board on 11th September and this second update report details progress made between July and the end of September 2017.
- 3.3 In July 2017 the Department of Education (DfE) appointed Lincolnshire and Islington councils as our practice partners (PPs). The role of the PPs is to support us in our improvement journey by acting as external expert advisors. They will provide regular reports on progress which will be shared with the DfE. The focus of their support will be in the following areas where they have specific expertise that the council can learn from:
- Early help
 - Workforce strategy
 - Leadership and governance
 - Commissioning
 - Finance
 - Looked after children
- 3.4 The council aims to achieve at least a 'good' rating for its children's services within two years, by April 2019. This is an ambitious undertaking given the extent of failings identified in the Ofsted report and the level of change required. Our improvement plan sets out a three stage journey to achieving this aim. The end of September marked the end of the first stage, 'Laying the Foundations.'
- 3.5 The table below shows overall progress in the aims that we set for this first stage. This work has put in place the foundations to ensure that

improvement is built upon and sustained over the length of the programme:

Our aim	Progress and outcome
<p>Complete data cleansing to ensure that we have accurate management information</p>	<p>Data has now been cleansed across all areas of the service, this means that we have an accurate picture of performance to enable effective oversight of our services. Regular monitoring of data at child level, and case auditing activity, means that we now have greater control of data quality going forward and can actively tackle drift and delay in cases – a key issue highlighted by Ofsted. The extent of the problems with data quality before our improvement programme started means that in many areas reported performance has initially declined. We expect to see improvements over the next phase of the improvement programme.</p> <p>The availability of accurate data and the improved oversight this brings, is fundamental in ensuring that children receive appropriate and timely support and will support improved outcomes across the service.</p>
<p>Establish governance and performance management arrangements</p>	<p>The governance structure is in place, as reported in detail in the last quarterly update. Improvement activity is overseen by an independently chaired improvement board that includes elected members, senior council officers and partners. Progress is reported regularly to the corporate leadership team and elected members, including quarterly updates to Cabinet, Best Value Improvement Board and Overview and Scrutiny.</p> <p>Performance management arrangements are being embedded operationally through a system of performance surgeries using child level data. This is also supported by a programme of quality assurance activity including case audits, dip sampling and visits to services by senior managers and elected members.</p> <p>These governance and performance management arrangements ensure that there is clear leadership, accountability and</p>

Our aim	Progress and outcome
	transparency in our improvement journey and that children receive appropriate and timely support.
Put in place 'back to basics' training for social work staff	<p>This training started in October and the programme will be completed by December. Feedback from staff so far has been largely positive. We are developing further training to be delivered from January in line with the development of our social work model (see below).</p> <p>Improving the skills of our workforce will ensure that children and families receive better quality support that is effective in meeting their needs.</p>
Complete our initial recruitment campaign and workforce strategy	<p>The initial recruitment campaign was reported in the last quarterly report. We have now launched a rolling recruitment campaign which has been refocused to better attract social work staff to work in the borough. We have particularly attracted candidates at service and team manager levels, and have successfully recruited to all vacant team manager posts subject to clearance. This is positive, but we need to do more work to bring in excellent social workers. Our workforce strategy has been completed in draft form but is subject to some further work before its completion. Effective implementation of the workforce strategy will ensure that we have a stable workforce that is equipped with the skills needed to provide an effective and timely service meeting the needs of children and their families.</p>
Restructuring our children's social care service to improve management and accountability	<p>The service has been restructured into smaller team units, which are modelled on consistent and manageable caseloads and with clear accountability to a single team manager. This will improve management oversight resulting in a better grip of casework. The new structure went live on 1st October. Although it is too early to say whether this has impacted on performance, feedback from staff has been positive.</p> <p>The restructure will improve the management of</p>

Our aim	Progress and outcome
	casework across the service by ensuring that social workers have manageable caseloads and that management oversight is improved.
Complete our early help review with clear implementation plan	The review has been completed and implementation of its recommendations is underway. This will ensure that there is a more effective and joined up response to the needs of families so that we can help them before they need social care intervention.

3.6 The next stages on our improvement journey are as follows:

Stage 2- Embedding sustained improvement

By March 2018, we will be implementing our workforce strategy, have made changes to our delivery of early help services and be using performance data and qualitative case audits to show progress and identify areas for further improvement.

Stage 3- Continuous improvement to a ‘good’ children’s service

Between April 2018 and March 2019 we will see a stabilised workforce with permanent posts filled and turnover reduced, and continuous improvement in performance data and qualitative audits towards a good service.

3.7 Our progress will be monitored by Ofsted through quarterly monitoring visits. The first of these visits took place on 30-31 August. They found that considerable progress has been made to improve the service, although at this early stage in the improvement programme there remain challenges in ensuring that this progress is consistent across the service and sustained. In their feedback letter, they said:

“...the evidence gathered during this visit has identified a substantial recent improvement in the quality of practice and management oversight in both the MASH and the AI service. Many of the changes are very recent and need to be embedded. Senior leaders now have a more accurate awareness and overview of key strengths and weaknesses across the service. Significant challenges remain to further develop the workforce, particularly to ensure the recruitment and retention of staff in order to increase capacity. Nevertheless, leaders and managers demonstrate considerable determination, commitment and tenacity to embed and sustain these changes while simultaneously addressing the areas of poor practice.”

- 3.8 Ofsted noted the considerable progress that had been made in the following areas:
- Stronger partnership working in the Multi-Agency Safeguarding Hub, where concerns about children are first raised e.g. by schools, the police, other agencies or families.
 - More effective processes and decision making, ensuring urgent cases are prioritised with others processed in a timely way
 - Improved quality of decision-making in the assessment team, with children seen more quickly and as often as needed, and more children-centred assessments and plans
 - Better management oversight of cases ensuring that social workers are given clear direction to prevent drift and delay and improve quality of practice
 - A more thorough understanding of the effectiveness of casework through improved systems for the use of management information and casefile audits.
- 3.9 Ofsted's second monitoring visit took place on 12th and 13th December. This focussed on our Family Support and Protection service. We have not yet received formal feedback from this visit.
- 3.10 On 27th June 2017, the Mayor in Cabinet approved our summary improvement plan, setting out the 10 components of a successful children's service and our vision of what a 'good' service will look like. To give them focus, the objectives and actions that are being implemented to achieve this vision are grouped under 4 themes that directly relate to the findings of the Ofsted inspection. This report sets out the contribution that our improvement plan and each of its themes is making towards this vision.
- 3.11 Additional capacity has been provided to the service to ensure that rapid progress can be made whilst maintaining day to day service provision. An experienced interim Divisional Director for Children's Social Care has been appointed to implement operational improvements and provide leadership in our improvement journey. A new Divisional Director post has been created and permanently recruited to which covers children's commissioning, including social care placements and early help, which further adds to capacity at senior management level. Additional capacity has also been put in place at service manager level. The budget for Children's Services has been increased by £5.2m in 2017-18. Further one –off investment is also being made to support the implementation of the improvement plan. The budget for this will be finalised by January 2018.

3.12 The following paragraphs set out in more detail the progress that has been made in each of the four themes of our improvement plan.

Theme 1- Leadership, Management and Governance

3.13 The focus in this part of the plan has been to implement a robust governance structure with a supporting performance management framework, a workforce strategy and address sufficiency issues in relation to emergency and unplanned placements. This will contribute to the following components of our vision:

- A whole council vision for excellence
- An outward facing organisation and culture
- Corporate and political support and an ambition for excellence
- Strong member- officer relationships based on trust and constructive challenge
- A clear 'golden thread' from the political leadership through to the frontline
- Strong and dynamic leadership throughout the organisation
- A permanent and stable workforce with capacity and resources
- Strong coherent partnerships at strategic and operational level

3.14 As reported above, governance and performance management arrangements have been put in place as part of phase 1 of our improvement programme. In addition, political leadership and knowledge of children's social care has been further embedded, through two seminars for all Members; a planned seminar specifically on Child Sexual Exploitation; practice visits for the Mayor, Lead Member and Scrutiny Lead; spotlight sessions at Overview and Scrutiny Committee; regular discussion at Cabinet and pre-Cabinet meetings; verbal briefings by the Director for opposition Members; and fortnightly meetings between the Mayor, Lead Member, Chief Executive and Corporate Director, alternately attended by the independent Improvement Board Chair.

3.15 Staff recruitment and retention remains a challenge. In October, 35% of posts across the service were filled by agency staff, rising to 75% in the 'front door' teams within Assessment and Early Intervention. This is due to the competitive nature of the market for qualified social workers, coupled with the pressure of increased workload and the drive for improvement post Ofsted. Since our last quarterly report, we have refocussed our recruitment campaign, streamlined recruitment processes and have attended a high profile social work recruitment fair in November, where we attracted a high level of interest and conducted pre-screening interviews. We have also attracted more of our agency social workers to move into permanent posts to introduce further stability in the workforce.

The vacant posts in the senior management team in Children's Social Care that are currently occupied by interim staff have been recruited to subject to clearance. There has been a good response and we expect to fill all of these posts through the current round of recruitment. Enhanced support is being put in place for newly qualified staff to ensure that retention is improved as part of the medium to long term strategy to 'grow our own' staff.

- 3.16 Our 'back to basics' training programme is being delivered and will be completed by December 2017. This will be followed with a course of training in systemic social work practice. These courses of training are supplemented by ongoing training in specialist areas such as recognising and responding to child sexual exploitation and Domestic Abuse. This programme will ensure that the knowledge and skills of our staff are increased to address issues raised by the Ofsted inspection, whilst also supporting our staff retention strategy.
- 3.17 Our workforce strategy is currently in draft form. It sets out the medium to long term approach to developing a sustainable and high skilled workforce and our vision to make Tower Hamlets one of the best places to be a social worker. While the strategy has not yet been completed, work is already underway on key elements to ensure that we move towards a stable workforce as quickly as possible.
- 3.18 Sufficiency of emergency and unplanned placements remains an area of concern. Too many children experience having to move between different placements, leading to instability and disruption. Our sufficiency strategy has now been completed, addressing the availability of suitable residential and foster care placements for our current cohort of looked after children. The strategy also introduces new 'edge of care' services for families with older children who are likely to enter the care system where appropriate support for the family may be able to prevent this, enabling them to stay at home. This will improve outcomes for these children as well as reducing demand for care placements helping us to better manage the budget for children's social care.
- 3.19 The remaining challenges relating to workforce and sufficiency of looked after children are the main focus of this theme in phase 2 of the improvement programme, as we move into completion and implementation of the two strategies outlined above.

Theme 2- A robust model of social work practice.

- 3.20 This theme is the main 'core' of our improvement plan and focusses on improvements in practice within the Children's Social Care service. The service manages all contacts received by the council where there are

concerns about a child's welfare through to statutory assessments and interventions for children. This includes the placement and support of looked after children as part of the council's corporate parenting responsibilities.

- 3.21 The theme contributes to the following components of our vision:
- A strong model of practice, with good checks and balances
 - Clear and embedded systems, processes and data
- 3.22 The council's approach to practice improvement includes greater clarity in practice standards ('what good looks like'), management action on compliance with standards and recording, and the systematic use of data and case audits to lift quality and consistency.
- 3.23 Our quarter 1 monitoring report set out the initial focus on the 'front door' of MASH and A&I. The early success of this approach was validated by Ofsted in their first monitoring visit as set out earlier in this report. Our performance monitoring and quality assurance activity shows that this improvement is being sustained and built upon, with more timely and consistent decisions meaning that children who are referred to the service get the help that they need. For example, more assessments are being completed within 45 working days, and more child protection conferences are taking place in a timely way. The proportion of children being seen by a social worker within appropriate timescales has also significantly improved. As well as being more timely, our case auditing is showing that the quality of work is improving. This means that we can be more certain that children are receiving appropriate and timely interventions to keep them safe.
- 3.24 Activity in the second quarter has focussed on achieving similar improvement in the Family Support and Protection (FSP) teams, who deal with longer term casework of children who are assessed as being in need or subject to a child protection plan. All cases held by the FSP teams have now been reviewed, to ensure that the information held about them is accurate and that they are effectively managed to ensure appropriate and timely support is in place for families and that children are kept safe. Management oversight across the service has been improved and in October, 86%, of cases had management oversight recorded in the last 8 weeks. Our target is for 90-95% of cases to receive this level of oversight and we expect to move closer to this target over the next quarter as our new organisational structure beds in. The improvements in case management across the service have resulted in an increase in the proportion of children in need that have plan in place from 51% in June 2017 to 65% at the end of October, a figure we expect to increase further

as this work progresses. Approximately 86% of these children had a review of their plan within the last six months. At the same time, the proportion of children subject to a child protection plan who had been visited by a social worker within the past four weeks increased to 90%.

- 3.25 In our last quarterly report we reported concerns about practice in relation to identifying where the 'toxic trio' of domestic abuse, parental substance misuse and mental health requires support from children's social care. Since then, daily meetings have been introduced in our Multi Agency Safeguarding Hub (MASH) to ensure that risk is appropriately identified. This is reflected in the increase in the proportion of contacts that are progressing to referral from 32% in April 2017 to 37% in September.
- 3.26 The review of our early help services has now been concluded. As a result we are now implementing changes to the way we support families before they need help from social care services, to prevent problems from escalating and manage demand in the social care system. These changes will see the implementation of a 'single front door' and multi-disciplinary, locality-based teams to ensure that the right families receive the right support in a timely way, and that resources are properly targeted to areas of need. Phase 1 of these changes will be implemented by April 2018.
- 3.27 In light of ongoing concerns about our local thresholds for social care intervention, in particular the extent to which these are well understood by partner agencies, a decision has been taken through the Local Safeguarding Children Board to adopt the Pan London child protection thresholds. This will bring us in line with most other London boroughs and help to ensure consistency. Work is underway with partners to implement the new thresholds and this will be completed by mid-December 2017.
- 3.28 Alongside this work, we are consulting with staff on a new model of social work practice following a decision to move away from the 'signs of safety' model, which Ofsted found had been poorly implemented. Initial feedback from staff about this change has been largely positive with a core group of social workers involved in developing the new model. This work will be completed by early 2018.
- 3.29 Whilst good progress has been made across this theme, there remain significant challenges in ensuring that social work practice is consistently robust. Whilst the improvements noted above are significant, performance is not yet at the level that would be expected from a 'good' service. Over the next quarter, following the action taken to address the fundamentals of performance management and quality assurance, and the restructure of the service, we expect to see sustained improvement in

all areas of work to demonstrate progress. The work that is ongoing as part of theme 1 to address our workforce challenges will be key to this as they begin to deliver a more stable and skilled workforce.

Theme 3- A sufficient and skilled workforce

3.30 This theme focusses on improvements in management oversight and supervision across all services, and in our management of private fostering cases which were highlighted as an area of concern by Ofsted. It contributes the following elements of our vision:

- Strong and dynamic leadership throughout the organisation
- A strong model of practice, with good checks and balances
- A permanent and stable workforce with capacity and resources

3.31 Management oversight in the last quarter has consistently achieved a level of performance which at 86% of cases reviewed within the last 8 weeks is an improvement from 60% in April 2017. We have not yet met our 95% target, but following the restructure of the service which was effective from 1 October and introduced more manageable case numbers for team managers, we expect this figure to improve. Training for managers is being delivered as part of our 'back to basics' programme which will further support improvement in this area.

3.32 Following the implementation of child level reporting, private fostering cases are reviewed at 3 weekly performance surgeries. Work to ensure that privately fostered children have an updated assessment has been completed and all of these children now have a child in need plan. All privately fostered children have had an audit and up to date assessment. Under the regulations, privately fostered children should have a visit every 12 weeks; as good practice the service has determined that all these children should also have a reviewed CiN plan to ensure we are meeting the needs of this cohort as identified in the assessment. New processes are in place to ensure that any child that fits the criteria for private fostering has a MASH assessment prior to be referred into the private fostering team. This is to ensure that information is shared at a multiagency level at the earliest opportunity.

3.33 *Theme 4- Quality Assurance and audit*

3.34 This theme supports the following components in our vision:

- Clear and embedded systems, processes and data
- A strong model of practice, with good checks and balances

3.35 Our quality assurance and audit programme was fully launched in August

2017 and we are continuing to use audit activity systematically to inform our improvement activity under theme 2. A further 30 auditors will have been trained in November to increase capacity.

- 3.36 As part of embedding Quality Assurance at all levels, Ofsted recommended that we take forward “Practice Week”, where senior leaders spend time with frontline social workers reviewing cases and shadowing their work with children and families. An initial Practice Day was delivered in October, attending by the Lead Member for Children’s Services, Scrutiny Lead for Children’s Services, Corporate Director and Divisional Director. A Practice Week is scheduled for late November.
- 3.37 Ensuring that care leavers have up to date and reviewed pathway plans is another subject of this theme. Whilst the proportion of care leavers with a pathway plan has been maintained at 96%, the percentage that were reviewed in the last 6 months started to improve in October but still requires significant improvement. This is under review and will be informed by the dip-sampling activity that has taken place; the Leaving Care team has been given clear guidance around expectations.

Next Steps

- 3.38 Best Value Improvement Board will receive a further update on progress in three months’ time. The key priorities for the next monitoring period, will be:
- Completing and beginning implementation of the workforce strategy, starting to address the challenge of permanently staffing the children’s social care service.
 - Implementing the sufficiency strategy, in particular the immediate actions to support families with older children that are at the point of entering the care system (on the ‘edge of care.’)
 - Consolidating and building on the improvements we have made in performance and quality across the social care service, including embedding the new ways of working associated with the new team structure.
 - Beginning our implementation of the new model for early help services.
 - Implementing the new child protection thresholds.
 - Strengthening data systems to support robust performance management and reporting, and streamline processes for staff.
 - Implementing our new model of social work practice.

4. COMMENTS OF THE CHIEF FINANCE OFFICER

- 4.1 It is acknowledged that the implementation of the Children’s

Improvement Plan will only be achieved by Council leadership providing the financial resources required for its delivery.

- 4.2 Significant additional resources have already been identified as part of the 2017-2020 MTFS; in particular total additional growth of £5.2m addressing pressure in a range of areas, most of which feature in the improvement plan.
- 4.3 Council leadership is also committed to providing one-off investment funded via Transformation Reserve to support the implementation of the improvement plan. The estimated cost of the improvement plan is being finalized and would be reported to Members in January 2018 as part of the Council's normal budget management reporting mechanism.
- 4.4 The level of the one-off funding sought will be based on detailed assessment of the costs associated with the improvement plan and the demonstrable improvements that will be achieved as a result of the investment.

5. LEGAL COMMENTS

- 5.1. The framework for Ofsted inspections of Children's Services is set out in sections 135-142 of the Education and Inspection Act 2006 ('the Act') and associated Employment and Education Act 2006 (Inspection of Local Authorities) Regulations 2007 ('the Regulations'). Ofsted's "Framework and evaluation schedule for the inspections of services for children in need of help and protection, children looked after and care leavers and Reviews of Local Safeguarding Children's Boards" ('the SIF') sets out a single assessment framework for assessing local authorities during inspections conducted under section 136 of the Act. Local authorities are graded outstanding, good, requires improvement or inadequate in each of the areas inspected.
- 5.2. In light of the Council's rating of inadequate in 2 out of the 3 areas assessed, Ofsted's "Monitoring and re-inspection of local authority children's services judged inadequate" guidance will apply. Ofsted will carry out a programme of monitoring activities, including quarterly monitoring visits, to report on the progress made by local authorities. Ofsted's lead inspector will review the Inspection Improvement Plan to ensure that it reflects the recommendations contained in the inspection report. Ofsted will usually re-inspect a local authority judged inadequate at its last inspection within two years of it submitting its action plan, usually after at least four quarterly monitoring visits.
- 5.3. In respect of the recommendations contained in the report, the Council has a duty to make arrangements to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness by virtue of section 3 of the Local Government Act 1999. This is known as its Best Value Duty.

- 5.4. The recommendations that the Best Value Improvement Board should endorse the progress made in delivering the children's services improvement programme and agree the next steps in the improvement journey, are consistent with the Council's duty to secure continuous improvement in its functions. Failure to make the necessary improvements to children's services could result in the Secretary of State appointing a Children's Services Commissioner or removing service control from the Council.

- 5.5. In carrying out its functions, the Council must also comply with the public sector equality duty set out in section 149 Equality Act 2010, namely it must have due regard to the need to eliminate unlawful conduct under the Equality Act 2010, the need to advance equality of opportunity and to foster good relations between persons who share a protected characteristic and those who do not.

BRIEFING PAPER FOR BEST VALUE IMPROVEMENT BOARD

TITLE	AUTHOR	ITEM NO	DATE
Clear Up Project Recommendations – Progress Update	Paul Greeno, Senior Corporate and Governance Lawyer ext. 3934		18th December 2017

1. INTRODUCTION/SUMMARY

- 1.1 This report is providing the Board with progress on the recommendations for further action arising out of the Clear Up Report.

2. RECOMMENDATIONS

- 2.1 The Board is asked to note the report.

3. BACKGROUND

- 3.1 The Clear Up project was established at the request of the Commissioners to conduct a review of any unconsidered allegations of improper Council decision making or impropriety in the discharge of Council functions. The project focused on allegations which related to any decisions or activity which took place between October 2010 and June 2016 (the period from the election of the first directly elected mayor to the re-launch of the Whistleblowing policy).
- 3.2 The Project was launched in September 2016, and anybody could raise an allegation to the independent Clear Up Team as long as it met the following criteria:
- The allegation referred to a decision or activity that occurred between October 2010 and June 2016;.
 - The allegation is notified directly to the Clear Up Team between Thursday 8th September 2016 and Thursday 8 December 2016 or via the Secretary of State's Commissioners, a Member of Parliament or a Councillor; and
 - Includes details of the alleged impropriety and any evidence which supports the complainant's claim. The complainant should also provide their contact details to allow a member of the Clear Up Team to discuss further the allegation.

- 3.3 An independent Clear Up Team was appointed to investigate the allegations. During the nominations window, 66 allegations were received and each were considered by the independent Team: reporting progress and making recommendations regularly to the Clear Up Board and which comprised the Chief Executive, Monitoring Officer, Corporate Director, Resources and a lead Commissioner (Chris Allison).
- 3.4 The Clear Up Board considered the final investigation reports and the draft final report at its final Board meeting on 27th March 2017. Following that meeting the report was amended to include the Board's decisions upon the final investigation reports and was finalised and published.
- 3.5 Following receipt of the Clear Up Project report the Monitoring Officer carefully considered the report and specifically Annex 1 which set out each of the 66 allegations; their finding; and the recommendations. Of those 66 it was noted that:
- 38 - Rejected (includes 1 that was also partially out of scope)
 - 11 - Out of Scope
 - 5 - Upheld
 - 11 - Partially Upheld
 - 1 ongoing
- 3.6 Even where allegations were rejected or were out of scope, the Clear Up Board considered whether there were any lessons to be learnt and made recommendations accordingly. Recommendations for action were made in respect of a total of 41 of the allegations.
- 3.7 Following receipt of the Clear Up Project report the Monitoring Officer has carefully considered the report and, in particular, Annex A and where further action was required by the Council, has allocated that action to various Corporate Directors and Divisional Directors. Attached at Appendix 1 is a spreadsheet setting Annex A and adding 2 additional columns giving the "Monitoring Officer Response" and the "Monitoring Officer Update". Relevant officers have been notifying the Monitoring Officer of actions taken and when an action has been completed.
- 3.7 The Monitoring Officer has been reviewing actions taken since May 2017 and a further 16 cases have been closed leaving 25 cases where recommendations are still outstanding.
- 3.8 Progress has still been made in respect of those remaining 26 matters. A number of the matters have more than 1 recommendation for action and 17 individual recommendations have been fully actioned but the

case itself cannot be closed as there are other outstanding actions in relation to that case.

- 3.9 Update reports are reviewed quarterly at the Corporate Leadership Team with the next report due to go on Wednesday, 17th January 2018. Following the next Corporate Leadership Team, a report will go to Cabinet.

4 COMMENTS OF THE CHIEF FINANCE OFFICER

- 4.1 There are no direct financial implications.

5. LEGAL COMMENTS

- 5.1 The Monitoring Officer has been monitoring actions taken and where an action has been completed the Monitoring Officer has ensured that all appropriate lawful steps were taken to comply with the recommendations.
- 5.2 The Council has a duty under the Local Government Act 1999 to make arrangements to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness. This is referred to as the Council's best value duty.
- 5.3 By virtue of Directions that were made by the Secretary of State on 17th March 2015 the Council was required to draw up and agree with the Commissioners a strategy and action plan for securing the Authority's compliance with the best value duty. Part of that plan included a recommendation that the Council set up a Clear-Up Team to ensure that any historic unconsidered allegations of improper Council decision making or impropriety in the discharge of Council functions are properly investigated and determined. A natural consequence of the investigation and determination is to consider the findings and implement recommendations so as to continue to demonstrate the Council continued commitment to the best value duty.
- 5.4 Pursuant to the Direction of 28th March 2017 progress upon this matter will be included in the quarterly reports to the Secretary of State upon the Best Value Action Plan and Best Value Improvement Plan.

This page is intentionally left blank

Case Ref. No.	Summary of Allegation	Dates	Clear Up Team Response	Summary of Findings	Recommendations For Further Action Agreed by the Clear Up Board	Monitoring Officer Response	Monitoring Officer Update
CU 001	Formation of Tower Hamlets Homes Allegation that Tower Hamlets Homes was formed to remove Council responsibility for housing problems and at a loss to the taxpayer.	Pre-Clear Up Period	Out of Scope	Tower Hamlets Homes was formed prior to the Clear Up period (Oct 2010 – June 2016) and the complainant did not provide further, specific allegations relating to the Clear Up period when requested. This allegation was therefore considered to be outside of the scope of the project.	No recommendations	No further action Tower Hamlets Homes was set up to separate the day to day housing management role of the Council as landlord from its wider strategic housing role. Through the ALMO Programme, DCLG offer additional resources towards the cost of achieving the Decent Homes Standard and which the Council could not otherwise access. The Government would not have consented to the establishment of Tower Hamlets Homes without clear evidence that the council has consulted its tenants and leaseholders and can demonstrate a balance of support from them for the ALMO proposal	Case closed as no further action
CU 002	Conversion of the Ben Jonson Road Retail Units from 8 to 16 units Allegation that the decision to convert the retail units gave an unfair advantage to specific individuals who would not have been able to pay the rent otherwise, and that this decision went against the residents' wishes. Allegation the decision was then effectively 'reversed' in June 2016 when it was agreed that 3 of the units would be leased to a supermarket with a six month rent free period. Allegation that both of these decisions resulted in a financial loss to taxpayers and that an intention to benefit certain individuals had caused this situation.	April 2013 and June 2016	Rejected	The Clear Up Team found that whilst the background to the situation described in the allegation is mostly supported by evidence identified, the substance of the allegation that something improper has occurred is rejected. - There was a change in the Council's approach to identifying appropriate traders for the Ben Jonson Road shops between April 2013 when a Cabinet Decision was taken and July 2016 when a Mayoral Decision and Commissioners' Decision were taken. This appears to have been partly as a result of a difference in political approach three years after the original decision and partly as a response to advice received from an external property agent. - The change in approach means that it is possible that if a supermarket is identified which wishes to lease a larger sized unit, then there may be a need to remove a breeze block partition wall that was previously built and that additional water and electricity connections have been installed unnecessarily. The potential 'wasted' costs would be less than £20,000; however a contract with a supermarket has not yet been agreed so this may not occur. The supermarket would be responsible for any further costs incurred to alter the layout of the units so there is no risk of further costs to the taxpayers. - The potential rent free period currently being discussed with a supermarket is consistent with external advice provided to the Council, and similar arrangements have also been negotiated with the tenants of the other (single) units. - There is no indication that there was any attempt to create an unfair advantage to specific individuals as alleged. The only preference shown was to the displaced previous traders who had a legal 'right to return'.	No recommendations	No further action The Summary of Findings is accepted	Case closed as no further action
CU 003	Dorset Library closure and transfer Allegation that this asset was handed to a community association by the Borough's former Mayor in 2011 or 2012, and now runs as a Mosque thereby excluding many residents on the estate.	2012 and ongoing	Rejected	The allegation is rejected, on the basis that (i) the community association was correctly selected in preference to the two other applicants through the Council's "Allocation process for Council-owned property to Third Sector Organisations" (which had been approved by the Cabinet in 2010); and (ii) that there is no requirement for the community association to grant access to the Dorset Library to other community groups. - Documentary evidence has been located which demonstrates that procedures were followed appropriately in the selection of the community association as the third sector organisation to be allocated the lease for the former Dorset Library building, and that this process involved a number of Council officers from different departments. No evidence has been identified of any involvement of the former Mayor in that decision. - The lease between the Council and the community association stated the permitted usage is "community centre" but with other wording indicating that it would also be used as a place of worship. The wording has been interpreted as permitting any usage under the planning category D1 (which includes usage such as library, community centre, nursery or place of worship). - Once the application received from the community association had been assessed against the criteria set out in the Allocation Process and the community association had been selected as the winning applicant, then no further reference was made to the information contained in the application form. This creates a risk that an organisation can complete the application form with the information that they believe will 'score points' in the assessment process and then, having been awarded the lease, actually deliver something completely different.	(1) The Legal Department should review the wording of any template lease used for third sector organisations, to consider (i) if it is sufficiently specific with regards to the anticipated usage of the building and if it would be enforceable if an alternative use was made of the building; and (ii) how requirements for diversity and inclusivity can be built into the arrangements. (2) For the future allocation of properties to Third Sector organisations, the Council's Third Sector Team should consider the relevance of the application form once a lease has been agreed, and how delivery of the submitted proposal is monitored. (3) The existing lease between the Council and the community organisation in this allegation should be considered as part of the current Main Stream Grants review.	(1) This recommendation has been referred to the Divisional Director, Legal for consideration and to action (2) This recommendation has been referred to the Divisional Director, Property and Major Programmes for consideration and to action as part of the review of the Council's Community Asset Strategy (3) No further action This already happens as quarterly monitoring reports relation to MSG looks at the lease arrangements between the Council and community organisations in receipt of such	(1) & (2) The current version of the policy and procedures for the disposal and letting of properties covers this adequately and requires input from Third Sector Team when a letting is of a community building. The user clause in the lease is typically D1 as this covers general community use as well as use as a place of worship. It is known that often properties are used in this way depending upon who the main tenant is (3) As this has been addressed, there is no further action

Case Ref. No.	Summary of Allegation	Dates	Clear Up Team Response	Summary of Findings	Recommendations For Further Action Agreed by the Clear Up Board	Monitoring Officer Response	Monitoring Officer Update
CU 004	Dorset Library closure and transfer Allegation that the library was closed and then transferred without any consultation in 2011 or 2012, with the asset being put up for bid as a business concern and awarded to a community association with a five year contract to 2017. Allegation that upkeep on the property is paid for by local taxes, and that there has been investment, but that other local groups are excluded, and not invited to the AGM	2012 and ongoing	Rejected	<ul style="list-style-type: none"> - The lease does not include any obligation to provide access to the building to other community groups. The application submitted by the community association indicated that they would work with other local groups and there is evidence that this happened between at least 2012 and 2014. - Maintenance of the Dorset Library building is not currently being paid for by the Council. However, the community association did receive £14,918.61 from the Community Faith Buildings Support Scheme between 14 August 2013 and 18 March 2015. Currently the community association is receiving payments under two grant programmes which are for "Older People Lunch Club" and "Get Involved". 			
CU 005	Improper Council disposal of Calder's Wharf / Calder's Wharf Community Centre assets Allegation that these community facilities were inappropriately disposed of by the Council.	Pre-Clear Up Period	Out of Scope	The matter raised in the allegation refers to decisions taken in advance of the Clear Up period (Oct 2010 – June 2016). Following a complaint to the Council by the complainant prior to the Clear Up Project being launched, this matter was also already being considered by the Council's Interim Monitoring Officer. It was therefore agreed with the complainant that this matter would not be considered by the Clear Up Project.	No recommendations	No further action This is a matter that the Monitoring Officer has been dealing with. Calder's Wharf was properly disposed of there is no evidence that has been provided which shows otherwise	Case closed as no further action
CU 006	Sale of Council Property - 31 Turner Street Allegation that the property was placed for sale and then removed from sale, despite bids being received offering the asking price, without proper Cabinet approvals, and that a friend of the former-Mayor was one of the bidders. Allegation that this issue has been covered up and not resolved.	2014	Partially Upheld	<p>The allegation correctly identified that there was a lack of proper Cabinet approvals in relation to the proposed disposal of this property. However, the issue has previously been investigated and responded to, procedures have changed, and there is no evidence that it has been covered up or left unresolved.</p> <ul style="list-style-type: none"> - An independent investigation was undertaken by Mazars (an accountancy firm which provides Internal Audit services to the Council) in 2015 which appears to have had an appropriate scope, and which reached conclusions that were supported by the evidence identified. The recommendation proposed by Mazars has been completed. - Until 31 March 2017, procedures were in place that any decision to dispose of property required the approval of the Commissioners and strengthened procedures have been put in place enabling the handing back of control to the Council. - No evidence has been identified that there has been an attempt to conceal the results of Mazars' investigation from the Statutory Officers. 	No recommendations	No further action This is a matter that was addressed prior to the complaint to the Clear-Up Team and the recommendation by Mazars was implemented	Case closed as no further action
CU 007	Sale of Passmore Edwards Library Allegation that (i) Limehouse Library was sold at less than market value; and (ii) that the use of Limehouse Library has changed from restaurant to student housing; and that these events have occurred as a result of corruption in the Council.	2012	Rejected	<p>Whilst the background to the situation described in the allegation is supported by evidence identified, the substance of the allegation is rejected.</p> <ul style="list-style-type: none"> - The former Limehouse Library building was independently valued prior to being marketed. The lease price paid was within the predicted range and was close to the top of the range. According to the PwC Best Value Inspection report, 12 bids were received, indicating that the process was competitive. - The Lease was agreed with the second highest bidder, on the basis of independent advice that the highest bidder was not credible and that there were significant concerns regarding the ability of the highest bidder to complete the transaction. - The Lease agreement permitted use of the property in accordance with any planning permission obtained, and did not specify any further limitations regarding what this use may be. Planning permission was obtained by the Lessee in 2014 to convert and extend the property for use as student accommodation. The only potential link between the property and a restaurant is that the Lessee is registered at Companies House as trading as "Licensed Restaurants". However, there is no indication within either the Lease or the Planning Applications that there was an intention to use the former Limehouse Library building as a restaurant. 	No recommendations	No further action The Summary of Findings is accepted	Case closed as no further action

Case Ref. No.	Summary of Allegation	Dates	Clear Up Team Response	Summary of Findings	Recommendations For Further Action Agreed by the Clear Up Board	Monitoring Officer Response	Monitoring Officer Update
CU 008	Council housing fraud Allegation that a property in the Borough was gained through a family member's links to the Council.	No dates given	Out of Scope	Although the property's address was provided, no dates were given by the complainant. The complainant stated that no further information would be provided. The Clear Up Board agreed that this matter would be best taken forward by the Council's social housing fraud team and as a result it was referred to the team by the Clear Up Project Manager. The complainant was informed	No recommendations	This is a matter being investigated by the Council's Risk Management and Continuity Planning Team and will be reviewed by the Monitoring Officer once the outcome of the investigation is known	04/05/2017 - An email was sent by the MO to the Chief Executive and all Corporate Directors providing a copy of this spreadsheet and requesting that they advise the MO in respect of action taken 16/08/2017 - Email sent seeking update as to progress with investigation 18/09/2017 - The investigation is on going
CU 009	Cover up' or failure to investigate alleged grant fraud by a local Mosque Allegation that a referral to the Council's Corporate Investigations Team (with the Risk & Audit Service) alleging misuse of lunch club grants by a Mosque, which was also linked to Council officers, was suppressed or not followed up. Allegation that findings in the referral were leaked to the Mosque by a Council officer which resulted in threats being made	2015-2016	Partially Upheld	There is no evidence to suggest that any investigation into the Mosque was deliberately suppressed, and indeed, there was evidence to show that one issue arising in the original referral had been dealt with. However, the poor case management practices evidenced have led to either (i) allegations not being investigated or (ii) the allegations may have been considered and rejected but no rationale for this decision has been recorded. In the absence of records or detailed recollections from the Council's Risk & Audit Service, it has not been possible to prove that the original fraud referral was adequately investigated. It is understood that the Mosque is no longer provided with funding by the Council and that individuals who made, or were the subject of outstanding allegations contained within the original referral, no longer work for the Council.	(1) The Corporate Investigation Team to re-examine the allegations contained within the original referral in relation to the Mosque, in order to consider whether any retrospective investigation is required to satisfy the Council that public funds have not been misused. (2) Head of Risk & Audit to facilitate a full review of corporate investigation case management systems, investigative policy and process to ensure: - All cases are properly tracked, managed and supervised from initial logging to conclusion, to include any transfers of cases to investigators and the provision of regular updates by investigators on progress. Rationales for decisions and case closures to be fully documented. - That all cases allocated for investigation are only closed with the provision of a Final Investigation Report to evidence that a proper investigation has taken place, even if there are no adverse findings - Evidence and case documents, where possible, are recorded and organised in electronic formats within a secured shared drive, with paper records held if required for evidential purposes. (3) The specific issues detailed within the recommendations should also be tested at least annually through the standard independent auditing or assurance processes	These recommendations have been referred to the Corporate Director, Resources for consideration and to action	(1) & (3) 04/05/2017 - An email was sent by the MO to the Chief Executive and all Corporate Directors providing a copy of this spreadsheet and requesting that they advise the MO in respect of action taken 16/08/2017 - Email sent seeking update as to progress 18/09/2017 - The original allegations and findings arising from the investigation are being re-examined and will be reported to the Head of Audit and Risk Management and the statutory officers. (2) Arrangements have been made to strengthen the case management system to ensure all investigations are logged, monitored and reported. A follow up system has been developed to review recommendations raised by the corporate fraud team and for these to be reported to the Corporate Leadership Team and the Audit Committee
CU 010	'Cover up' of an investigation report into a local community organisation Allegation that an investigation report into grant funding for a local community organisation was not acted upon or covered up in the case of potential fraud involving officers.	42248	Rejected	No evidence was found to substantiate the allegation. Investigations into this organisation were undertaken in 2015 and concluded that there was no evidence to substantiate concerns relating to misuse of grants	No recommendations	No further action The Summary of Findings is accepted	Case closed as no further action

Case Ref. No.	Summary of Allegation	Dates	Clear Up Team Response	Summary of Findings	Recommendations For Further Action Agreed by the Clear Up Board	Monitoring Officer Response	Monitoring Officer Update
CU 011	<p>'Cover up' of findings relating to a local community organisation in receipt of lunch club grants</p> <p>Allegation that an Internal Audit Report issued in 2015, which raised concerns about misuse of grants awarded to the community organisation was covered up or not acted upon. The report was said to contain findings relating to the misuse of grants and threats made by Council officers to Grants officers, as well as poor conduct by a Member allegedly influencing the grants process.</p>	2015	Partially Upheld	<p>No evidence was found to substantiate the allegation that the Investigation Report was suppressed or covered up.</p> <p>However, it was found that some recommendations in the report had been acted upon or considered through informal interviews, there was limited audit trail or physical evidence to show this in the Council's case management systems or case files.</p> <p>It was also found that there was no immediate evidence that a serious allegation of potentially corrupt and threatening behaviour by a Council officer mentioned in the report, was considered or acted upon and the Council's Risk and Audit Service have been unable confirm their actions in this regard to date. The case file for the community organisation had been closed down on the case management system on the basis of an assumption that a report had been issued but without confirmation.</p> <p>There were no clear Investigation Policy or Process documents in place to assist the Clear Up Team with ascertaining what records or audit trails should be retained and how report recommendations are followed up.</p>	<p>(1) The Corporate Investigation Team to re-examine the original investigation report, in order to ensure that any issues that require investigation or action are followed up.</p> <p>(2) Officers responsible for the writing and review of Investigation Reports to ensure:</p> <ul style="list-style-type: none"> - That all investigation reports are scrutinised to ensure matters relating to poor conduct, bribery or corruption are included in recommendations and taken forward; or - That there are notes on file to evidence that such matters have been considered and discounted, with clear rationale for the decision made <p>(3) Head of Risk & Audit to facilitate a full review of corporate investigation and Internal Audit case management systems, investigations policies and processes to ensure:</p> <ul style="list-style-type: none"> - All cases are recorded on a suitable case management system from initial referral to conclusion, ensuring that all key decisions made with rationale are clearly noted. - That there is a robust tracking process following the publication of any investigation / audit report, to ensure that formal recommendations have been considered appropriately and either: (i) completed satisfactorily; or (ii) discounted with an appropriate risk based approach. Heads of Service should be clear on timescales required to formally respond to confirm that actions have been completed within this process 	These recommendations have been referred to the Corporate Director, Resources for consideration and to action	<p>(1) 04/05/2017 - An email was sent by the MO to the Chief Executive and all Corporate Directors providing a copy of this spreadsheet and requesting that they advise the MO in respect of action taken</p> <p>16/08/2017 - Email sent seeking update as to progress</p> <p>18/09/2017 - The original allegations and findings arising from the investigation are being re-examined and will be reported to the Head of Audit and Risk Management and the statutory officers.</p> <p>(2) & (3) Arrangements have been made to strengthen the case management system to ensure all investigations are logged, monitored and reported. A follow up system has been developed to review recommendations raised by the corporate fraud team and for these to be reported to the Corporate Leadership Team and the Audit Committee</p>
CU 012	<p>'Cover up' of findings relating to a local youth club</p> <p>Allegation that an audit into this local youth club receiving Council funds was covered up or suppressed in some way.</p>	Oct/Nov 2015	Partially Upheld	<p>No evidence was found to suggest that the recommendations within the Additional Findings Report (AFR) on the youth club dated November 2015 were covered up. However there is partial merit to the allegation that the report was not acted upon.</p> <p>It was found that the findings outlined in the report were considered at the appropriate level and remedial actions were proposed; however there was inadequate documented follow up or reporting back to ensure completion of these actions, some of which were not completed, or completed in full</p>	Head of Risk & Audit to ensure that there is a robust tracking process following the publication of any investigation / audit report, to ensure that formal recommendations have been considered appropriately and either: (i) completed satisfactorily; or (ii) discounted with an appropriate risk based approach. Heads of Service should be clear on timescales required to formally respond to confirm that actions have been completed within this process	These recommendations have been referred to the Corporate Director, Resources for consideration and to action	<p>04/05/2017 - An email was sent by the MO to the Chief Executive and all Corporate Directors providing a copy of this spreadsheet and requesting that they advise the MO in respect of action taken</p> <p>16/08/2017 - Email sent seeking update as to progress</p> <p>18/09/2017 - Arrangements have been made to strengthen the case management system to ensure all investigations are logged, monitored and reported. A follow up system has been developed to review recommendations raised by the corporate fraud team and for these to be reported to the Corporate Leadership Team and the Audit Committee</p>

Case Ref. No.	Summary of Allegation	Dates	Clear Up Team Response	Summary of Findings	Recommendations For Further Action Agreed by the Clear Up Board	Monitoring Officer Response	Monitoring Officer Update
CU 013	'Cover up' of investigation report into a local organisation that received Council grants Allegation that concerns with a local organisation were raised but were covered up/not acted upon. The concerns surrounded misuse of grants and untoward involvement by a Member, as well as an allegation of extremist material being found on the organisation's Facebook PAGE.	2015	Partially Upheld	<p>There was no evidence found to suggest that any formal referrals stating concerns against the organisation were made to the Council's Risk & Audit Service. However, there was a case to suggest that the allegations made in relation to the actions of a Member connected to the organisation should have been considered further and reported to the Monitoring Officer as a potential breach of the Code of Conduct for Members Section 3.2 (e). In any case, it would have been prudent for the Risk & Audit Service to formally record this allegation and the rationale for not taking the matter forward. As it stands, this matter was not acted upon.</p> <p>During the course of the Investigation, when reviewing alleged links between the organisation and Members, it became apparent that there were potential anomalies in the Register of Interests for the Member. Upon closer inspection, there are three organisations/companies where this individual may have had pecuniary interests, which were seemingly not declared. This could be considered a potential breach of Code of Conduct for Members, section 8.1.</p> <p>Under the "Other Interests - Charities" section of the Register of Interests for the Member, an organisation is listed. Within this organisation's Facebook pages an image was found posted in 2015 of a letter using Tower Hamlets headed paper, allegedly from Mayor John Biggs supporting the organisation. Spelling and grammatical mistakes on the letter indicate that the letter was forged or counterfeit</p>	<p>(1) The Head of Risk & Audit should consider, within the corporate investigation case management processes, that all allegations of wrongdoing or impropriety by officers or Members should be formally recorded, with the rationale for any issues not being investigated (or those considered under the remit of different teams) being clearly stated in records.</p> <p>(2) The Head of Risk & Audit should consider ensuring referral and investigative processes explicitly direct that all allegations against Members regarding impropriety or exerting undue influence should additionally be reported to the Monitoring Officer as per Council procedures.</p> <p>(3) The Clear Up Team has notified the Monitoring Officer of the potential breach of the Code of Conduct relating to a Member's pecuniary interests that may not have been declared to the Council.</p> <p>(4) The Monitoring Officer should raise with the Member and take any action that is required in relation to the issue that they attempted to influence an audit.</p> <p>(5) Legal Services to consider whether it is appropriate to make contact with the organisation to request the removal of an image posted on Facebook showing a seemingly forged or counterfeit letter of support from Mayor John Biggs</p>	<p>(1) This recommendation has been referred to the Corporate Director, Resources for consideration and to action</p> <p>(2) This recommendation has been referred to the Corporate Director, Resources for consideration and to action</p> <p>(3) The Monitoring Officer has advised the Member that the matter is being considered under the arrangements for dealing with complaints of breach of the Code of Conduct for Members</p> <p>(4) The Monitoring Officer has advised the Member that the matter is being considered under the arrangements for dealing with complaints of breach of the Code of Conduct for Members</p> <p>(5) This recommendation has been referred to the Divisional Director, Legal for consideration and to action</p>	<p>(1) & (2) 04/05/2017 - An email was sent by the MO to the Chief Executive and all Corporate Directors providing a copy of this spreadsheet and requesting that they advise the MO in respect of action taken</p> <p>16/08/2017 - Email sent seeking update as to progress with investigation</p> <p>18/09/2017 - Arrangements have been made to strengthen the case management system to ensure all investigations are logged, monitored and reported. A follow up system has been developed to review recommendations raised by the corporate fraud team and for these to be reported to the Corporate Leadership Team, the Audit Committee and the Monitoring Officer where appropriate</p> <p>(3) & (4) The MO has consulted with the Independent Person and a report prepared to go to an Investigation & Disciplinary Sub-Committee in September (the date is being arranged by Democratic Services) to consider whether further investigation is merited</p> <p>21/09/2017 - Report to Disciplinary Sub-Committee and no further action to be taken</p> <p>(5) This has been reviewed and is not a matter for Legal Services. This is a matter that is personal to the Mayor John Biggs and it is for him to make the request. As this has been addressed, there is no further action</p>
CU 014	Irregularity of governance and misuse of public funds concerning a local community association Allegation of ongoing irregularity in governance and misuse of public (Council) funds by individuals connected with the organisation.	During Clear Up Period	Ongoing	Following initial investigation by the Clear Up Team, this matter was referred to the Council for further investigation due to potentially criminal findings.	Referred to Council Monitoring Officer and Head of Risk & Audit following agreement by the Clear Up Board	This is a matter being investigated by the Council's Risk Management and Continuity Planning Team and will be reviewed by the Monitoring Officer once the outcome of the investigation is known	<p>04/05/2017 - An email was sent by the MO to the Chief Executive and all Corporate Directors providing a copy of this spreadsheet and requesting that they advise the MO in respect of action taken</p> <p>16/08/2017 - Email sent seeking update as to progress with investigation</p> <p>18/09/2017 - The investigation is on going</p>

Case Ref. No.	Summary of Allegation	Dates	Clear Up Team Response	Summary of Findings	Recommendations For Further Action Agreed by the Clear Up Board	Monitoring Officer Response	Monitoring Officer Update
CU 015	Suppression of an investigation following collective grievance concerning a former Head of Service Allegation that an Investigation Report issued in September 2014 as the result of a collective grievance against a then Head of Service, was suppressed at the former Mayor's request. Allegation that a further investigation was deliberately commissioned as part of this cover up, which produced different conclusions. In the meantime, the Head of Service had left the Council through Voluntary Early Retirement. A subsequent review of the Service by Mazars awarded "Nil Assurance"	2014/15	Rejected	The allegations are rejected, on the basis that (i) no evidence was found to indicate that the original investigation report was suppressed; (ii) the correct process was used to investigate the Head of Service throughout, with appropriate engagement with HR, Legal and the Corporate Director; and (iii) the Head of Service left the employment of the Council under standard severance terms under the voluntary redundancy procedure. It was found that the process for undertaking investigations into harassment, grievance and disciplinary investigations was inefficient at the time of events and led to the Head of Service being suspended for a very long period. It is noted that some of the findings highlighted in this report will be mitigated in the future by work being carried out within the Council's One HR (improvement) programme. The recommendations should be considered together with this initiative.	(1) The Council's HR Division to review the investigation process for Grievance; Combatting Harassment and Discrimination (CHAD) and Disciplinary issues with a view to ensuring members of staff are only investigated once for the same issue, with outcomes settled (not including appeals) after the first investigation. The current system whereby Grievance / CHAD investigations then lead to disciplinary investigations could be considered inefficient, wasteful of resources and public money, together with being a potential strain on all involved. (2) Consider whether it would be more efficient to centralise investigations under an appropriate Directorate where there are allegations of a complex nature or serious misconduct, to ensure independence, faster turnaround of cases, and the utilisation of investigative specialist expertise. The current system leads to delays in concluding matters as Investigation Officers for HR matters still have to fulfil their normal role objectives and, in many cases, do not have professional investigative expertise. (3) It is recommended that when an officer leaves Council employment whilst under investigation, a final investigation report is still completed and submitted to the appropriate Service Head / Director and HR, to ensure completeness of records and in anticipation of any future legal challenge to outcomes. (4) HR processes and guidance on the suspension of employees should be reviewed, to ensure that suspension periods are as short as possible	These recommendations have been referred to the Divisional Director, HR and Transformation for consideration and to action	The review and realignment of HR Policy and Procedures is underway. The first 'phase' of the review has focused predominantly on 4 key current people policies and procedures. Disciplinary; Combatting Harassment and Discrimination (CHAD)/ Grievance, Absence and Performance of employed Council staff and has considered: • current policies and procedures • application of those policies and procedures • perception and views of those who either use, or have been through these procedures - managers, TU's, HR and staff member A report went to CLT on 13/09/2017 and a report is due to go to GP Committee on 12/10/2017 12/10/2017 - A briefing report went to GP Committee on the Phase 1 review of a number of key HR policies and procedures undertaken by the HR and Transformation Team 06/12/2017 - Discussions with the trade unions are continuing through the Trade Union Forums
CU 016	Behaviour of the committee of a local Mosque Allegation concerning the behaviour of the committee of a local Mosque in relation to a planning application and other matters.	Summer 2016	Rejected	This organisation has recently been investigated by the Council's Risk & Audit team following concerns raised by a Member. The previous investigation report, a briefing note on this provided to the Chief Executive and also previous investigation findings by PwC in the 2014 Best Value Inspection have been considered, and it is concluded that sufficient work has been conducted to address any concerns	No recommendations	No further action The Summary of Findings is accepted	Case closed as no further action
CU 017	Former Mayor's communications advisors Allegation that the former Mayor employed communications advisors and that (i) there appears to be limited evidence available regarding what services they delivered for the payments made; and (ii) the payments ended suddenly when the Commissioners were appointed.	2010-2015	Upheld	The Clear Up Team found that previous investigations into this matter undertaken by PwC, as set out in the Best Value Inspection report, concluded that the appointment and monitoring of the Mayor's media advisors had failed to comply with best value duty. Other evidence published by a local blog also appears to indicate that best value may not have been achieved. However, PwC did identify evidence that the required procurement procedures had mostly been followed, and that invoices and timesheets had received approval. These findings would suggest that although the existing controls were mostly being followed, they were not effective in achieving best value.	Consideration should be given by the Council as to whether any improvements are required to increase the effectiveness of current controls in respect of Mayoral advisors, in particular considering: - Whether clear measurement of expected outputs is defined when a contract for an advisor is agreed, which is measured through KPIs or deliverables as opposed to the number of days to be invoiced; and - Activity undertaken by advisors to the Mayor (for media or any other services) is clearly defined and recorded, in order to demonstrate that it does not include any party political activity	These recommendations has been referred to the Monitoring Officer	This has been considered. The Mayor's Adviser reports to the Head of the Mayor's Office who in turn reports to the Monitoring Officer and outputs and activities are kept under review

Case Ref. No.	Summary of Allegation	Dates	Clear Up Team Response	Summary of Findings	Recommendations For Further Action Agreed by the Clear Up Board	Monitoring Officer Response	Monitoring Officer Update
CU 018	<p>Fraudulent Payment Allegation that a payment was made by the Council to a local organisation with no goods or services provided to the Council in return. The organisation then made a payment of the amount less £1,000 to a different organisation and retained the £1,000 as a payment for having completed the transactions. Allegation that this series of payments happened twice</p>	March 2012	Partially Upheld	<p>The Clear Up Team found one instance of a payment of £6,000 was made by the Council to a local organisation in March 2012 with no goods or services provided to the Council in return, with the intention of channelling funds to another organisation, and that £1,000 of this payment was retained by the first organisation.</p> <p>No evidence has been identified to indicate that any similar payment was made by the Council to the organisation on a second occasion. As a consequence, this element of the allegation is rejected.</p> <p>The Clear Up Project Board decided that this matter will not be reported to the Police as (i) it was not clear that the payment was criminal in nature (2) the offence took place over five years ago when the Council's culture for raising concerns / whistle-blowing was very different, (3) the officer admitted everything when asked and cooperated fully with the Clear Up Project, (4) the officer had been placed under pressure from multiple individuals to make the payment, including their line manager who is no longer in post, (5) the whistle-blowing arrangements in the Council at the time had been insufficient and were not trusted by officers, (6) the officer had refused to carry out a similar payment a second time, and (7) the officer did not personally gain in any way from the transaction.</p> <p>The Board also agreed that as (i) the payment had been made over five years ago; and (ii) there is limited information about the nature of the payment; it would not be proportionate for the Council to attempt to recover it. The Clear Up Team was also able to establish that this organisation is not currently in receipt of any Council funds.</p>	<p>(1) Disciplinary action - meeting to take place between the officer and their Senior Manager, with a letter to be sent to the individual, thanking the officer for cooperating but also making it clear that their actions were a very serious matter and should not be repeated.</p> <p>(2) Any recommendations resulting from the current review of whistle-blowing procedures currently being undertaken by Grant Thornton should be acted upon as soon as possible, to assist with increasing the confidence of officers in raising concerns when they feel that they are being placed under undue pressure</p>	<p>(1) This has happened</p> <p>(2) This will be for the Monitoring Officer once Grant Thornton report their findings and recommendations</p>	<p>(1) As this has been addressed, there is no further action</p> <p>(2) This is a work in progress. Grant Thornton has produced an Independent Review of Whistleblow Arrangements and which went to CLT on 09/08/2017 and initially agreed subject to CLT member comments. Further work is now ongoing with the MO and DD of HR on the revision and re-launch of the policy with touch points with other 'expert services'</p> <p>12/10/2017 - A report went to GP Committee with a revised Policy and separate Procedure as well as an action plan of the Council's response to the specific findings of the Grant Thornton Report</p> <p>19/10/2017 - A report went to the Audit Committee who will now be the responsible Committee overseeing the Whistleblow Arrangements. In addition to the documents that went to the GP Committee, the Committee received a copy of the e-learning training module and which will be mandatory for all staff to undertake</p>
CU 019	<p>Excessive payment to a Council supplier Allegation that excessive payments were made to a catering company in early 2014 and in April 2015 for a quantity and value of food that was not provided to the Council</p>	2014 and 2015	Partially Upheld	<p>The allegation is unsubstantiated on the basis that it is not possible to determine the quantity or quality of food that was delivered to the Council by the catering company at events held several years ago. However, Financial Procedures appear to have been breached by both the officer at the centre of this allegation and by a Member. The officer continued to breach Financial Procedures in 2014 and 2015, despite having been reminded on at least three previous occasions about the relevant requirements</p>	<p>(1) Disciplinary action – meeting to take place between the officer who has repeatedly breached the Financial Procedures and their Senior Manager with possible further action.</p> <p>(2) The Constitutional Working Party should consider whether any additional wording is required within the Member / Officer Protocol to specify that Members are not permitted to order goods from suppliers on behalf of the Council.</p>	<p>(1) This matter has been referred to the appropriate Divisional Director</p> <p>(2) The Monitoring Officer has reviewed the Member/ Officer Protocol and a revised Member/ Officer Relations' Protocol has been prepared and will be presented to a future Constitutional Working Party for consideration</p>	<p>(1) 04/05/2017 - An email was sent by the MO to the Chief Executive and all Corporate Directors providing a copy of this spreadsheet and requesting that they advise the MO in respect of action taken</p> <p>16/08/2017 - Email sent to Divisional Director seeking update as to progress</p> <p>(2) The MO has reviewed and revised the Protocol and which was considered by the CWP on 22/06/2017 and by GP Committee on 05/07/2017. Further changes are to be made and the revised Protocol will be reported back to GP Committee on 12/10/2017 for them to recommend to Council</p> <p>12/10/2017 - GP Committee considered a revised Member/Officer Relations Protocol and recommended it to Council for approval</p> <p>22/11/2017 - Council approved a revised Member/Officer Relations Protocol</p>

Case Ref. No.	Summary of Allegation	Dates	Clear Up Team Response	Summary of Findings	Recommendations For Further Action Agreed by the Clear Up Board	Monitoring Officer Response	Monitoring Officer Update
					<p>(3) Referral to the Monitoring Officer the issue of a Member purchasing goods from a Council budget without prior approval.</p> <p>(4) The Resources Directorate to undertake a check to confirm that the instructions contained on the Support Services Request Form regarding the number of quotes required at different thresholds are consistent with current Financial Procedures.</p> <p>(5) Corporate Director of Resources to consider whether any further checks or controls may be required in order to identify and challenge supplier invoices which are lacking sufficient information</p>	<p>(3) The Monitoring Officer has advised the Member that the matter is being considered under the arrangements for dealing with complaints of breach of the Code of Conduct for Members</p> <p>(4) This recommendation has been referred to the Corporate Director, Resources for consideration and to action</p> <p>(5) This recommendation has been referred to the Corporate Director, Resources for consideration and to action</p>	<p>(3) 16/08/2017 - The MO has consulted with the Independent Person and a report prepared to go to an Investigation & Disciplinary Sub-Committee in September (the date is being arranged by Democratic Services) to consider whether further investigation is merited</p> <p>21/09/2017 - Report to Disciplinary Sub-Committee and no further action to be taken</p> <p>(4) & (5) 04/05/2017 - An email was sent by the MO to the Chief Executive and all Corporate Directors providing a copy of this spreadsheet and requesting that they advise the MO in respect of action taken</p> <p>16/08/2017 - Email sent to Divisional Director seeking update as to progress</p>
CU 020	<p>Use of Community Centres for Ward surgeries</p> <p>Allegation that Ward surgeries held by a Member did not take place, and/or that excessive amounts were being charged.</p>	During Clear Up period	Out of Scope	<p>The Clear Up Team found that this allegation has already been investigated by the Council's Head of Members' Support, concluding in April 2016. The investigation established that the Member typically held two hour surgeries, whereas other Members held one hour surgeries, accounting for the higher spend. No evidence was found to support the allegation that payments were charged for surgeries which did not take place. The Member was subsequently advised to hold one hour surgeries, in line with other Members.</p> <p>The investigation recommended a new process, invoicing system, checks and a cap on the maximum contribution per Member to provide better value for money and consistency in booking venues through the Member Support Team for all Members.</p>	<p>Proposed new process for booking Ward surgeries to be implemented as soon as possible.</p> <p><i>NOTE – the Council confirmed that the new policy and process was effective from 3 March 2017</i></p>	<p>No further action</p> <p>As noted in the recommendations, the new policy and process is now effective</p>	Case closed as no further action
CU 021	<p>Purchase Card Fraud</p> <p>Allegation that the system of checks and balances for Council issued credit card/purchase cards is weak and open to fraud.</p>	No specific dates	Upheld	<p>Work was already underway within the Council through the Internal Audit Team to audit the systems and processes for Purchase Cards and to address any control issues.</p> <p>The Clear Up Board reviewed the findings at the Clear Up Board Meeting on 14 March 2017. The Board heard that audit work had been completed with a focus on the Youth Service in 2013/14 and 2014/15 and that this had revealed four main weaknesses in (1) the issuing of cards, (2) how cards are used, (3) monitoring arrangements and (4) payments processes. The audits found an improvement in terms of the number and materiality of issues arising from 2013/14 and 2014/15. The Board noted that recommendations had been made and work was underway to improve systems and processes.</p> <p>The Clear Up Board also welcomed the organisation-wide audit of purchase cards that commenced in March 2017.</p>	<p>Internal Audit should seek to complete the Council-wide audit of purchase cards as quickly as possible, agree recommendations arising from the findings, and implement the action plan Council-wide.</p>	<p>The outcome of the organisation-wide audit of purchase cards that commenced in March 2017 is awaited</p>	<p>04/05/2017 - An email was sent by the MO to the Chief Executive and all Corporate Directors providing a copy of this spreadsheet and requesting that they advise the MO in respect of action taken</p> <p>16/08/2017 - Email sent to Divisional Director seeking update as to progress</p> <p>18/09/2017 - The audit of the use of purchase cards across the organisation has been completed. A draft report has been issued over the use of purchase cards for management consideration. It is envisaged the findings from this audit will be reported to the Audit Committee in November 2017. A new Purchase Card contract has also been awarded that will address some of the system weaknesses identified. A project team has been established to configure the new system, strengthen controls and improve procedures. New contract to go live from November 2017</p>

Case Ref. No.	Summary of Allegation	Dates	Clear Up Team Response	Summary of Findings	Recommendations For Further Action Agreed by the Clear Up Board	Monitoring Officer Response	Monitoring Officer Update
CU 022	<p>Disclosure and Barring Service (DBS) Checks and Referral Processes</p> <p>Allegation that Council systems for DBS checks have been historically weak and that these weaknesses persist. Allegation that the Council does not refer dismissed individuals to the DBS.</p>	No specific dates	Upheld	<p>Work was already underway within the Council through the Internal Audit Team to consider the Council's control and monitoring of DBS checks.</p> <p>The Clear Up Board reviewed the findings at the Clear Up Board Meeting on 14 March 2017. The Board heard that the audit work had completed in January 2017 and that only a Limited Assurance opinion had been reported. In particular, the audit found that:</p> <ul style="list-style-type: none"> - there were some inconsistencies in the Council's database of all posts requiring DBS checks - there have been cases of long delays in carrying out risk assessments when the Council is notified of a disclosure - the processes and controls for undertaking, recording and approving risk assessments by Council officers and notifying the results to HR promptly need to be improved and strengthened, and the quality of risk assessments require improvement and appropriate checks need to be carried out by HR <p>The Council's HR Division also reported to the Clear Up Board to confirm that the Council makes referrals to the DBS and professional bodies when it is appropriate to do so e.g. when the Council believes a person has caused harm or poses a future risk of harm to vulnerable groups. The Council's DBS procedures have been updated recently and were due to be approved by the Council's Corporate Safeguarding Board in March 2017</p>	<p>(1) The Council should ensure that the weaknesses identified in the audit work on DBS are addressed as soon as possible, with progress to be reported to the new Council Improvement Board.</p> <p>(2) The new DBS procedures should be implemented as soon as possible</p>	These recommendations have been referred to the Divisional Director, HR and Transformation for consideration and to action	<p>A review has been undertaken of the Council's DBS Procedure and new policy is being launched in September 2017, impacting staff joining the authority and existing staff subject to 3-yearly rechecks. All new staff joining the authority are now required to make their applications via e-bulk and bring in their supporting documentation to HR to verify. Turnaround rates through the e-bulk system are much quicker than the standard application process, however on those occasions where staff are required to start before we receive confirmation from the DBS, Line managers must undertake a detailed risk assessment and if appropriate propose appropriate safeguards, Divisional Directors to undertake a risk assessment and waiver form to allow the worker to commence work, perhaps with safeguards in place ahead of receiving confirmation from the DBS.</p>
CU 023	<p>Youth Service Summer Programme 2016</p> <p>Allegation that in relation to the Summer Youth Programme 2016 ("SYP16"):</p> <ul style="list-style-type: none"> (i) procurement procedures were not followed for the Evaluation Panel decision; (ii) providers delivering the programme were not monitored effectively; and (iii) providers did not deliver what they were paid for. 	May-August 2016	Upheld	<p>The Clear Up Team found that:</p> <p>The Council's Procurement Procedures (issued 1 January 2016) do not provide any guidance regarding how Evaluation Panels should be formed or conducted, including the number of evaluators or how independence is maintained.</p> <p>There is currently no formal way in which knowledge of the previous performance of potential suppliers of Youth Services is considered within the procurement process. Attempts to introduce the consideration of prior knowledge into the procurement process by the evaluators during the Evaluation Panel resulted in misunderstandings between the evaluators and a delay to the procurement outcome being finalised.</p> <p>A scoring threshold was introduced by the Evaluation Panel which had not been specified in the Invitation To Tender ("ITT"), and there was no rationale for the level at which it was set.</p> <p>The individual scores included in the evaluation matrix for the SYP16 provided to the Procurement Team, which were purported to be the outcome of the Evaluation Panel had been fabricated by one of evaluators in order to make the total percentage score for each applicant (nearly) match the total percentage score for each applicant that had previously been incorrectly calculated. The providers selected to be awarded the contract would have been different if correct procurement procedures had been followed.</p>	<p>(1) Procurement Procedures should be revised to include procedures relating to:</p> <ul style="list-style-type: none"> a) how many individuals should form an Evaluation Panel; b) how the individuals to form an Evaluation Panel should be selected; c) how the Evaluation Panel should conduct the scoring session; d) whether, and for how long, individual notes of scoring should be retained; e) and what should happen in instances where there is a disagreement between Evaluation Panel members, including that Procurement should independently verify this with the evaluators and not rely upon statements made by one evaluator on behalf of other evaluators <p>(2) The Procurement Initiation Form should be revised to include consideration of:</p> <ul style="list-style-type: none"> a) whether or not a threshold is required; b) and whether any existing knowledge regarding potential bidders is to be taken into consideration. <p>(3) The Procurement Team should review a sample of recent evaluation matrices and consider whether the relative weighting between price and quality is achieving results that represent best value. Guidance should then be provided by Procurement as to what an appropriate balance of weighting between price and quality should be.</p>	<p>(1) This recommendation has been referred to the Divisional Director, Finance, Procurement, Audit for consideration and to action</p> <p>(2) This recommendation has been referred to the Divisional Director, Finance, Procurement, Audit for consideration and to action</p> <p>(3) This recommendation has been referred to the Divisional Director, Finance, Procurement, Audit for consideration and to action</p>	<p>(1) to (4) - 04/05/2017 - An email was sent by the MO to the Chief Executive and all Corporate Directors providing a copy of this spreadsheet and requesting that they advise the MO in respect of action taken</p> <p>16/08/2017 - Email sent to Divisional Director seeking update as to progress</p> <p>18/09/2017 - Detailed guidance on the evaluation of Quotations (RFQ) has been developed and embedded as part of the revised procurement procedures launched 1st April 2017. Further guidance on the evaluation of tenders is being developed to respond to recommendation 1, 2, 3, 4 and is scheduled to go live from November 2017.</p>

Case Ref. No.	Summary of Allegation	Dates	Clear Up Team Response	Summary of Findings	Recommendations For Further Action Agreed by the Clear Up Board	Monitoring Officer Response	Monitoring Officer Update
				<p>The Interim Service Head signed the evaluation outcome on the basis of the total percentages, which she believed to have been correct, but did not review the scores entered into each tab in the evaluation matrix.</p> <p>The scoring methodology in the standard template evaluation matrix can result in preference being given to low quality at a low cost over a better quality at a higher cost, which may not necessarily result in best value being achieved. The consideration of pricing for the SYP16 was only at the level of the total cost and did not consider how that funding would be used, for example, the split between salaries, building rental, and directly on activities for young people.</p> <p>The Procurement Team accepted the explanation provided by one evaluator regarding why another evaluator had not signed the evaluation outcome, without confirming the explanation directly with the evaluator who had not signed. There is a risk that the true reasons for the lack of a signature could have been misrepresented.</p> <p>Monitoring of delivery of the SYP16 was ineffective, mainly as a consequence of the programme only running for one month and this being considered as insufficient time to allow unsatisfactory providers to demonstrate improvements. A draft report (which has not been finalised) was issued a month after the SYP16 had ended, saying that one of the providers should be terminated until issues were resolved.</p> <p>There is no Council policy that sets out how and when monitoring visits should be conducted, and what actions within what timescale should be taken in response to any identified unsatisfactory provision.</p>	<p>(4) For future evaluations, Evaluation Panel members should be reminded that they can only score applications against the criteria that were set out in the ITT, and are only permitted to consider the information provided to them and not any other knowledge they may have. Evaluation Panels should not proceed if required information is missing from applicants, to allow that information to be provided and then be considered for all applicants within the evaluation scoring.</p> <p>(5) The Youth Services Team should document a procedure for the monitoring of the provision of Youth Services by external providers, including when monitoring visits should be conducted, how frequently they should be repeated, what actions within what timescale should be taken in response to any identified unsatisfactory provision, and how and to whom the findings should be reported. Preparation of this documented procedure should take into consideration existing practices for monitoring in other departments of the Council in order to learn from any effective monitoring practices already in place.</p> <p>(6) The Corporate Director for Children's Services should be requested to consider the oversight of outcomes from Youth Service activity and how value for money is being measured and monitored.</p> <p>(6) The Corporate Director for Children's Services should be requested to consider the oversight of outcomes from Youth Service activity and how value for money is being measured and monitored.</p>	<p>(4) This recommendation has been referred to the Divisional Director, Finance, Procurement, Audit for consideration and to action</p> <p>(5) This recommendation has been referred to the Corporate Director, Children's for consideration and to action</p> <p>(6) This recommendation has been referred to the Corporate Director, Children's for consideration and to action</p>	<p>(5) 04/05/2017 - An email was sent by the MO to the Chief Executive and all Corporate Directors providing a copy of this spreadsheet and requesting that they advise the MO in respect of action taken</p> <p>16/08/2017 - Email sent to the Divisional Director seeking an update</p> <p>15/09/2017 - The Service will produce a new Quality Assurance monitoring procedure manual that will set out the standards and procedures for monitoring visits; actions to be taken in relation to unsatisfactory provision; and reporting arrangements for quality assurance, amongst others. Work will be undertaken to ensure that the Quality Assurance arrangements align, as much as possible, with existing practice in Children's Services and other relevant departments in the Council.</p> <p>(6) 04/05/2017 - An email was sent by the MO to the Chief Executive and all Corporate Directors providing a copy of this spreadsheet and requesting that they advise the MO in respect of action taken</p> <p>16/08/2017 - Email sent to the Divisional Director seeking an update</p> <p>15/09/2017 - The Service will ensure that the current work that it is being undertaken to produce a new outcomes based framework for youth activity; and existing youth output/outcome measures are reviewed so that a new strategy for both measurement and monitoring is presented to the Corporate Director for Children's Services for her consideration</p>

Case Ref. No.	Summary of Allegation	Dates	Clear Up Team Response	Summary of Findings	Recommendations For Further Action Agreed by the Clear Up Board	Monitoring Officer Response	Monitoring Officer Update
				<p>No report to record challenges encountered or lessons learned was written at the end of the SYP16. The report that was prepared was based upon information received by the Council from the providers, and was only shared between the Youth Service Development Manager and the Interim Service Head.</p> <p>No analysis was undertaken to consider value for money, or to assess whether or not the providers had delivered what they had proposed in their applications.</p> <p>Contracts between the Council and two of the providers were executed more than half way through the SYP16, and with a third provider after the SYP16 had ended. A contract between the Council and the fourth provider cannot be located. No entries were made in the Council's risk register in relation to the lack of signed contracts by the Corporate Director and there appears to have been no authorisation for the commencement of services in advance of a signed contract.</p>	<p>(7) The Legal Department should consider the communication processes between the Legal Team and the relevant Council delivery team to ensure that there is clarity regarding when all executed contracts have been received and delivery can commence or, if delivery is commenced in the absence of a signed contract, for the delivery team to correctly follow the procedures to obtain approval and record the decision on the Council's risk registers.</p> <p>(8) Internal Audit is requested to undertake a review of the next procurement process involving Evaluators 1 and 2, in order to gain assurance that lessons have been learned and the same issues are not continuing to be repeated.</p> <p>(9) Internal Audit is requested to undertake a review on a sample basis of Evaluation Panel scoring, covering both larger and smaller procurements, to consider (i) if there is an independent element to the formation of the Evaluation Panel; and (ii) if the scores allocated appear reasonable when considering the applications submitted e.g. lower scores where responses are absent or very brief.</p> <p>(10) Internal Audit is requested to undertake a review on a sample basis to consider in relation to providers selected through Evaluation Panels: (i) the date on which a contract was executed with the selected provider(s); and (ii) the date on which the provision of services commenced. In instances where the provision of services has commenced prior to the Council entering into a contract, then it should be tested whether this was correctly notified to the Head of Corporate Procurement and the Monitoring Officer and included on a risk register.</p> <p>(11) The Chief Executive is to speak with the Corporate Director regarding oversight of the team, and to consider whether it is appropriate and proportionate to take any action in relation to two of the evaluators, including the provision of further training regarding procurement procedures or any disciplinary action.</p>	<p>(7) This recommendation has been referred to the Divisional Director, Legal for consideration and to action</p> <p>(8) This recommendation has been referred to the Divisional Director, Finance, Procurement, Audit for consideration and to action</p> <p>(9) This recommendation has been referred to the Divisional Director, Finance, Procurement, Audit for consideration and to action</p> <p>(10) This recommendation has been referred to the Divisional Director, Finance, Procurement, Audit for consideration and to action</p> <p>(11) This recommendation has been referred to the Chief Executive for consideration and to action</p>	<p>(7) An Audit Report on the signing and sealing of contracts has made certain recommendations including in respect of the communications process. These recommendations are being put in place with completion scheduled by the end of Q3. This has now slipped to end of Q4</p> <p>(8) to (10) 04/05/2017 - An email was sent by the MO to the Chief Executive and all Corporate Directors providing a copy of this spreadsheet and requesting that they advise the MO in respect of action taken</p> <p>16/08/2017 - Email sent to Divisional Director seeking update as to progress</p> <p>18/09/2017 - A review of the procurement process is planned as part of future audit programme. The audit will review the evaluation processes and the award of contracts. As part of this audit, a review of what evaluators 1 and 2 did for the subsequent procurement will be undertaken.</p> <p>(11) 22/06/2017 - The Chief Executive has reviewed and spoken to the Corporate Director. Further evidence concerning the conduct and context of this procurement has been considered. He considers that it is neither appropriate nor proportionate to take any disciplinary action in relation to two of the evaluators. There are lessons to be learnt and which can be addressed in the ten recommendations above looking at procedures and processes. As this has been addressed, there is no further action</p>
CU 024	<p>Weakness in Council's timesheets for overtime and zero hours contracts</p> <p>Allegation that officers routinely claim for work they have not done, especially when they are working across two service areas as there is no way for managers to check on one system whether they are claiming twice.</p> <p>Allegation of weaknesses in checks and balances, and potential fraud involving managers. Allegation focussed on Youth Service but extended to the whole Council.</p>	Historic and ongoing	Partially Upheld	<p>The Clear Up team considered two concerns:</p> <p>1) That there were/is no transparency and no systems in place to identify part-time and zero hour contract staff claiming for hours on timesheets which they did not work</p> <p>- The Clear Up Team found that this has already been addressed by the Council, and measures and controls have been put in place within the Youth Service since November 2015 to address this matter.</p> <p>- Since November 2015 there have been no over-time and no zero hour contracts in the Youth Service.</p> <p>- A sample test of the revised timesheets from April 2016 to January 2017 confirmed implementation of the current controls and systems and concluded they are sound.</p> <p>2) That there were/are no systems and controls in place to identify claims for overlapping hours where an individual works across two services for two different managers (Council-wide matter)</p> <p>- The Clear Up team found that no systems and controls have been put in place to date to address this.</p>	<p>Controls and systems should be devised as soon as possible to prevent and identify staff recording overlapping hours on timesheets; once devised these are implemented immediately – Council wide</p>	<p>This recommendation has been referred to the Divisional Director, HR and Transformation for consideration and to action</p>	<p>04/05/2017 - An email was sent by the MO to the Chief Executive and all Corporate Directors providing a copy of this spreadsheet and requesting that they advise the MO in respect of action taken</p> <p>16/08/2017 - Email sent to Divisional Director seeking update as to progress</p> <p>05/12/2017 - A requirement for all staff to record their hours and for managers to check their hours has been put in place. It is considered that this requirement should only apply however where there is reasonable doubt that staff are working and claiming hours that they have worked. Further work with Audit & the is to be undertaken to agree a more appropriate measure and tracking of compliance moving forward.</p>

Case Ref. No.	Summary of Allegation	Dates	Clear Up Team Response	Summary of Findings	Recommendations For Further Action Agreed by the Clear Up Board	Monitoring Officer Response	Monitoring Officer Update
CU 025	<p>Allegation concerning Youth Service Officers</p> <p>Allegation that (1) a Youth Service officer has failed to declare an interest with a youth club and that (2) another former officer who was dismissed from the Council works with this organisation.</p> <p>Allegation that (3) a Youth Service officer was recruited into the Council without a proper DBS check, and that this individual may have changed their name by deed poll in advance of joining to cover up past issues that may have prevented them being employed.</p> <p>Allegation (4) of officers failing to declare interests in a local youth club [no names supplied]. Suggestion (5) of wider problems in the Youth Service and potentially across the Council overall in declarations of interest and DBS checks and referrals</p>	No dates supplied	Partially Upheld	<p>The complainant disengaged from the Clear Up process meaning no further information or evidence was available; however, the Clear Up Team considered the allegations based upon the information provided and found them to be partially substantiated.</p> <p>Referrals were made to the parts of the Council best placed to deal with future action in relation to each matter raised.</p> <p>It should be noted that some of the allegations relate to activities after the Clear Up period (October 2010 – June 2016).</p> <p>(1) Based on the information provided, the Clear Up Team was unable to establish whether there has been a failure to declare an interest by this officer. The details were referred to the Risk and Audit Service that is currently undertaking detailed audit work on officer declarations of interests.</p> <p>(2) An Employment Tribunal is ongoing in the case of this dismissed officer. The Clear Up Team was unable to establish whether this former officer is currently employed by the youth club. Agreed that once the result of the Employment Tribunal is known the officer to be referred to the Head of the Integrated Youth Service, Head of Risk and Audit and HR team to confirm whether a DBS referral is required, and to establish whether this officer is employed at the youth club in any capacity. If it is discovered that the individual is an employee of the youth club, Youth Service and Legal to agree whether this is in breach of the contract between the Council and the youth club.</p> <p>(3) The Clear Up Team has not been able to confirm whether the officer changed their name by deed poll to secure a role in the Council and cover up a past issue that would have prevented them securing a role, but notes that previous names are covered by DBS checks. An issue with the officer's DBS check has been highlighted, and this matter has been referred to HR for follow up.</p> <p>(4) Without names from the complainant it was not possible for the Clear Up team to establish whether any Youth Service officers have failed to declare interests with this organisation. It was noted that the secretary of the youth club has an identical name to a Council youth service officer and so this matter was referred to the Risk and Audit Team to consider.</p> <p>(5) In relation to the complaint's suggestion of wider problems in the Youth Service and potentially across the Council overall in declarations of interest and DBS checks and referrals, as no further evidence has been received this matter cannot be considered by the Clear Up project.</p> <p>See also findings of CU022 relating to DBS matters.</p>	<p>(1) Relevant Council teams/officers to look into the specific matters identified in more detail following the referral by the Clear Up Team.</p> <p>(2) In light of the learning from the scoping of this allegation, the Clear Up Team considers it critical that the Council fully accepts the recommendations of the Internal Audit work on declarations of interests and DBS checks and referrals, and implements the findings from this work as soon as possible. Progress on DBS checks and referrals, and on declarations of interest, should report to the new Council Improvement Board (see also allegation CU022).</p> <p>(3) In light of a number of matters relating to Member interests being uncovered by the Clear Up Team during the course of the Clear Up Project, Internal Audit is requested to undertake an audit of Member declarations of interests alongside the continuing work on officer declarations</p>	<p>(1) This recommendation has been referred to the Divisional Director, HR and Transformation for consideration and to action</p> <p>(2) This recommendation has been referred to the Divisional Director, HR and Transformation for consideration and to action</p> <p>(3) This recommendation has been referred to the Divisional Director, Finance, Procurement, Audit for consideration and to action</p>	<p>(1) An annual programme has been instigated whereby all staff are required to complete a declaration of interest. Completion rates are monitored and followed up with relevant line and service managers to ensure full compliance. Response rates are shared with DLTs to drive this. The declaration process is completed via HR Self Service requiring the employee to set out any interests they wish to declare. Guidance is available on the page for staff and managers. Once a disclosure is made, it is for managers to discuss the detail of the disclosure with the employee to ensure that there are no actual or potential conflicts of interest before signing off the declaration. The record is then available on HR Self Service for managers to refer to if necessary. There have also been some process changes in the way that recruitment checks are undertaken to ensure that any new applicants who fail to declare that they have been previously employed by the authority are identified before a formal offer of employment is made.</p> <p>A pre-employment check process includes the applicant's NI number and any positive checks will be brought to the attention of the recruiting manager so that they can take advice before confirming the appointment and a start date</p> <p>(2) This action has been completed (see CU 022 above)</p> <p>(3) 04/05/2017 - An email was sent by the MO to the Chief Executive and all Corporate Directors providing a copy of this spreadsheet and requesting that they advise the MO in respect of action taken 16/08/2017 - Email sent to Divisional Director seeking update as to progress 18/09/2017 - The audit has been completed and findings arising from this review will be discussed with the Monitoring Officer. Once completed, the findings will be reported to the Audit Committee</p>
CU 026	<p>Drug and Alcohol Team funded organisations</p> <p>Allegation that there were widespread problems in the Drug and Alcohol Team including organisations receiving sums of money from the Council without proper checks to ensure outcomes were delivered, problems with Disclosure and Barring Service checks and failure of officers to make declarations of interests.</p>	During Clear Up period	Rejected	<p>The complainant disengaged from the Clear Up process and was unwilling to provide more specific information or evidence in support of these allegations. As this allegation is vague and there were no specific matters that could be investigated further without further input from the complainant, no action was taken.</p> <p>See also findings of CU022 relating to the Council's DBS processes and CU025 relating to Declarations of Interest matters.</p>	No recommendations	No further action The Summary of Findings is accepted	Case closed as no further action

Case Ref. No.	Summary of Allegation	Dates	Clear Up Team Response	Summary of Findings	Recommendations For Further Action Agreed by the Clear Up Board	Monitoring Officer Response	Monitoring Officer Update
CU 027	<p>Weaknesses in HR services General allegation of past and present weaknesses across the Council's HR services, including: - HR policies and inconsistencies in how these are applied; - How CHAD (combatting harassment and discrimination) and grievances are investigated; frustration of disciplinary investigations within HR and leakage of information; and - Inappropriate pay-offs</p>	<p>During Clear Up period</p>	<p>Upheld</p>	<p>The allegation was not specific, and referenced more general weaknesses.</p> <p>Clear Up Team found that work was already underway within the Council through the One HR Project to address weaknesses and deliver improvements to HR services.</p> <p>The Clear Up Board reviewed progress at the Clear Up Board Meeting on 8 March 2017. The Board heard that the Council's HR Policies & Practice workstream within the One HR Project is focussing on improvements to a range of HR policies including disciplinary, grievance/HR policies including to disciplinary procedures, grievances/ complaints of harassment and discrimination, and sickness absence, and also including a review of the role of investigating officers in HR cases.</p> <p>On settlements, the Interim Divisional Director HR and Transformation reported to the Clear Up Board on 8 March 2017 to confirm that, in addition to voluntary redundancy, settlement agreements are sometimes used by the Council, and that where these are used they require a business case justifying the need for an exit and the approval of the Monitoring Officer</p>	<p>(1) Council to progress the One HR (improvement) Project and the HR Policies & Practices workstream and implement recommendations / actions arising once complete. Progress to be reported to the Council's new Improvement Board.</p> <p>(2) The Council's HR Division to consider how any reporting on the numbers of settlement agreements could be improved to increase transparency</p>	<p>(1) This recommendation has been referred to the Divisional Director, HR and Transformation for consideration and to action</p> <p>(2) This recommendation has been referred to the Divisional Director, HR and Transformation for consideration and to action</p>	<p>(1) The review and realignment of HR Policy and Procedures is underway. The first 'phase' of the review has focused predominantly on 4 key current people policies and procedures. Disciplinary; Combatting Harassment and Discrimination (CHAD)/ Grievance, Absence and Performance of employed Council staff and has considered:</p> <ul style="list-style-type: none"> • current policies and procedures • application of those policies and procedures • perception and views of those who either use, or have been through these procedures - managers, TU's, HR and staff member <p>A report went to CLT on 13/09/2017 and a report is due to go to GP Committee on 12/10/2017</p> <p>12/10/2017 - A briefing report went to GP Committee on the Phase 1 review of a number of key HR policies and procedures undertaken by the HR and Transformation Team</p> <p>06/12/2017 - Discussions with the trade unions are continuing through the Trade Union Forums</p> <p>(2) 04/05/2017 - An email was sent by the MO to the Chief Executive and all Corporate Directors providing a copy of this spreadsheet and requesting that they advise the MO in respect of action taken</p> <p>16/08/2017 - Email sent to Divisional Director seeking update as to progress</p> <p>06/12/2017 - Settlement Agreements are all subject to the final approved by the Divisional Director of Legal Services. Additionally the HR and Transformation service is currently subject to restructure proposals intended to strengthen expertise within the team to work in partnership with and influence managerial capabilities and behaviours across the Council</p>

Case Ref. No.	Summary of Allegation	Dates	Clear Up Team Response	Summary of Findings	Recommendations For Further Action Agreed by the Clear Up Board	Monitoring Officer Response	Monitoring Officer Update
CU 028	Improper Recruitment of Officers Allegation that Officers have been recruited without proper recruitment processes being followed, often under pressure from Members, and resulting in Members having 'plants' in key service areas.	No specific dates	Rejected	Clear Up Team found that work was already underway within the Council through the One HR Project to improve recruitment practices. The Clear Up Board reviewed progress at the Clear Up Board Meeting on 8 March 2017 and heard that the recruitment review work will report findings and recommendations in the Spring. The Board also noted that a 2016/17 audit had considered recruitment processes and awarded a Substantial opinion, and that a follow up audit is now taking place. The Board also considered past recruitment programmes and agreed that work should be undertaken to review the outcomes of these programmes.	Interim Divisional Director HR and Transformation to conduct a review of historic recruitment schemes including 'Workforce to Reflect the Community' and 'Take a Chance' to consider outcomes and learning.	This recommendation has been referred to the Divisional Director, HR and Transformation for consideration and to action	04/05/2017 - An email was sent by the MO to the Chief Executive and all Corporate Directors providing a copy of this spreadsheet and requesting that they advise the MO in respect of action taken 16/08/2017 - Email sent to Divisional Director seeking update as to progress 05/12/2017 - There are a number of ways for individuals to be engaged by the Council: - recruitment to permanent posts - where posts are advertised and procedures for shortlisting, selecting etc. have to be followed - engagement of agency staff - the Council is moving providers from Comensura to Addeco from Q4 and CELT has agreed protocols for engaging resource via this route that will be managed by an Agency Contract Manager - Procurement. The Divisional Director of Finance is responsible for ensuring appropriate controls for the engagement of individuals via procurement routes
CU 029	Employment Options Programme Allegation that individuals who should have been subject to disciplinary proceedings were allowed to leave through the Employment Options Programme with a pay settlement.	2014 - 2015	Rejected	The Interim Divisional Director for HR and Transformation confirmed to the Clear Up Board through a report to the 8 March 2017 Clear Up Board that no individuals who were going to have disciplinary findings against them or who had investigations pending for Gross Misconduct were given an exit or voluntary redundancy through the Programme. An Internal Audit was also completed for the Programme and awarded Substantial Assurance.	No recommendations	No further action The Summary of Findings is accepted	Case closed as no further action
CU 030	Failure to refer an officer to the Police Allegation that an officer in the Youth Service has been recently dismissed, and whilst this should have been a Police matter the Council chose not to act, suggesting potential cover up officer was allegedly involved in writing funding proposals for organisations that did not exist; this included writing false proposals for politicians. Allegation that this individual and possibly others benefitted financially from this alleged fraud	2015-16	Rejected	The Clear Up Team concludes that the matter was referred to the Police but that the Police had decided not to pursue it. No evidence was found to support any cover up by the Council; the allegation therefore appears to be unfounded, and is rejected. - On 4 December 2014, during a face to face meeting at Limehouse Police station, information was provided to the Police regarding an organisation which involved a Council officer. - Sometime after 13 July 2015, a Council Investigator had engaged with the Metropolitan Police and made an informal referral of the Officer's involvement in the organisation. - The Council Investigator continued to email the Police with information involving the organisation and the officer which the investigator had considered to be of interest to the Police, until the end of the investigation in November 2015. - In January 2016, the Police were provided with a briefing paper setting out the findings of the investigation into the officer involving the organisation and other organisations and individuals, and with various allegations. - In early summer 2016 the Chief Executive and another Senior Officer met with a Metropolitan Police senior officer, who had informed them that the Police would not be taking any further action involving any of the organisations and individuals they were looking in to, including the officer named in the allegation.	No recommendations	No further action The Summary of Findings is accepted	Case closed as no further action

Case Ref. No.	Summary of Allegation	Dates	Clear Up Team Response	Summary of Findings	Recommendations For Further Action Agreed by the Clear Up Board	Monitoring Officer Response	Monitoring Officer Update
CU 031	<p>Officer actions during the Election Court Hearing and how these matters were looked into by the Council</p> <p>Allegation that:</p> <p>i) a Communications Support Officer attended a court hearing in private by saying that they worked for a newspaper (East End Life - a Council paper). Complainant states that this matter was looked at by a Senior Officer in Communications</p> <p>ii) A former Officer in the Mayor's Office was investigated for tweets sent from the Election Court which were then passed on to supporters of the former Mayor who then sent them out 'pretending' it was from them.</p> <p>Complainant states that the former Democratic Service Head and former HR Head looked into this matter.</p> <p>The allegation is that both of these matters should have been looked into by someone who is not in the chain of command at the Council</p>	March/ April 2015	Rejected	<p>Whilst the complainant was unwilling to provide any further information or evidence, the Clear Up Team considered this matter on the basis of the information received.</p> <p>The Team found that whilst there may be some substance to the allegation, all of the individuals involved have left the Council, the complainant had no further information to provide, and the Clear Up Team was been unable to find any further evidence to substantiate the allegation or to confirm that any breach took place. In particular:</p> <p>- The two individuals referred to in the allegation were both employed by the Council at the time of the Election Court hearing. However, both have subsequently left the Council.</p> <p>- In relation to part (i) of the allegation, as this refers to a private court meeting it has not been possible to confirm whether or not the individual attended the meeting.</p> <p>- In relation to part (ii), whilst there is information on various blogs and some tweets that refer to the alleged tweets, the Clear Up Team was unable to locate the tweets referred to in the allegation.</p> <p>- In respect of any disciplinary action or investigation, in the case of individual (i) there is no record on the individual's HR files that refers to any disciplinary action or investigation. It appears that an informal meeting may have taken place between the then Head of Communications and the individual, and this may have related to the issue raised in the allegation, although no outcome of this meeting can be located. If, in the first instance informal disciplinary action was taken by the individual's management chain, then this appears to have been in line with the Council's Disciplinary Policy at the time.</p> <p>- In the case of person (ii), both of the individuals named in the allegation as having looked into this matter have left the Council and so it has not been possible to determine whether any disciplinary action took place. There is no record on the individual's HR files that refers to any disciplinary action or investigation. Given the seniority of person (ii) and the nature of their role, the former Head of HR and former Democratic Service Head would appear to have been appropriate officers to have progressed this matter.</p> <p>The Clear Up Team's view was that any further investigation into this allegation beyond referring the findings to the Council's project that is looking at improving HR policies and practice, including disciplinary processes, would be disproportionate.</p>	Learning from this allegation to be considered within the current One HR (improvement) programme and the HR Policies and Practice workstream, with particular regard to how disciplinary matters are considered, investigated and actioned	<p>This recommendation has been referred to the Divisional Director, HR and Transformation for consideration and to action</p> <p>[Although not a recommendation, a referral has also be made to the Divisional Director, Communications for consideration and to action a policy/procedure for when Communications Officers are at Court]</p>	<p>(1) The review and realignment of HR Policy and Procedures is underway. The first 'phase' of the review has focused predominantly on 4 key current people policies and procedures. Disciplinary; Combatting Harassment and Discrimination (CHAD)/ Grievance, Absence and Performance of employed Council staff and has considered:</p> <ul style="list-style-type: none"> • current policies and procedures • application of those policies and procedures • perception and views of those who either use, or have been through these procedures <p>- managers, TU's, HR and staff member</p> <p>A report went to CLT on 13/09/2017 and a report is due to go to GP Committee on 12/10/2017</p> <p>12/10/2017 - A briefing report went to GP Committee on the Phase 1 review of a number of key HR policies and procedures undertaken by the HR and Transformation Team</p> <p>06/12/2017 - Discussions with the trade unions are continuing through the Trade Union Forums</p> <p>(2) 04/05/2017 - An email was sent by the MO to the Chief Executive and all Corporate Directors providing a copy of this spreadsheet and requesting that they advise the MO in respect of action taken</p> <p>16/08/2017 - Email sent to Divisional Director seeking update as to progress</p>
CU 032	<p>Fabrication of evidence in order to dismiss staff</p> <p>Allegation that two Senior Managers fabricated evidence in a RIPA (the Regulation of Investigatory Powers Act 2000) application.</p>	2014-2015	Rejected	<p>The allegations are not upheld on the basis that there was no evidence found to indicate that the Council did not follow correct procedures in the application and approval of the RIPA authority in relation to the surveillance operation in question. The Council acted on credible evidence provided from multiple sources including two separate whistleblowers and there was nothing found to suggest that any evidence had been fabricated. An external security supplier contracted by the Council was identified as being responsible for acting outside of the terms of the RIPA authority, thereby gathering inadmissible evidence. The external lead investigator responsible for the management of the investigation and collation of the evidence and shared some responsibility for this issue, as does the Council since an Officer overseeing the case missed that some evidence was gathered incorrectly immediately after the surveillance operation. The issue was identified by the Council during the latter stages of the investigation and was subject to legal debate/review which was not commented upon in the Clear Up Team's investigation. It should be noted that there was no evidence to suggest that this issue was any more than an oversight by the parties involved</p>	<p>(1) The Council should consider whether the external company/investigator that led the investigation in question should be retained as a potential supplier for investigatory services in light of findings that evidence was gathered outside of the terms of a RIPA authority.</p> <p>(2) The Council may also wish to consider whether to review other investigations, in particular where surveillance has been undertaken by the external security company involved, to provide assurance that the outputs are accurate.</p> <p>(3) It is also recommended that the Council put in an internal process to ensure that any such surveillance output relating to a RIPA authority should be checked for validity before disciplinary proceedings are commenced.</p>	<p>(1) This recommendation has been referred to the Divisional Director, Public Realm for consideration and to action</p> <p>(2) This recommendation has been referred to the Divisional Director, Public Realm for consideration and to action</p> <p>(3) This recommendation has been referred to the Monitoring Officer for consideration and to action</p>	<p>(1) As part of any future procurement process, the Council will carry out due diligence on all companies, and ensure the scope of the RIPA is fully understood and compliant. As this has been addressed, there is no further action</p> <p>(2) This has been considered but there is no evidence to suggest there have been issues in the past to warrant such a review</p> <p>(3) All authorisations for directed surveillance are required to be reviewed whilst the authorisation remains live and that the authorisation must also be reviewed on cancellation. As part of the review process, the authorising officer considers whether surveillance is still necessary and proportionate, taking into account the benefits of the surveillance. At cancellation, the authorising officer must consider the benefits of the surveillance. This includes considering the validity of the output. Such internal process therefore already exists</p>

Case Ref. No.	Summary of Allegation	Dates	Clear Up Team Response	Summary of Findings	Recommendations For Further Action Agreed by the Clear Up Board	Monitoring Officer Response	Monitoring Officer Update
CU 033	Misuse of RIPA Allegation that a spurious investigation was conducted into several members of staff, with a false statement made to obtain authority under The Regulation of Investigatory Powers Act 2000 (RIPA).	2014-2015	Rejected	Although it was established that the Council Central Procurement Team had dealt with procurement of the external investigator to assist with the investigation in question, unfortunately no records appear to have been retained by the Council in relation to this. It was also noted from public records that the company from where the external investigator was sourced do not advertise an investigations service nor publish any investigative credentials. It was unknown why this company was engaged by the Council to undertake investigatory services.	(4) Finally, in the absence of procurement records for the external company that led the investigation, the Council may wish to review the procurement records management process for individual assignments relating to Investigations, also ensuring that investigative credentials are held and that potential conflicts of interest are considered before accepting suppliers	(4) This recommendation has been referred to the Divisional Director, Finance, Procurement, Audit for consideration and to action	(4) 04/05/2017 - An email was sent by the MO to the Chief Executive and all Corporate Directors providing a copy of this spreadsheet and requesting that they advise the MO in respect of action taken 16/08/2017 - Email sent to Divisional Director seeking update as to progress 18/09/2017 - A new procurement system has been implemented that requires all devolved procurement activity (up to £100k) to be conducted through a central system. The system includes a detailed audit trail and standard documentation for the invitation and award of contracts. Declaration of interest has been incorporated within the system as a mandatory step prior to the award of a contract. Procurement Initiation Form has also been updated to capture declaration of interest on all contract over £100,000 prior to the commencement of a tender.
CU 034	Cost of a Parks and Open Spaces consultant Allegation that a consultant was paid for Council work that was not needed to be undertaken at that level and that could have been handled by Council staff.	From April 2016	Rejected	The Clear Up Team has looked into the process for the procurement of this consultant which was through the Council's corporate Comensura contract and therefore satisfies the Council's procurement requirements. The consultant was engaged as interim Head of Parks following an interview process and the appointment was approved by the then Head of Paid Service. Appointment to the role was urgent following a serious incident in a local park. The consultant's interim role with the Council finished at the end of November 2016.	No recommendations	No further action The Summary of Findings is accepted	Case closed as no further action
CU 035	Recruitment to a Council Grants Team Allegation that a recruitment panel member in Adult Services was – for no obvious reason – excluded from a recruitment panel. Another panel member in Adult Services then interviewed an applicant for a Grants Lunch Club Officer and appointed the candidate. The interviewer had informed a Council officer that the candidate's name had been provided by a Member. Allegation that the Council 'bent the rules' on recruitment to appoint this person following influence by a Member. The candidate was subsequently responsible for signing off grants and monitoring delivery	End 2012	Partially Upheld	The Clear Up Team heard during a fact finding meeting with a Senior HR Manager that there were instances where officers had felt pressure from Members to appoint preferred candidates to roles within the Council in 2012/2013. This included the allegation in question. The HR manager recalled that an officer reported informally that a Member had pressurised a former Director to appoint an officer into a temporary assignment with the Council, who in turn asked the officer to appoint the candidate. HR advised the officer to follow the process and appoint the right candidate upon merit, with further advice to escalate the situation if required. It was asserted that the officer later returned to HR and advised that although the candidate had been appointed to the role, the correct process had been followed and he was the best person for the job. The Member alleged to be involved is no longer in office. Pre-recruitment records are only held by HR for a period of six months, and therefore details of the recruitment interviews and, any scoring and checks undertaken are not available to the Clear Up Project Team. There is also a more informal approach taken to recruitment for agency staff and it was not unheard of for recruiting managers to interview candidates on their own or issue orders to agencies for named staff.	As part of the current One HR (improvement) programme, it is recommended that the recruitment process for temporary staff is reviewed to ensure a consistent approach is taken - using the right governance, and more in line with the standard recruitment guidance, with the use of risk assessed exceptions to policy agreements in exceptional circumstances, thereby ensuring that the Local Government & Housing Act 1989 is being adhered to.	This recommendation has been referred to the Divisional Director, HR and Transformation for consideration and to action [Although not a recommendation, The Monitoring Officer has reviewed the Member/ Officer Protocol and a revised Member/ Officer Relations' Protocol has been prepared and which deals with Members involvement in staffing matters. This will be presented to a future Constitutional Working Party for consideration]	(1) 04/05/2017 - An email was sent by the MO to the Chief Executive and all Corporate Directors providing a copy of this spreadsheet and requesting that they advise the MO in respect of action taken 16/08/2017 - Email sent to Divisional Director seeking update as to progress (2) The MO has reviewed and revised the Protocol and which was considered by the CWP on 22/06/2017 and by GP Committee on 05/07/2017. Further changes are to be made and the revised Protocol will be reported back to GP Committee on 12/10/2017 for them to recommend to Council 12/10/2017 - GP Committee considered a revised Member/Officer Relations Protocol and recommended it to Council for approval 22/11/2017 - Council approved a revised Member/Officer Relations Protocol
CU 036	Cover up of abuse of a child at a school Allegation that the Council has covered up the abuse of a child at a local school and failed to investigate.	2016 and ongoing	Rejected	This matter is already being investigated through the Children's Social Care complaints process that includes independent investigation and as a result this matter is deemed to be out of scope of the Clear Up project	No recommendations	No further action As noted in the Summary of Findings, this matter is already being investigated through the Children's Social Care complaints process that includes independent investigation	Case closed as no further action

Case Ref. No.	Summary of Allegation	Dates	Clear Up Team Response	Summary of Findings	Recommendations For Further Action Agreed by the Clear Up Board	Monitoring Officer Response	Monitoring Officer Update
CU 037	Cover up of abuse of a child at a school Allegation mirrors allegation CU036 (above).	2016 and ongoing	Rejected				
CU 038	Social Workers used for political purposes and to victimise complainants and whistle-blowers Allegation that Council social workers have been used for political purposes and to victimise complainants and whistle-blowers, with the former Mayor and their associates rewarding supporters by appointing them to the Social Services department. In turn some social workers have colluded in unprofessional targeting of certain individuals for reasons of intimidation and to discredit complaints	No dates supplied	Rejected	The Clear Up Team attempted to gain more specific information and evidence from the complainant to enable investigatory work to take place. The complainant was unable to provide any further information. Therefore, as this allegation is vague and there were no specific matters that could be investigated no further action was taken.	No recommendations	No further action The Summary of Findings is accepted	Case closed as no further action
CU 039	Staff involvement in May 2014 Election activities That in May 2014: (i) individuals from the Youth Service were involved in both canvassing (with the intention of falsifying the Register of Electors) and in campaigning for certain candidates; (ii) individuals from the Youth Service were employed at Polling stations to alter voting; and (iii) individuals from the Youth Service were employed at the electoral count with the intention of falsifying the election count; and (iv) that the same individuals referred to in point (i) above were also involved in timesheet fraud	Lead up to May 2014	Rejected	<u>Canvassing</u> One individual from the Youth Service was involved in canvassing. Canvassers wear high visibility jackets and an identification badge, which should result in it being visually clear when an individual is undertaking the canvasser role. It is not known whether or not the individual campaigned for any particular candidate in his personal time. However, it is noted that canvassing takes place significantly prior to an election, and not when the candidates are officially campaigning. No evidence has been identified to indicate that an individual falsified any entries on the Register of Electors. The transition process to Individual Electoral Registration commenced in the summer of 2014. This involved a data matching exercise where all individuals on the existing electoral roll at the time were matched to Government data. Records were rejected if there was not a match of name, national insurance number and date of birth. This procedure would have identified, and rejected, any individuals that had falsely been added to the Register of Electors if that had happened. Subsequent to this data matching exercise, any additions to the electoral roll have required evidence of national insurance number and date of birth, which are then cross-checked against data held by government departments	Internal Audit is requested to undertake a review to test that a sample of electors added to the electoral roll have provided appropriate evidence of their eligibility (including nationality, date of birth and address of residence). This review should be completed prior to the 2018 Mayoral and local elections. The Returning Officer and Electoral Services Team should consider what level of information regarding (i) the procedures undertaken to ensure the integrity of the electoral roll; and (ii) the checks and procedures undertaken during verification and counting; should be shared publicly (for example, through a series of articles or a short video) to help increase the confidence of electors in the results.	(1) This recommendation has been referred to the Divisional Director, Finance, Procurement, Audit for consideration and to action (2) This recommendation has been referred to the Chief Executive and the Head of Elections for consideration and to act	(1) 04/05/2017 - An email was sent by the MO to the Chief Executive and all Corporate Directors providing a copy of this spreadsheet and requesting that they advise the MO in respect of action taken 16/08/2017 - Email sent to Divisional Director seeking update as to progress 18/09/2017 - Meetings have been convened with the Head of Electoral Services to discuss this as part of a pro-active anti fraud work and the scope, once developed will be agreed with the Corporate Director, Governance. An audit is planned for the financial year 2017/18. (2) 05/07/2017 - A report when to the GP Committee providing feedback for the UK Parliamentary General Election 2017. Further information is being collated and reports will go to future GP Committees in respect of electoral matters including the upcoming canvas 12/10/2017 - A report went to GP Committee providing an update on preparations for the Mayor and Local Government elections 2018
CU 040	Allegation covering the same matters as CU039 (above).	Lead up to May 2014	Rejected	<u>Polling stations and counts</u> The number of Youth Service employees involved with the polling and count was relatively small proportionally. The result of the May 2014 Mayoral election has already been declared void by the High Court. It is not possible to examine the votes from the 2014 Local Election due to them having been destroyed (in line with standard procedures). Following problems with the May 2014 count, as set out in the Electoral Commission's report, it was recognised by the Council's Election Services Team that improvements to the procedures were required. Subsequently, a significant number of changes have been made for the elections held in 2015 and 2016 and planning has already commenced for the Mayoral and local elections in 2018. Note: The part of the allegation relating to timesheet fraud was considered under CU024			

Case Ref. No.	Summary of Allegation	Dates	Clear Up Team Response	Summary of Findings	Recommendations For Further Action Agreed by the Clear Up Board	Monitoring Officer Response	Monitoring Officer Update
CU 041	Editing of Audit Reports relating to the Youth Service Allegation that Audits of the Youth Service in 2015 and 2016 were edited prior to them being finalised, with some important facts being removed.	Feb – March 2016	Rejected	No evidence was found to substantiate the allegation that the reports were materially edited with important facts removed. However, it would appear that the former report in the allegation, “Fact Finding Report, Youth Service Review”, has never been finalised or any formal outcomes advised, although the Clear Up Team is aware that some actions are in progress as a consequence.	(1) 2016 Internal Audit Report ‘Fact Finding Report, Youth Service Review’ to be finalised as soon as possible. (2) The Council’s Risk and Audit Service to ensure that there is a robust tracking process following the publication of any investigation / audit report, to ensure that formal recommendations have been considered appropriately and either: (i) completed satisfactorily; or (ii) discounted with an appropriate risk based approach. Heads of Service should be clear on timescales required to formally respond to confirm that actions have been completed within this process.	(1) This recommendation has been referred to the Divisional Director, HR and Transformation for consideration and to action (2) This recommendation has been referred to the Corporate Director, Resources for consideration and to action	(1) The Divisional Director HR and Transformation will review the report once provided and make comments before it is finalised to support implementation of agreed actions (2) 04/05/2017 - An email was sent by the MO to the Chief Executive and all Corporate Directors providing a copy of this spreadsheet and requesting that they advise the MO in respect of action taken 16/08/2017 - Email sent to the Corporate Director seeking an update 18/09/2017 - This report will be finalised as soon as possible. Arrangements have been made to strengthen the case management system to ensure all investigations are logged, monitored and reported. A follow up system has been developed to review recommendations raised by the corporate fraud team and for these to be reported to the Corporate Leadership Team and the Audit Committee
CU 042	Corruption in the Borough Allegation of 30 years corruption in the Borough.	Before and during Clear Up Period	Out of Scope	The Clear Up Team requested more specific information from the complainant, but this was rejected by the complainant unless the Clear Up Team could provide ‘something in return’. Without anything specific to consider the allegation was agreed to be Out of Scope.	No recommendations	No further action The Summary of Findings is accepted	Case closed as no further action
CU 043	Blockages and cover up Allegation from a complainant who reports they have tried to raise issues with the Council but that they have been repeatedly blocked.	No dates given	Out of Scope	The Clear Up team requested more specific information from the complainant, but did not receive a response. Without anything specific to consider the allegation was agreed to be Out of Scope.	No recommendations	No further action The Summary of Findings is accepted	Case closed as no further action
CU 044	Widespread corruption Allegation of widespread corruption that has led to the complainant being forced to flee the UK, and making reference to phone tapping, entrapment, and a private police force in operation in the Borough.	No dates given	Out of Scope	The complainant provided an allegation implicating a wide variety of public figures and agencies in a corruption claim. The allegation was extremely vague, and as a result the Clear Up Team requested more specific information from the complainant. No further information was received from the complainant and as such the allegation was considered to be Out of Scope.	No recommendations	No further action The Summary of Findings is accepted	Case closed as no further action
CU 045	Payment made to a Corporate Director Copy of a press article sent to the Clear Up Team making reference to how a payment to a Council Corporate Director was treated in the Council’s Accounts.	2011-2012	Out of Scope	The Clear Up Team wrote to the complainant to ask whether there was a specific allegation they wished to make in relation to the article. The complainant did not respond. As a result, the allegation was considered to be Out of Scope.	No recommendations	No further action The Summary of Findings is accepted	Case closed as no further action
CU 046	Serious issue in a local park in 2015 Allegation relating to conduct of officers	2015	Out of Scope	As this matter is already being considered by another statutory and independent investigation (Coroner’s investigation) it was considered to be out of scope of the Clear Up Project.	No recommendations	No further action It should be noted that there is an ongoing Police investigation into this matter as well as an investigation by the Health and Safety Executive on the back of that. The Council is co-operating with these investigations and await the outcome of those.	Case closed as no further action

Case Ref. No.	Summary of Allegation	Dates	Clear Up Team Response	Summary of Findings	Recommendations For Further Action Agreed by the Clear Up Board	Monitoring Officer Response	Monitoring Officer Update
CU 047	<p>Electoral wrongdoing</p> <p>(i) That the counting of ballot papers for the Lansbury Ward at the May 2014 election was manipulated as a result of counters swapping desks, intimidation of counters by observers, and a Presiding Officer counting a ballot box that they had been responsible for in the polling station, and that there were insufficient supervisors for the number of counters.</p> <p>(ii) That a specific error on the electoral roll identified during the 2012 London Mayoral election was not corrected by the Electoral Services team.</p>	2012 and 2014	Partially Upheld	<p>Issues raised regarding procedures during the May 2014 election count had already been recognised by the Electoral Services team as requiring improvement.</p> <p>The result of the May 2014 Mayoral election has already been declared void by the High Court. It is not possible to examine the votes from the 2014 Local election due to them having been destroyed (in line with standard procedures, which required them to be retained for a statutory period of 1 year and 1 day from the election and which was extended by a further 6 months at the request of the Electoral Court).</p> <p>Subsequently, significant changes have been made to the electoral procedures which appear to cover all the points raised by the complainant with the exception of one. The one area that does not appear to have been considered by the Electoral Services team is the risk of a Presiding Officer or Polling Clerk for a particular polling station also counting the votes from that ballot box - a recommendation is made in relation to this point.</p> <p>The alleged electoral roll error related to an example of two children having been included on the electoral roll in 2012, and that these errors were not manually amended by an Officer in the Electoral Services team when he was notified. Whilst children may have been included on the electoral roll in error in 2012, these errors should now have been corrected during the transition to Individual Electoral Registration.</p>	<p>(1) The Electoral Services Team should add an additional requirement to procedures, stating that an individual is not permitted to count votes from a ballot box for which they were either the Presiding Officer or a polling clerk.</p> <p>(2) Internal Audit is requested to undertake a review to test that a sample of electors added to the electoral roll have provided appropriate evidence of their eligibility (including nationality, date of birth and address of residence). This review should be completed prior to the 2018 Mayoral and local elections.</p> <p>(3) The Returning Officer and the Electoral Services Team should consider what level of information regarding (i) the procedures undertaken to ensure the integrity of the electoral roll; and (ii) the checks and procedures undertaken during verification and counting; should be shared publicly (for example, through a series of articles or short videos) to help increase the confidence of electors in the results.</p>	<p>(1) This recommendation has been referred to the Chief Executive and the Head of Elections for consideration and to act</p> <p>(2) This recommendation has been referred to the Divisional Director, Finance, Procurement, Audit for consideration and to action</p> <p>(3) This recommendation has been referred to the Chief Executive and the Head of Elections for consideration and to act</p>	<p>(1) This was put in place for the recent General Election when neither the Presiding Officers nor Polling Clerks were involved in the Count</p> <p>(2) 04/05/2017 - An email was sent by the MO to the Chief Executive and all Corporate Directors providing a copy of this spreadsheet and requesting that they advise the MO in respect of action taken</p> <p>16/08/2017 - Email sent to Divisional Director seeking update as to progress</p> <p>18/09/2017 - Meetings have been convened with the Head of Electoral Services to discuss this as part of a pro-active anti fraud work and the scope, once developed will be agreed with the Corporate Director, Governance. An audit is planned for the financial year 2017/18.</p> <p>(3) 05/07/2017 - A report went to the GP Committee providing feedback for the UK Parliamentary General Election 2017. Further information is being collated and reports will go to future GP Committees in respect of electoral matters including the upcoming canvas</p> <p>12/10/2017 - A report went to GP Committee providing an update on preparations for the Mayor and Local Government elections 2018</p>
CU 048	<p>St Peters Ward Local Councillor election May 2014</p> <p>Allegation that, at the first count, a Labour candidate received 2,270 votes. A recount was ordered, allegedly by the former Mayor.</p> <p>The complainant reports that the next day the new figure for the candidate was 1,680 - a reduction of 590 votes. The candidate was not elected as a Ward Councillor. The complainant alleges that election officials colluded.</p>	May 2014	Rejected	<p>The Clear Up Team found no evidence to suggest votes were lost or that ballot boxes were tampered with.</p> <p>The results were not challenged at the time of the election, and the matter was also considered by the Electoral Commission in its report 'Delays at the verification and count for the May 2014 elections in Tower Hamlets' (July 2014).</p> <p>St Peters Ward has been confirmed as one of 6 wards where there was a recount at the 2014 local elections. Verification certificates have been obtained and reviewed, showing 4650 papers verified from ballot papers and 1,533 postal votes. This figure is consistent with the figure reported in the election results on the Council's website.</p> <p>The 2014 local election ballot papers have since been destroyed, being retained for the statutory period of 1 year and 1 day from the election date, and extended by a further 6 months as required by the Electoral Court.</p>	No recommendations	<p>No further action</p> <p>The Summary of Findings is accepted</p>	Case closed as no further action
CU 049	<p>Fraudulent housing allocations</p> <p>Allegation that a supporter of the former Mayor boasted that they were given social housing as a reward for their services</p>	Dec 2014	Rejected	<p>The complainant supplied the name of an individual and an address. The Clear Up team obtained electronic copies of this individual's Housing Application form and the associated documents/evidence leading to making an offer of a flat to the applicant.</p> <p>A review of the application, the associated documents/evidence, and Comino and SX3 (Council databases) checks did not identify anything untoward. The records showed that at least seven different officers from different teams were involved in processing the application concerned.</p> <p>The Clear Up Team concludes that based on these findings, the allocation of a flat to this individual had met all the required criteria and therefore this allegation was unfounded.</p>	No recommendations	<p>No further action</p> <p>The Summary of Findings is accepted</p>	Case closed as no further action

Case Ref. No.	Summary of Allegation	Dates	Clear Up Team Response	Summary of Findings	Recommendations For Further Action Agreed by the Clear Up Board	Monitoring Officer Response	Monitoring Officer Update
CU 050	Grants obtained fraudulently Allegation that grants have been fraudulently obtained by a local resident with close links to Council officers	Up to 2016	Out of Scope	The Clear Up Team found that this allegation had been previously investigated by the Council's Corporate Investigation Team, and a final report was issued in July 2016. The matter related to a 'care package' for providing support to individuals with learning and physical disabilities and not a grant. The investigation did not find any evidence of fraud against the Council, but did identify irregularities, and these have already been referred by the Council to other agencies to investigate.	Progress of the outstanding recommendations from the investigation report needs to be monitored, with actions completed by their target dates.	This recommendation has been referred to the Corporate Director, Health, Safety & Community for consideration and to action	04/05/2017 - An email was sent by the MO to the Chief Executive and all Corporate Directors providing a copy of this spreadsheet and requesting that they advise the MO in respect of action taken 16/08/2017 - Email sent to the Corporate Director seeking update as to progress
CU 051	Fraud in collection of business rates Allegation that businesses renting shop units at New Providence Wharf have not had to pay rent and/or business rates to the Council and instead these funds have been diverted to organisations linked to the former Mayor.	During Clear Up period	Rejected	The Clear Up Team did not find any evidence to substantiate the allegations, and no further evidence was provided by the complainant. During the investigatory work, and not linked to this allegation, prima facie evidence was found which indicates that an existing Member has not declared pecuniary interests.	Matter related to potential non-declared pecuniary interests of a Member referred to Council's Interim Monitoring Office and Head of Risk & Audit.	The Monitoring Officer has advised the Member that the matter is being considered under the arrangements for dealing with complaints of breach of the Code of Conduct for Members	The Head of Risk & Audit has prepared a report and which has been referred to the Monitoring Officer for consideration. This is in the process of being reviewed to ascertain whether the interests are DPI's and, if so, the MO will write to the Member that the matter is being considered under the arrangements for dealing with complaints of breach of the Code of Conduct for Members. This review will be completed by 15/09/2017 The MO will be consulting with the Independent Person on 06/12/2017 regarding a report going to an Investigation & Disciplinary Sub-Committee
CU 052	Council property service charge fraud Allegation that a number of individuals who have purchased leasehold ex-Council properties/flats have not had to pay services charges once the properties have been let to council house tenants – as a result of fraudulent activity by officers on the instruction of the former Mayor. One company name provided.	c.2013	Rejected	The complainant did not provide any further evidence to support the claim. The company was found to have had an agreement with Council to let properties between 2012 and 2015, with only two Council-owned properties let in that time. The company was removed from the approved register of letting agents in August 2015 by the Strategic Housing Team. The Strategic Housing Team did not have records to show why the company was removed from the approved register, although a member of the team remembered a Council Investigator had been involved in the case. It was found that the company was removed from the register due to potential illegal subletting and for recording themselves as landlords on a Council-owned property, giving rise to the risk that the allegations at least have partial merit. The company was also referred to Trading Standards.	(1) Council to review the approved letting agent register to ensure that rationales for removing agents are recorded appropriately within the framework of the law, to ensure agents known to have acted fraudulently cannot re-apply. (2) To mitigate an apparent reliance within the Risk & Audit Service upon email records saved in Outlook, it is recommended that a full review is undertaken of case management practices and case record management to ensure they are complementary and facilitate the efficient retrieval of information. (3) Council to conduct a 'property' against 'rent account' matching exercise. (4) Vetting arrangements of letting agents to be reviewed by the Council to ensure they are robust.	(1) This recommendation has been referred to the Divisional Director, Housing and Regeneration for consideration and to action (2) This recommendation has been referred to the Corporate Director, Resources for consideration and to action (3) This recommendation has been referred to the Divisional Director, Finance, Procurement, Audit for consideration and to action (4) This recommendation has been referred to the Divisional Director, Housing and Regeneration for consideration and to action	(1) & (4) 04/05/2017 - An email was sent by the MO to the Chief Executive and all Corporate Directors providing a copy of this spreadsheet and requesting that they advise the MO in respect of action taken 16/08/2017 - Email sent to the Divisional Director seeking update as to progress (2) 04/05/2017 - An email was sent by the MO to the Chief Executive and all Corporate Directors providing a copy of this spreadsheet and requesting that they advise the MO in respect of action taken 16/08/2017 - Email sent to the Corporate Director seeking update as to progress 18/09/2017 - Arrangements have been made to strengthen the case management system to ensure all investigations are logged, monitored and reported. A follow up system has been developed to review recommendations raised by the corporate fraud team and for these to be reported to the Corporate Leadership Team and the Audit Committee (3) 07/12/2017 - Awaiting confirmation that matching exercise has been undertaken

Case Ref. No.	Summary of Allegation	Dates	Clear Up Team Response	Summary of Findings	Recommendations For Further Action Agreed by the Clear Up Board	Monitoring Officer Response	Monitoring Officer Update
CU 053	Allegation of favouritism in the provision of 'crisis grants' Allegation that there has been favouritism for a number of years to certain groups on race/religious grounds in the provision of 'crisis loans'. Allegation that many genuine cases have been turned down because of their race / religion.	During Clear Up period	Rejected	The complainant was unable / unwilling to provide specific examples to support the allegation. The Clear Up Team considered the processes for Crisis Grants and reviewed and analysed relevant data and could find no indication of favouritism. - Crisis Grant is made under the Local Welfare Provision. Applications for this grant are received / completed online by the Customer Services Customer Access team. - Completed applications are then passed on to the Revenues Processing and Reconciliation Team to process. The processing consists of three stages, the initial assessment, approving the assessment and making payments to successful applicants. Each of these stages is completed by a different member of staff in the main, although in the event of staff shortages, either the approver or the assessor would also make the payment to the customer. - If the approver disagrees with the assessment, it is fed back to the assessor to review their initial assessment. If after the review, the assessor agrees with the approver, the approver's decision will stand. If they are unable to reach an agreement, it is escalated to the manager or to a Senior Officer to make a decision. - It is voluntary for a customer to state their ethnicity and religion on the application form. Data for Crisis Grant for May, July, September and November 2016 was analysed. The findings varied across the field. Taking the 'prefer not to say' numbers into account, and given that applicants had to be in receipt of Housing Benefit, the figures appear to reflect the make-up of the community in the Borough. The findings did not indicate favouritism of any religious or ethnic group over any other. - Given that there was segregation of duties and no indication of favouritism identified, the investigation concludes that the allegation is not founded.	Council to put in place measures, controls and systems to mitigate the risk surrounding the Crisis Grants assessment, approvals and payments processes	This recommendation has been referred to the Corporate Director, Resources for consideration and to action	04/05/2017 - An email was sent by the MO to the Chief Executive and all Corporate Directors providing a copy of this spreadsheet and requesting that they advise the Monitoring Officer in respect of action taken 16/08/2017 - Email sent to the Corporate Director seeking an update 07/12/2017 - A report went to Cabinet 28/11/17 and the Scheme is being revised completely going away from cash payments to the provision of goods and services
				The Clear Up Team did note that, although there is segregation of duties, the three stages are undertaken by five assessors of the same grade, who approve each other's assessments and make payments for each other. It is possible for an individual member of the team to process an application from end to end after it has been received. This puts the staff at risk of being accused of irregularities			
CU 054	Allegation of collusion between Council Senior Officer and the Police Allegation that two former Senior Officers of the Council had links to the local Police, and would influence the Police at the instruction of the former Mayor. Allegation of misfeasance in public office, by using contacts in the Police to harass individuals who were political enemies or complainants of the former Mayor.	No dates supplier	Rejected	The Clear Up Team attempted to gain more specific information and evidence from the complainant to enable investigatory work to take place. The complainant claimed to have direct links to several other potential complaints who allegedly have important evidence related to this allegation. The Clear Up Team provided full assurance to the complainant that the identities of these individuals would be protected if they were to come forward, including providing details of the Prescribed Persons arrangements. However, despite these assurances no further specific information, evidence or other whistle-blowers came forward. As this allegation is vague and there were no specific matters that could be investigated, no further action was taken.	No recommendations	No further action The Summary of Findings is accepted	Case closed as no further action

Case Ref. No.	Summary of Allegation	Dates	Clear Up Team Response	Summary of Findings	Recommendations For Further Action Agreed by the Clear Up Board	Monitoring Officer Response	Monitoring Officer Update
CU 055	<p>Council budgets misappropriated and provided to organisations with extremist views.</p> <p>Allegation that council funds from a number of budgets, including the housing budget had been held back under the instruction of the ex-Mayor.</p> <p>Further allegation that public money had been defrauded from the Council by several organisations in receipt of grant funding and sent to terrorist groups.</p>	2012-2014	Rejected	<p>There was no evidence found to suggest that (i) Council Budgets were held back or misappropriated in any way to fund grants for specific organisations and (ii) there is no tangible evidence found to link the organisations named in the allegations and their grant funding to extremist or terrorist activity. It should be noted however, that the latter point cannot be proved conclusively as the Clear Up Team did not have direct access to the named organisations.</p> <p>There were clear anomalies in the decision making processes for the grants sampled in 2013. Organisations sampled had received awards after Grant Officers had declined applications or recommended lower amounts. No rationale for the changed awards was recorded. In addition, two linked organisations sampled may have applied for small grants with the intention of deceiving the council given the anomalies in information provided. As they were forward funded and did not meet monitoring conditions, it is unknown how funds were spent.</p> <p>However, it is accepted that many of these issues are historic and were also reported on in the PWC Best Value Report. It is noted that current grant award processes are now more transparent and monitoring is more robust, which was substantiated by positive feedback from Grant Officers.</p> <p>Due diligence in relation to grant assessments was generally sound, but there may be scope to check further into the background of an organisation and its trustees/directors to provide assurance against conflicts of interest.</p> <p>There does however remain a risk (not however, significant) that the grant award processes could be subject attempts by unscrupulous organisations to use public money for the purposes of financial crime or terrorist funding, given the process to allow forward funding and the limited money laundering awareness evidenced by Grant Officers.</p>	<p>(1) The Council should consider whether they wish to approach officials of the two organisations where grant applications may have been submitted with intent to deceive, to request an explanation of the similarities and issues with their Mayor's Community Chest grant applications made in 2013. It should also be considered whether it would be appropriate to request the return of the funding provided subject to proof being provided that the funds were spent in accordance with the grant agreements.</p> <p>(2) The Council should also consider a review of the Tower Hamlets Anti Money Laundering Policy and Guidance, together with the grant award processes to ensure that all money laundering risks are taken into account for outgoing funds. It is suggested that Suspicious Activity Reports are submitted in relation to organisations who fail to fulfil grant monitoring conditions after being forward funded.</p> <p>(3) It is also recommended that the Council ensures that training in anti money laundering and terrorist financing regulations is refreshed for all Grant Officers with the subsequent provision of a rolling programme of training annually.</p> <p>(4) Finally, the Council should consider whether checks are made against trustees or directors or organisations during the grant assessment process to protect the Council against potential conflicts of interest arising.</p>	<p>These recommendations has been referred to the Corporate Director, Resources for consideration and to action</p>	<p>(1) 04/05/2017 - An email was sent by the MO to the Chief Executive and all Corporate Directors providing a copy of this spreadsheet and requesting that they advise the Monitoring Officer in respect of action taken</p> <p>16/08/2017 - Email sent to the Corporate Director seeking an update</p> <p>07/12/2017 - This is still being considered</p> <p>(2) to (4) 07/12/2017 - The Grants Team is being restructured and other matters are being addressed as part of the set procedures and training needs for the new Team. Further there is there is now a Grant Spotlight Review Panel which ensures greater scrutiny of grant monitoring conditions</p>
CU 056	<p>Fraud at Tower Hamlets Homes</p> <p>Various allegations of fraud within Tower Hamlets Homes.</p>	No dates supplied	Rejected	<p>The Clear Up Board's view is that THH is a separate legal entity and as such that organisation should have the opportunity to investigate these claims in the first instance.</p> <p>The Clear Up Team attempted to broker a meeting between the THH CEO and the complainant, with the identity of the complainant being fully protected. The THH CEO is very keen to consider these allegations.</p> <p>A range of options were proposed to the complainant to enable this to take place, with the Clear Up Team continuing to play an introductory role. As of the close of the Clear Up Project, the complainant has not yet taken up the opportunity to raise these matters with THH.</p>	No recommendations	<p>No further action</p> <p>The Summary of Findings is accepted</p>	Case closed as no further action

Case Ref. No.	Summary of Allegation	Dates	Clear Up Team Response	Summary of Findings	Recommendations For Further Action Agreed by the Clear Up Board	Monitoring Officer Response	Monitoring Officer Update
CU 057	<p>Failure to conduct a fair disciplinary process Allegation of improper behaviour in relation to several individuals and of procedural failings in connection with a harassment and discrimination complaint against an individual, an alleged unfair disciplinary investigation process and a flawed appeal.</p>	2013-2016	Rejected	<p>Following document review and an informal fact finding interview, the Clear Up Team's view is that, as this matter has progressed through the Council's disciplinary processes to the appeal stage there are no grounds for further investigation.</p> <p>Separate investigations were carried out at the CHAD (combatting harassment and discrimination) and disciplinary stages by two different investigators, and the appeal was heard by a Corporate Director, in line with the Council's policy. The complainant had the opportunity to raise matters relating to the case at each stage, including at the appeal stage.</p> <p>On a prima facie assessment of the information it would appear there was an acceptance by management that there were procedural failures during the CHAD investigation but on a prima facie assessment the disciplinary investigation took a narrow view of the charges WB11 was ultimately disciplined on. It appears as though the earlier procedural irregularities were addressed at the second investigation and at the appeal stage.</p>	This case and the issues raised within it should be used as a management review within the One HR Programme / HR Policies and Practice Project to strengthen the robustness of CHAD, grievance, disciplinary and appeals processes, to establish fairness of the Council's procedures and how these are practised so as to make improvements in the future.	This recommendation has been referred to the Divisional Director, HR and Transformation for consideration and to action	<p>The review and realignment of HR Policy and Procedures is underway. The first 'phase' of the review has focused predominantly on 4 key current people policies and procedures. Disciplinary; Combatting Harassment and Discrimination (CHAD)/ Grievance, Absence and Performance of employed Council staff and has considered:</p> <ul style="list-style-type: none"> • current policies and procedures • application of those policies and procedures • perception and views of those who either use, or have been through these procedures - managers, TU's, HR and staff member <p>A report went to CLT on 13/09/2017 and a report is due to go to GP Committee on 12/10/2017</p> <p>12/10/2017 - A briefing report went to GP Committee on the Phase 1 review of a number of key HR policies and procedures undertaken by the HR and Transformation Team</p> <p>06/12/2017 - Discussions with the trade unions are continuing through the Trade Union Forums</p>
CU 058	<p>Treatment of a local resident Allegation that a local resident and business owner had been made bankrupt by the Council on the basis of non-compliance with County Court Judgements (CCJ's) despite having paid all outstanding claims. Further allegation that this event and previous/subsequent harassment by officials working for the Council and East End Homes Ltd (EEH) stemmed from a personal issue with a former Respect Party member and friend of the former Mayor. Allegation that complaints made by the resident have not been taken seriously and have been dismissed.</p>	2004 onwards	Rejected	<p>The allegation claiming that the resident was made bankrupt improperly is rejected on the basis that (i) no evidence could be found to substantiate the claim from available Council records and (ii) evidence promised by the complainant to substantiate the allegation was not provided.</p> <p>However, there was evidence found that suggested a disparity between records held on Council systems and correspondence and emails held on the resident's file relating to the payment of a CCJ. In the absence of evidence being provided by the complainant, it cannot be conclusively proved that the resident satisfied the CCJ twice. It is unfortunate that this disparity was not picked up by the Council in the investigation of previous complaints made by the resident.</p> <p>The allegation that business rent statements were tampered with by the Council is rejected on the basis that a review of electronic rent records for the resident have proved that the anomalous entries evidenced were typing errors and/or were valid invoices in all cases.</p> <p>There was no evidence found of any impropriety by Council Officers in their dealings with the resident.</p>	Given the disparity in records held by the Council in relation to the satisfaction of the CCJ, it is recommended that the Council remain open to the receipt of further evidence that proves that the CCJ was paid twice. This evidence should include a breakdown of payments made by the third party who settled the bankruptcy petition on behalf of the resident, including references, beneficiaries, dates and times in order facilitate further investigations by the Council and their appointed solicitors.	This recommendation has been referred to the Divisional Director, Finance, Procurement, Audit for consideration and to action	<p>04/05/2017 - An email was sent by the MO to the Chief Executive and all Corporate Directors providing a copy of this spreadsheet and requesting that they advise the Monitoring Officer in respect of action taken</p> <p>16/08/2017 - Email sent to the Divisional Director seeking an update</p> <p>05/12/2017 - No further evidence yet submitted and this action can be closed save that the Council will consider any fresh evidence that is submitted</p>

Case Ref. No.	Summary of Allegation	Dates	Clear Up Team Response	Summary of Findings	Recommendations For Further Action Agreed by the Clear Up Board	Monitoring Officer Response	Monitoring Officer Update
CU 059	<p>Improper Council decision making in relation to 'Rich Mix' S106 funds and litigation</p> <p>A decision taken by the Strategic Development Committee ("SDC") in 2010 to allocate funds to Rich Mix Cultural Foundation ("Rich Mix") was not in the best interests of tax payers, and the decision should properly have been made through grant-making procedures and not by the SDC. The decision was influenced by Members having personal connections with Trustees of Rich Mix.</p> <p>Individual Mayoral Decision 101 on 18 June 2015 was not in the best interests of tax payers due to a lack of information and was made in a secretive way.</p> <p>A Member who had a conflict of interests was involved in discussions relating to the matter during an Overview and Scrutiny Committee meeting.</p>	2010 and 2015	Rejected	<p>The decision relating to the allocation of S106 funds (which are not a grant) to Rich Mix appears to have been referred to the SDC in 2010 by an Officer on the basis that it was his view that it was likely to be a particularly sensitive decision. Considering that the SDC's decision is still being discussed more than six year later then this does not appear to have been an unreasonable view for the Officer to have held.</p> <p>No conflict of interests arises purely by virtue of the fact that a member of the same political party of someone else with a connection to an organisation is involved in the decision making.</p> <p>The Mayor felt that he had sufficient information available to him in order to make Individual Mayoral Decision 101 in June 2015. The information available to the Mayor could not be published at the time, due to (i) some relating to the financial and business affairs of Rich Mix; and (ii) a need to maintain legal privilege whilst litigation was ongoing. Permission was sought from Rich Mix for financial information to be published. Subsequently, following signing of the Settlement Agreement (i.e. when legal privilege no longer needed to be maintained), both Rich Mix's financial information and the Decision Report which the Mayor had considered when making the Decision were published</p> <p>A Member's non-pecuniary interest was declared at the Overview and Scrutiny Committee meeting held on 7 July 2015. The Council's Constitution did not specify what action should be taken in response. Whilst it may have been advisable for the Member to leave the OSC meeting for the avoidance of the perception of a conflict in their roles, by remaining in the meeting they did not commit any breach of the Council's regulations.</p>	<p>The Constitutional Working Party is requested that (i) their review of Part 5 of the Constitution (Codes and Protocols) considers what actions should be taken by a Member who declares a non-pecuniary interest, particularly in relation to matters that are Exempt due to Legal Privilege; and (ii) their review considers whether it would assist the Monitoring Officer in maintaining the confidentiality of Exempt information if additional guidance was included relating to the procedures for the issuing and protection of Exempt information (pink papers).</p>	<p>The Monitoring Officer has revised the Code of Conduct for Members and which was approved by Council on 05/12/2016. The Monitoring Officer has also reviewed the Member/ Officer Protocol and a revised Member/ Officer Relations' Protocol has been prepared a. This will be presented to a future Constitutional Working Party for consideration</p>	<p>The MO has reviewed and revised the Protocol and which was considered by the CWP on 22/06/2017 and by GP Committee on 05/07/2017. Further changes are to be made and the revised Protocol will be reported back to GP Committee on 12/10/2017 for them to recommend to Council.</p> <p>12/10/2017 - A report went to GP Committee with a revised Member/Officer Relations Protocol and it was recommended to Council for approval</p> <p>22/11/2017 - Council approved the revised Member/Officer Relations Protocol</p>
CU 060	<p>Council housing fraud</p> <p>Allegation that a resident has received unwarranted works in a Council property through favouritism and dishonesty, and that the occupier has another private property.</p>	Not given	Out of Scope	<p>Although the property's address was provided, no dates were given by the complainant. The Clear Up Board agreed that this matter would be best taken forward by the Council's social housing fraud team and as a result it was referred to the team by the Clear Up Project Manager.</p> <p>The complainant was informed.</p>	No recommendations	<p>This is a matter being investigated by the Council's Risk Management and Continuity Planning Team and will be reviewed by the Monitoring Officer once the outcome of the investigation is known</p>	<p>04/05/2017 - An email was sent by the MO to the Chief Executive and all Corporate Directors providing a copy of this spreadsheet and requesting that they advise the MO in respect of action taken</p> <p>16/08/2017 - Email sent seeking update as to progress with investigation</p> <p>18/09/2017 - The Council's Tenancy Fraud team is liaising with Legal services to complete this investigation.</p>

Case Ref. No.	Summary of Allegation	Dates	Clear Up Team Response	Summary of Findings	Recommendations For Further Action Agreed by the Clear Up Board	Monitoring Officer Response	Monitoring Officer Update
CU 061	<p>Allegation of conspiracy to pervert the course of justice / collusion in respect of investigations into Youth Service</p> <p>In May 2016 Cllr Rachael Saunders stated to Council that around 75 investigations were underway into actions of staff in the Youth Services team. Complainant alleges there will be no prosecutions of any Youth Services staff as a result of evidence being "incorrectly packaged" and the Metropolitan Police Service not forwarding the evidence to the Crown Prosecution Service. The Council's response to FOI 6081379 stated that the MPS informed the Council that the reason for the MPS not proceeding with criminal prosecutions was because there was "insufficient evidence to proceed".</p> <p>Allegation is that (i) Council Officers have lied to Council Members (not specified which) regarding the reasons for there being no prosecutions of Youth Service staff; and (ii) that there is collusion between Council Officers and the MPS to bury evidence.</p>	2016	Rejected	<p>No evidence has been identified in relation to this allegation to substantiate that either (i) Council Officers have lied to Council Members regarding the reasons for there being no prosecutions of Youth Service staff; or (ii) that there is collusion between Council Officers and the MPS to bury evidence.</p> <p>There is evidence that alternative wording for the reasons for there being no prosecution has been used in a private meeting, but there does not appear to have been any attempt to lie or mislead.</p> <p>The allegation includes facts relating to three different 'batches' of investigation evidence:</p> <p>(i) Relating to 9 organisations which purportedly provided services to the Youth Service but were found not to exist;</p> <p>(ii) Relating to individuals who have been employed by the Youth Service at some time during the last 3 years and are being investigated in relation to potentially inappropriate expenditure on Council Payment Cards; and</p> <p>(iii) Relating to individuals who have been employed by the Youth Service at some time during the last 3 years and are being investigated in relation to potential failure to declare conflicts of interest.</p> <p>The statement made by Cllr Rachael Saunders to Council on 18 May 2016 related to batches (ii) and (iii).</p> <p>The statement made in response to FOI 6081379 related to batch (i).</p>	No recommendations	<p>No further action</p> <p>The Summary of Findings is accepted</p>	Case closed as no further action
CU 062	<p>Blocking of enquiries</p> <p>Allegation that a former Senior Officer of the Council repeatedly blocked internal and external enquiries into wrongdoing at Tower Hamlets Council and Tower Hamlets Homes. Specific allegation relating to an incident in November 2013 when three individuals purporting to be from Tower Hamlets Homes knocked on the door of a resident asking how the former Mayor could help, and of an alleged blocked enquiry into this event.</p>	November 2013	Rejected	<p>The complainant was unable to supply any further evidence on this allegation other than an account already provided.</p> <p>The Clear Up Team did not pursue this matter further as:</p> <ul style="list-style-type: none"> - This matter has been looked at by the Metropolitan Police - Other than Senior Officers who have now left the Council, information of the names of staff involved, either within the Council or TH Homes are unknown - The exact breach that may have occurred is unclear. <p>Any investigation would therefore be disproportionate and would be unlikely to reach a firm conclusion</p>	No recommendations	<p>No further action</p> <p>The Summary of Findings is accepted</p>	Case closed as no further action

Case Ref. No.	Summary of Allegation	Dates	Clear Up Team Response	Summary of Findings	Recommendations For Further Action Agreed by the Clear Up Board	Monitoring Officer Response	Monitoring Officer Update
CU 063	<p>Allegations of fraud</p> <p>(1) Photocopying of postal votes, obtaining grants and housing benefit fraud</p> <p>Allegation of an individual photocopying postal votes during an election. Allegation that the individual has obtained grants for a local organisation. Allegation that this individual claims housing benefit fraudulently.</p>	No dates given – asserted to be during Clear Up period	Rejected	<p>The allegation of photocopying postal votes has been rejected as the complainant has been unable to provide any dates or documentation to support these assertions.</p> <p>A referral has been made to the DWP Housing Benefits Department to investigate the allegation of possible housing benefits fraud in relation to the individual.</p> <p>The allegations of fraudulent activities and links to a terrorist organisation by members of a local organisation rejected due to lack of any supporting evidence.</p> <p>Information report supplied to the Charity Commission to advise that a Trustee for the local organisation is also a Trustee for an organisation that supports a foreign political party.</p>	<p>(1) Referral of Housing Benefit matter made by Clear Up Team.</p> <p>(2) Referral to Charity Commission made by Clear Up Team.</p> <p>(3) Grants Team to ensure that the outstanding monitoring visit to the organisation for failings in returning accurate and timely reports is actioned as soon as possible</p>	<p>(1) No further action [Matter with DWP]</p> <p>(2) No further action [Matter with Charity Commission]</p> <p>(3) This recommendation has been referred to the Corporate Director, Resources for consideration and to action</p>	<p>(1) & (2) As this has been addressed, there is no further action</p> <p>(3) 04/05/2017 - An email was sent by the MO to the Chief Executive and all Corporate Directors providing a copy of this spreadsheet and requesting that they advise the Monitoring Officer in respect of action taken</p> <p>16/08/2017 - Email sent to the Corporate Director seeking an update</p> <p>07/12/2017 - All monitoring visits are up-to-date and there is a Grant Spotlight Review Panel which ensures greater scrutiny of all red and amber rated projects</p>
CU 064	<p>Allegation of fraud involving a local organisation</p> <p>Allegation that members of an organisation with alleged extremist views have taken over the organisation from more moderate members of the community. Allegation of fraudulent activities of obtaining grants and monies raised in this organisation being used to fund other activities</p>		Rejected	<p>An issue relating to the local organisation's non-compliance of submitting their grants forms on time and of an outstanding monitoring visit (since April 2016) have been found to still need addressing by the Grants Team.</p> <p>The Clear Up Team also found that there is another whistle-blowing matter connected to this allegation running in parallel to the Clear Up Project, and this is being addressed through the Council's whistle-blowing process.</p>	No recommendations	<p>No further action</p> <p>The Summary of Findings is accepted</p>	Case closed as no further action
CU 065	<p>Wrongdoing concerning the Council's Rapid Response Team</p> <p>Allegation of drug taking, drinking, and postal vote fraud involving the Rapid Response Team</p>	Early 2014	Rejected	<p>As this allegation is vague, and no specific investigable details are provided the Clear Up Team's view is that and any investigation would be disproportionate.</p> <p>The complainant was unable to provide any further evidence.</p> <p>The substance of the allegation could neither be upheld nor rejected.</p>	<p>There are a number of Council reviews underway that impact on the role of the Rapid Response Unit (e.g. the new Anti-Social Behaviour Strategy), and there have been a number of audits and investigations in the past that have reported findings and recommendations in relation to the Unit. The Council should ensure that any past findings and/or recommendations relating to the Unit and any future recommendations as a result of these reviews are carefully tracked and implemented.</p>	<p>This recommendation has been referred to the Divisional Director, Community Safety for consideration and to action</p>	<p>The new Divisional Director and Manager of the service are reviewing all previous relevant audits and recommendations to ensure that future plans for the Rapid Response Team address any issues. The issues are being addressed through a training and development plan and improved management oversight</p>
CU 066	<p>Failure of HR to provide appropriate advice during a disciplinary process and failure of the Council to respond to complaints raised in relation to this</p> <p>Complainant won an Employment Tribunal which determined that he had been unfairly dismissed by a voluntary aided school. Complainant alleges that:</p> <p>1. The Head teacher of the School pre-determined the outcome prior to any investigation;</p> <p>2. HR advice provided by the Council to the Governing Body during the investigation / disciplinary / appeal was incorrect and biased;</p>	2012 and ongoing	Partially out of scope Partially rejected	<p>The Clear Up Team conducted a full investigation of this matter and provided feedback to the complainant.</p> <p>Due to a restricted reporting order having been put in place in relation to the Employment Tribunal judgement and the reasons for it, the detailed findings in relation to these allegations will not be published.</p>	<p>(1) Recommendations made in this case must be allocated as action points against a timetable and progress in implementing them must be tracked and monitored. A number of the recommendations were made 30 months ago, but there has been limited progress made in implementing them since then. A report with an action plan is to be reported to the Statutory Officers' meeting.</p> <p>(2) Officers in the Schools HR Team should clearly and contemporaneously document all HR advice that is provided to schools, and a formal part of the pre-meeting for a suspension should be to inform schools that, if they act contrary to HR advice that is provided to them, then they will become responsible for any costs that are incurred.</p> <p>(3) An HR Officer should be appointed as the owner of the list of potential independent external Investigating Officers. The list should be refreshed, and background checks undertaken on the reputation and experience of those included on the list.</p> <p>(4) The HR Senior Manager should instruct all Officers in the Schools HR Team that, when requested by a school to recommend an external Investigating Officer, they should provide details of at least three potential Investigating Officers so that it is clearly the school which makes the decision as to who to appoint and there is not a perception that the Investigating Officer has been appointed by the Council.</p>	<p>(1) This recommendation has been referred to the Divisional Director, HR and Transformation for consideration and to action</p> <p>(2) This recommendation has been referred to the Divisional Director, HR and Transformation for consideration and to action</p> <p>(3) This recommendation has been referred to the Divisional Director, HR and Transformation for consideration and to action</p> <p>(4) This recommendation has been referred to the Divisional Director, HR and Transformation for consideration and to action</p>	<p>(1) A report is to be taken to the Statutory Officers meeting in October 2017 with an update against the recommendations made and details of who is responsible for implementing them and by what deadline. A review of the role of the Schools HR Team is also being undertaken in advance of the restructure of the HR service</p> <p>(2) An instruction has been issued to make contemporaneous notes of all verbal advice given</p> <p>(3) The Senior Business Partner currently responsible for supporting HAC and Resources Directorates is leading on Employee Relations for the HR & Transformation Management Team and improving management of investigations.</p> <p>(4) An instruction has been issued to provide managers and schools with a number of IOs to select from and make it clear they are making the appointment.</p>

Case Ref. No.	Summary of Allegation	Dates	Clear Up Team Response	Summary of Findings	Recommendations For Further Action Agreed by the Clear Up Board	Monitoring Officer Response	Monitoring Officer Update
	<p>3. The External Investigating Officer recommended by the Council to the Governing Body was not independent, did not conduct an appropriate investigation, and had pre-determined the outcome on the basis of instructions from the School and / or the Council;</p> <p>4. Council investigated the complaint against HR and the HR investigator, using another investigator also from HR who was not independent; and</p> <p>5. The Complainant has raised the issue repeatedly during the last two years and the Commissioners / Head of Paid Services / Chief Executive have failed to respond.</p>				<p>(5) The HR Senior Manager should review whether a presumption that all activity in relation to investigations being conducted in schools ceases during the six weeks summer holiday is necessary, given that this results in a loss of timeliness in the collation of evidence and some witnesses may be available during this period.</p> <p>(6) Officers in the Schools HR Team should be provided with further training in relation to the requirements of the Burchell Test in relation to investigations, and advising on this should become a standard element of advice provided to Disciplinary Panels and Disciplinary Appeal Panels.</p> <p>(7) The role of the independent Investigating Officer at a Disciplinary Panel should be clarified by the HR Policies and Procedures Project Board and the wording in the Schools Personnel Manual Procedure for the Disciplinary Hearing should be amended.</p> <p>(8) The Governors Service should conduct mandatory training for any governor who will chair either a Disciplinary Panel or a Disciplinary Appeal Panel, and the chair should run the Panel and ask questions of the witnesses and the Investigating Officer.</p> <p>(9) As part of the standard procedures when advice is provided in relation to a new allegation, the Schools HR Team should consider the potential conflict of interests that may arise in relation to the roles of the Head teacher and how these will be mitigated, for example, considering if the Head teacher is the key witness whether it is appropriate that the Head teacher should also commission and brief the external Investigating Officer.</p> <p>(10) When an Employment Tribunal rules that a dismissal has been unfair, then the Legal Officer involved in the case should request an independent HR Officer to undertake a review of the case, the HR advice that was given, and the details of the judgement, in order to identify and lessons to be learned and any changes to procedures required.</p> <p>(11) The HR Policies and Procedures Project Board should consider whether any clarification is required in relation to which policies apply in relation to voluntary aided schools at which, in addition to relevant Council procedures, there are also relevant diocesan procedures, and that these policies are consistent in the requirements set out.</p>	<p>(5) This recommendation will be referred to the Divisional Director, HR and Transformation for consideration and to action</p> <p>(6) This recommendation will be referred to the Divisional Director, HR and Transformation for consideration and to action</p> <p>(7) This recommendation will be referred to the Divisional Director, HR and Transformation for consideration and to action</p> <p>(8) This recommendation will be referred to the Corporate Director, Children's for consideration and to action</p> <p>(9) This recommendation has been referred to the Divisional Director, HR and Transformation for consideration and to action</p> <p>(10) This recommendation has been referred to the Divisional Director, Legal for consideration and to action</p> <p>(11) This recommendation has been referred to the Divisional Director, HR and Transformation for consideration and to action</p>	<p>(5), (6) & (7) - 04/05/2017 - An email was sent by the MO to the Chief Executive and all Corporate Directors providing a copy of this spreadsheet and requesting that they advise the Monitoring Officer in respect of action taken</p> <p>16/08/2017 Email sent to the Divisional Directors seeking an update</p> <p>(8) 04/05/2017 - An email was sent by the MO to the Chief Executive and all Corporate Directors providing a copy of this spreadsheet and requesting that they advise the Monitoring Officer in respect of action taken</p> <p>16/08/2017 Email sent to the Corporate Director seeking an update</p> <p>(9) & (11) - 04/05/2017 - An email was sent by the MO to the Chief Executive and all Corporate Directors providing a copy of this spreadsheet and requesting that they advise the Monitoring Officer in respect of action taken</p> <p>16/08/2017 Email sent to the Divisional Directors seeking an update</p> <p>(10) This is agreed and such request will be made by the Legal Officer to HR where the ET rules a dismissal has been unfair. As this has been addressed, there is no further action</p>

Case Ref. No.	Summary of Allegation	Dates	Clear Up Team Response	Summary of Findings	Recommendations For Further Action Agreed by the Clear Up Board	Monitoring Officer Response	Monitoring Officer Update
				<p>(12) The HR Policies and Procedures Project Board should review the wording in the standard suspension letter template to consider clarifying that the onus is on the suspended employee to contact the Link Officer to obtain updates, and that updates will not be proactively offered. Alternatively, it should be agreed at what milestones during the process or at what intervals the Link Officer will contact the suspended employee.</p> <p>(13) The HR Policies and Procedures Project Board should review who is responsible for the provision of counselling for a person who allegations have been made against.</p> <p>(14) In order to avoid an incorrect external perception that internal investigations into the conduct of HR Officers are conducted by other closely connected HR Officers with a lack of independence, any letter informing a complainant of an outcome of an investigation should clearly state how the person who has conducted the investigation is independent of the individuals who the allegation(s) have been made against, and this guidance should be incorporated into the current HR Policies and Procedures Project Board.</p> <p>(15) At the end of a Complaints procedure, whether conducted by the Complaints Team or elsewhere in the Council, when the Complainant is informed that all steps of the process (including a senior review) have been completed then wording included in the final outcome letter should be explicitly clear that "no further correspondence will be entered into".</p> <p>(16) The Corporate Director for Children's Services should consider whether the risk of the Council being liable to reimburse the costs of schools losing cases of unfair dismissal at Employment Tribunals as a consequence of being unable to prove when schools have not complied with HR advice provided to them due to either (i) the advice not being documented at the time; or (ii) the appropriate advice not actually being provided; should be added to the Council's Risk Register.</p> <p>(17) The Schools HR Team should advise Disciplinary Panels and Disciplinary Appeal Panels that minuting of the proceedings should stop when the Panel adjourns to discuss and make a decision.</p> <p>(18) A number of further recommendations were made in relation to this allegation, which cannot be published as a consequence of the Employment Tribunal's ruling that reporting restrictions apply.</p>	<p>(12) This recommendation has been referred to the Divisional Director, HR and Transformation for consideration and to action</p> <p>(13) This recommendation has been referred to the Divisional Director, HR and Transformation for consideration and to action</p> <p>(14) This recommendation has been referred to the Divisional Director, HR and Transformation for consideration and to action</p> <p>(15) This recommendation has been referred to the Divisional Director, HR and Transformation for consideration and to action</p> <p>(16) This recommendation has been referred to the Corporate Director, Children's for consideration and to action</p> <p>(17) This recommendation has been referred to the Divisional Director, HR and Transformation for consideration and to action</p> <p>(18) These have all been picked up by the Divisional Director, HR and Transformation for consideration and to action</p>	<p>(12) to (15) - 04/05/2017 - An email was sent by the MO to the Chief Executive and all Corporate Directors providing a copy of this spreadsheet and requesting that they advise the Monitoring Officer in respect of action taken</p> <p>16/08/2017 - Email sent to the Divisional Director seeking an update</p> <p>(16) 04/05/2017 - An email was sent by the MO to the Chief Executive and all Corporate Directors providing a copy of this spreadsheet and requesting that they advise the Monitoring Officer in respect of action taken</p> <p>16/08/2017 - Email sent to the Corporate Director seeking an update</p> <p>(17) to (18) - 04/05/2017 - An email was sent by the MO to the Chief Executive and all Corporate Directors providing a copy of this spreadsheet and requesting that they advise the Monitoring Officer in respect of action taken</p> <p>16/08/2017 - Email sent to the Divisional Director seeking an update</p>	

Tower Hamlets Best Value Improvement Board 2017-18 Forward Plan

Date of Meeting	Agenda Items	Lead Officer
14 th June 2017	1. BVIB Terms of Reference	Sharon Godman
	2. Draft Q1 update report to the SOS	Sharon Godman
	3. Spotlight: Organisation Culture	Graham White/ Zena Cooke
	4. Children's Services Improvement Plan	Debbie Jones
11 th Sept 2017	1. Draft Q2 update report to the SOS	Sharon Godman
	2. Spotlight: Elections	Will Tuckley / Louise Stamp
	3. Children's Services Improvement Plan Update	Debbie Jones
	4. Corporate Improvement Journey	Sharon Godman
	5. Corporate Peer Challenge	Sharon Godman
18 th Dec 2017	1. Best Value Improvement Plan 2017-18 Q3 Monitoring Report	Sharon Godman
	2. Spotlight: Property	Ann Sutcliffe
	3. Improvement Areas – Customer Services & Organisational Culture	Shazia Hussain & Heather Daly
	4. Children's Services Improvement- progress report quarter 2	Debbie Jones
	5. Clear Up Project Recommendations Implementation	Asmat Hussain
19 th March 2018	1. Best Value Improvement Plan 2017-18 year-end report	Sharon Godman
	2. Spotlight: Grants	Zena Cooke

	3. Children's Services Improvement- progress report quarter 3	Debbie Jones
	4. Adults Improvement Board Update	Denise Radley