



## **Partnership Working – Protocols**

### **Preamble**

The Scottish Cities Alliance (Alliance) is a partnership of Scotland's 8 cities (Aberdeen, Dundee, Dunfermline, Edinburgh, Glasgow, Inverness, Perth and Stirling) and the Scottish Government. It was established in December 2011 following the publication of the Agenda for Cities "*Scotland's Cities: delivering for Scotland*".<sup>1</sup>

The Agenda sets out a vision of:

***A Scotland where our cities and their regions power Scotland's economy for the benefit of all.***

The Agenda for Cities was developed by the Scottish Government in collaboration with the Scottish cities to build further on the strengths and opportunities that exist within cities and their regions to attract investment, create growth and support Scotland's cities to compete internationally. In September 2017, the political leadership of the Alliance agreed to have a focus on promoting cities and Scotland to bring jobs and investment to our cities for the benefit of the whole Scottish economy. To do this they signed a Statement of Intent in which they agreed to:

- Take an inclusive approach to partnership working across political boundaries seeking the common ground to collaborate and achieve inclusive economic growth.
- Work together to develop and agree a four-year operational plan which sets out our strategic focus and collaborative activity.
- Be ambitious for our cities and for Scotland working closely with private sector partners.
- Work together and with national agencies to hone and promote Scotland's investment opportunities, taking a Team Scotland approach, building on our strong national brand.
- Continue our commitment to make Scotland's cities, smart sustainable cities, making best use of data and technology to improve services and attract investment.
- Work together to inform key policy discussions to ensure that Scottish Cities and their regions have the levers and collaborative working arrangements to allow them to compete, innovate and support inclusive economic growth.

The Alliance's Operational Plan 2022-2026<sup>2</sup> focuses on supporting the inclusive economic growth of Scotland's cities and their regions by -

- Speaking powerfully with a single voice to compete successfully in global markets for investment and jobs.
- Raising the profile of Scottish cities as smart and sustainable destinations for investment.
- Informing policy to ensure that the Scottish cities and their regions remain globally competitive.

The Alliance seeks to enable new, more effective, ways of working collaboratively with key stakeholders in both the private and public sector. This document sets out our working practices and our expectations of each other. It exists to maximise the effectiveness of the Alliance.

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<sup>1</sup> <http://www.gov.scot/resource/doc/365367/0124252.pdf>

<sup>2</sup> <https://www.scottishcities.org.uk/about-us/publications>

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## **GUIDING PRINCIPLES**

1. Alliance decisions will be underpinned by an inclusive approach to partnership working across political boundaries, seeking the common ground to collaborate and inform key policy discussion to achieve inclusive economic growth for the benefit of cities, their regions and Scotland as a whole.
2. Work undertaken by the Alliance will be able to demonstrate a contribution to the delivery of key strategies as detailed in the Operational Plan including the National Strategy for Economic Transformation and the City Centre Recovery Taskforce.
3. The Alliance will commit to support and monitor those initiatives that continue to contribute to its objectives.
4. The Alliance will take forward its work programme in an open and inclusive manner, communicating and consulting with its members.
5. Decisions made by the Alliance will have an impact on the use of public resources and will be made with a proper regard to securing high quality outcomes.
6. Where agreement is difficult due to conflicting ambitions or objectives, the Programme Director will work with Alliance partners and seek to find a compromise that the partners agree represents the best outcome for the Alliance in line with the Operational Plan which does not damage the reputation or financial probity of any of the partner organisations. As appropriate, the Programme Director will be supported in carrying out these responsibilities by the Chair of the Leadership Group and Chair of the CEO Group.
7. The Scottish Government engages with the city Local Authorities through the Alliance and the city Local Authorities, in turn, engage with their neighbouring Local Authorities and regions.

## **ROLES OF THE PARTICIPANTS**

### **Leadership Group**

1. The Leadership Group's function is to provide strategic direction for the Alliance, including agreeing priorities for the delivery of the Alliance's Operational Plan. The Leadership Group comprises the Leaders of the city Local Authorities, their Chief Executive Officers and the Cabinet Secretary for Wellbeing Economy, Fair Work and Energy.
2. Leadership Group meetings will be held in private, however in general, meeting notes will be made public once they are in final agreed form. Exceptions to this may arise on occasion, with the agreement of the Chair.
3. The Chair of the Leadership Group will be a City Leader, appointed by the Leadership Group for the duration of a local government term.
4. The Chair of the Leadership Group will work closely with the Alliance Programme Director, providing guidance on the development of the Operational Programme and where appropriate, take a lead role in representing and promoting the Alliance. The Chair of the Leadership Group will also be responsible for developing and managing the Alliance's relationship with other representatives from both the Scottish and UK Governments.
5. Responsibility for providing the secretariat for the Leadership Group meetings rests with the Alliance Core Team.

### **CEO Group**

1. The CEO Group, comprising the 8 city CEOs, and the Director Generals in the Scottish Government for Economy, Net Zero and Communities will ensure the strategic development and delivery of the Alliance's Operational Plan.
2. The Chair of CEO Group will be the city CEO of the City Leader who is Chair of the Leadership Group. The Chair will be elected as a spokesperson for the CEO Group and will act as the key point of contact between the Chair of the Leadership Group, the City CEOs, the Scottish Government and the Alliance Core Team.
3. The Chair of the CEO Group will work closely with the Programme Director and Scottish Government Director Generals to co-design the agendas for CEO Group meetings and agree when to invite the CEOs of national agencies to CEO Group meetings to aid discussion of particular agenda items.
4. Agendas for CEO Group meetings will focus on the alignment of resources and coordinating structures between national and local government to deliver shared economic, environmental and social priorities across the cities in line with the Alliance's Operational Plan.
5. A City CEO will be appointed as a strategic lead for activity agreed by the CEO Group with the aim of providing direction and support to the Alliance Programme Director to progress activity between CEO Group meetings.
6. Progress on activity agreed at CEO Group meetings will be reported into Leadership Group meetings by the Programme Director as part of the Director's Report.

7. Responsibility for providing the secretariat for the CEO Group meetings rests with the Alliance Core Team. Records of all meetings are kept with all decisions recorded.

### **Delivery Group**

1. The Delivery Group comprises senior officials identified by city leaders and CEOs, Scottish Government officials with policy responsibility for priorities in the Alliance's Operational Plan 2022-2026 and representatives of the Alliance's Core Team.
2. The Delivery Group will :
  - a) Provide knowledge, experience and direction to the Alliance Core Team on how to progress activity in the Operational Plan and agreed by the Leadership Group and CEO Group in a collaborative way.
  - b) Have oversight of the budget required for delivery of the Operational Plan.
  - c) Identify appropriate officers across their organisation to assist the Alliance Core Team to deliver activity in the Operational Plan including to participate in agreed Peer-to-Peer activity.
3. Delivery Group meetings will be chaired by the Programme Director and held in private as and when required to allow the Alliance Core Team to progress key activity in the Operational Plan.
4. Progress on activity agreed at Delivery Group meetings will be reported into Leadership Group and CEO Group meetings by the Programme Director as part of the Director's Report.
5. Responsibility for providing the secretariat for Delivery Group meetings rests with the Alliance Core Team. Records of all meetings are kept with all decisions recorded.

### **Investment Promotion Working Group**

1. The Investment Promotion Working Group comprises officers from the 8 city local authorities with experience of inward investment activity as well as officers from the Scottish Government's Directorate for International Trade and Investment, SDI's Capital and Inward Investment Teams, officers from Scotland House London and the UK Government's Department for Business and Trade.
2. The Investment Promotion Working Group provides city officers with an opportunity to :
  - a) Collaborate and shape the investment programme of the Alliance in partnership with both the Scottish and UK Governments and agencies.
  - b) Raise the profile of investment activity they as a city are actively engaged in with Scottish and UK Governments and agencies.
  - c) Learn how other cities are approaching attracting investment to their city.
  - d) Understand their city's unique offering in relation to other cities and how they tailor their city messaging and offering accordingly.
3. The Investment Promotion Working group provides both the Scottish and UK Government's and their agencies an opportunity to :
  - a) Collaborate and shape the investment programme of the Alliance in partnership with the cities.
  - b) Hear directly from the cities about how they plan to attract new investment.
  - c) Provide an overview of national activity they are delivering and discuss opportunities for the cities to participate and support as appropriate.
  - d) Shape their future plans and offering to the cities based on city intelligence.
4. The Chair of the Investment Promotion Working Group will be a senior officer appointed by the city CEO who is the strategic lead for the Alliance's Investment Promotion activity.
5. Investment Promotion Working Group meetings will be held in private as and when required to allow the Alliance Core Team to progress agreed activity in the Operational Plan.
6. The Investment Promotion Working Group will have oversight of spend of the Alliance's budget for investment promotion activity in the Operational Budget.
7. Progress on activity agreed at the Investment Promotion Working Group will be reported into Delivery Group, CEO Group and Leadership Group meetings as appropriate by the Programme Director.
8. Responsibility for providing the secretariat for the Investment Promotion Working Group rests with the Alliance Core Team. Records of all meetings are kept and decisions recorded.

## **Alliance Core Team**

1. The Alliance Core team comprises the following members of staff :
  - Programme Director
  - Policy Lead
  - Investment Lead
  - Project Officer
  - Administration and Finance Officer
2. The primary focus of the Alliance Core Team will be to secure maximum impact and delivery of the cities' aspirations and to drive and deliver the Operational Plan. The team will be proactive in identifying and bringing new opportunities to the Alliance, and in seeking to elevate the position of Scotland's cities within the wider UK and international context.
3. The Alliance Core Team is also responsible for overseeing the delivery of the Alliance's Operational Plan and associated policy and research requirements; relationship management of Alliance partners and stakeholders; secretariat function for the Leadership Group, CEO Group, Delivery Group and Investment Promotion Working Group meetings; oversight of reactive communications on behalf of the Alliance in accordance with the protocols in Annex A; and financial management of the Operational Budget in accordance with the protocols in Annex B.
4. The Alliance Core Team will support the Chairs of the Leadership Group, CEO Group, and Investment Promotion Working Group in carrying out their roles and responsibilities.
5. The Alliance Core Team will liaise with policy sources to ensure the Investment Promotion Working Group, Delivery Group, CEO Group and Leadership Groups have access to expertise, research and best practice on cities' growth agendas.

## **National Agencies**

1. The Scottish Government will facilitate access to specialist resources from national agencies as appropriate, including, but not limited to, Scottish Development International, Scottish Enterprise, Highlands and Islands Enterprise, Skills Development Scotland, Scottish Funding Council, Zero Waste Scotland, Scottish Futures Trust and Transport Scotland, to help develop collaborative programmes and propositions.

## **Dundee City Council**

1. Dundee City Council shall be the 'host' employer of the Alliance Core Team with effect from 1st October 2022 until the termination of the fixed term contracts of employment of the Alliance Core Team members on 31st March 2026.
2. In the event that, for any reason (including the expiration of the fixed term contracts), the employment of the Alliance Core Team or anyone of them is terminated by Dundee City Council, the Alliance Partners shall reimburse the said Dundee City Council for any costs incurred in respect of that termination including, any compensation, notice pay, statutory redundancy payment, contractual redundancy (if any) and payment for accrued untaken holidays and other liabilities due to the Alliance Core Team or any one of them.
3. In the event that, for any reason, whilst in the employment of Dundee City Council, the Alliance Core Team or any one of them become the subject of a TUPE transfer, the Alliance Partners shall reimburse the said Dundee City Council in respect of any liabilities incurred by them arising under the Transfer of Undertakings (Protection of Employment) Regulations 2006.
4. The Alliance Core Team shall be based at the University of Strathclyde in accordance with the terms of the Licence to Occupy agreed between the University of Strathclyde and Dundee City Council dated 27th February 2023.
5. The Alliance Partners shall reimburse the said Dundee City Council for any costs, damages, losses and expenses arising from or connected with the employment of the Alliance Core Team including any arising from the said Licence to Occupy.
6. Dundee City Council shall be responsible for maintaining robust financial, IT and HR support for the Alliance Core Team. Dundee City Council shall report on the Operational budget on a quarterly basis to the Programme Director.

**Governance of Scottish Cities Alliance is detailed below :**



## **PRINCIPLES OF OPERATION**

### **Scottish Cities Alliance Operational Budget**

The Scottish Government and 8 Scottish Cities contribute annually to an Operational Budget to support delivery of Activity in the Alliance's Operational Plan. The Operational Budget is made up of :

- Staffing costs
- Operational and Administration costs
- Research and Best Practice
- Programme Delivery costs

Dundee City Council as the host authority for the Alliance Core Team are responsible for maintaining robust financial records for the Operational Budget in exchange for a management fee as agreed by the Alliance Partners. Dundee City Council shall report on the Operational Budget on a quarterly basis to the Programme Director.

Available funds in the Operational Budget may be used to support programmes of work which help deliver the outcomes of the Scottish Cities Alliance. Decisions on budget spend can be made in accordance with the principles of operation of the Scottish Cities Alliance and can be made to support projects or activity which :

1. Aligns with the priorities set out in the Operational Plan.
2. Demonstrates Benefit to Scotland.
3. Involves collaboration.
4. Secures opportunities for match funding.
5. Delivers tangible outcomes in terms of increased:
  - a) Investment; and/or
  - b) Jobs; and/or
  - c) Adoption of new technologies and/or
  - d) Scottish Cities and their regions have the levers and collaborative working arrangements to allow them to compete, innovate and support inclusive economic growth: and /or
  - e) Business growth
6. Demonstrates additionality by either:
  - a) Delivering scale that would not otherwise be possible; and/or
  - b) Attracting funds that would not otherwise invest in Scotland; and/or
  - c) Sharing risk and best practice.
7. Delivers community benefit and jobs for young people.
8. May be pathfinder or pilot project for a much bigger programme of work.
9. Are legal and state aid compliant.

## **APPLICATION OF PRINCIPLES**

### **Roles, Responsibilities and Process**

#### **Scottish Cities Alliance Leadership Group (Leadership Group)**

1. The Leadership Group will agree the principles of operation of the Operational Budget.
2. As part of its overall role to provide strategic direction, it will scrutinise budgeting and spend on a regular basis to satisfy itself that the fund is being used appropriately to deliver the aims of the Scottish Cities Alliance.

#### **Scottish Cities Alliance Delivery Group (Delivery Group)**

1. The Delivery Group will manage the Scottish Cities Alliance's programme of activity and, on a case-by-case basis, identify proposals for specific work programmes to access relevant funds within the Operational Budget.
2. At all times, the Delivery Group will seek to ensure that the impact of the Operational Budget is maximised by prioritising those programmes which will deliver the greatest impact. The CEO Group may give direction to the Delivery Group as appropriate on how they would like to see the Fund used to deliver strategic objectives in the Operational Plan.
3. On a case-by-case basis, the Delivery Group will determine whether or not a proposed use of the Operational Budget is in line with the agreed principles of operation.
4. The Delivery Group will satisfy itself that the proposed funding package is consistent with the duties of Best Value and that it does not displace spend that a Local Authority or other public sector body would otherwise have undertaken.
5. Where the Delivery Group is satisfied that the agreed principles of operation are met, it will approve a funding package and authorise the release of funds.
6. The Delivery Group will ensure that decisions on the use of the Operational Budget are taken in a transparent manner.
7. On a regular basis (quarterly, or more frequently if it is considered that the scale of the spend warrants a more frequent update), the Delivery Group will provide the Leadership Group with budget estimates and spend to date so that the Leadership Group can satisfy itself that the fund is being used appropriately to deliver the aims of the Scottish Cities Alliance.
8. The Delivery Group will ensure that projects and spend are subjected to robust evaluation.

## **DETAILED PROCESSES**

The following detailed processes have been developed to assist more effective working. These will be kept under review and updated and augmented as required as the Alliance matures and evolves. Each has been constructed so as to be able to be used as a stand-alone document.

### **Annex A: Communications**

This protocol is intended to establish an agreed set of standards and processes between the partners for the management of communications for the Scottish Cities Alliance. It is intended to cover the management of all reactive media and communications in relation to the Alliance partnership and its activities as well as proactive activity undertaken by any of the partners.

### **Annex B: Financial Management**

Detailed processes set out how the fund can be accessed, how the decision-making will be recorded for audit purposes and how budgeting and expenditure will be monitored and tracked.



## **Annex A: Communications**

### **Communications Protocol between the Scottish Cities Alliance Partners**

#### **Introduction**

The Scottish Cities Alliance (The Alliance) is a partnership of the 8 Scottish cities and the Scottish Government. It provides a framework for effective collaboration and attracting investment aimed at getting more investment, jobs and businesses into our cities and their regions and helping Scotland's Cities compete more successfully on the international stage. All involved have an interest in maximising publicity for the activities and successes of the Alliance and recognise the benefits of the communication being consistent in message and coordinated in delivery.

#### **Protocol**

This protocol is intended to establish an agreed set of standards and processes between the partners for the management of communications for the Scottish Cities Alliance. It is intended to cover the management of all reactive media and communications in relation to the Alliance partnership and its activities as well as proactive activity undertaken by any of the partners.

#### **Principles**

- All parties are committed to working together in an open, transparent and collaborative manner to deliver an effective communications programme for the Alliance.
- Where situations arise and agreement is difficult due to conflicting ambitions or objectives, the Alliance's Programme Director will seek to find a compromise that represents the best outcome for the Alliance.
- All parties will endeavour to give all other partners as much notice as practicable of Alliance related communications activity, or other activity that might be linked to the Alliance by the media or other external parties.
- It is recognised and accepted that all parties need not play a central role in every communication activity and each commit, wherever possible, to sharing communications plans with the Alliance Programme Director to allow them to facilitate a discussion with the Alliance partners as appropriate on planned activity.
- The Delivery Group will adopt a 'politically neutral' approach to communications, and it is the responsibility of officers attending the Delivery Group on behalf of their organisation to manage any necessary approvals, consultation or sign-off processes within their organisation in relation to particular communications.
- Individual organisations will not make statements on behalf of the Scottish Cities Alliance in relation to their position on matters of policy or strategic direction until the process set out within this protocol has been followed and a consensus position agreed.

#### **Process**

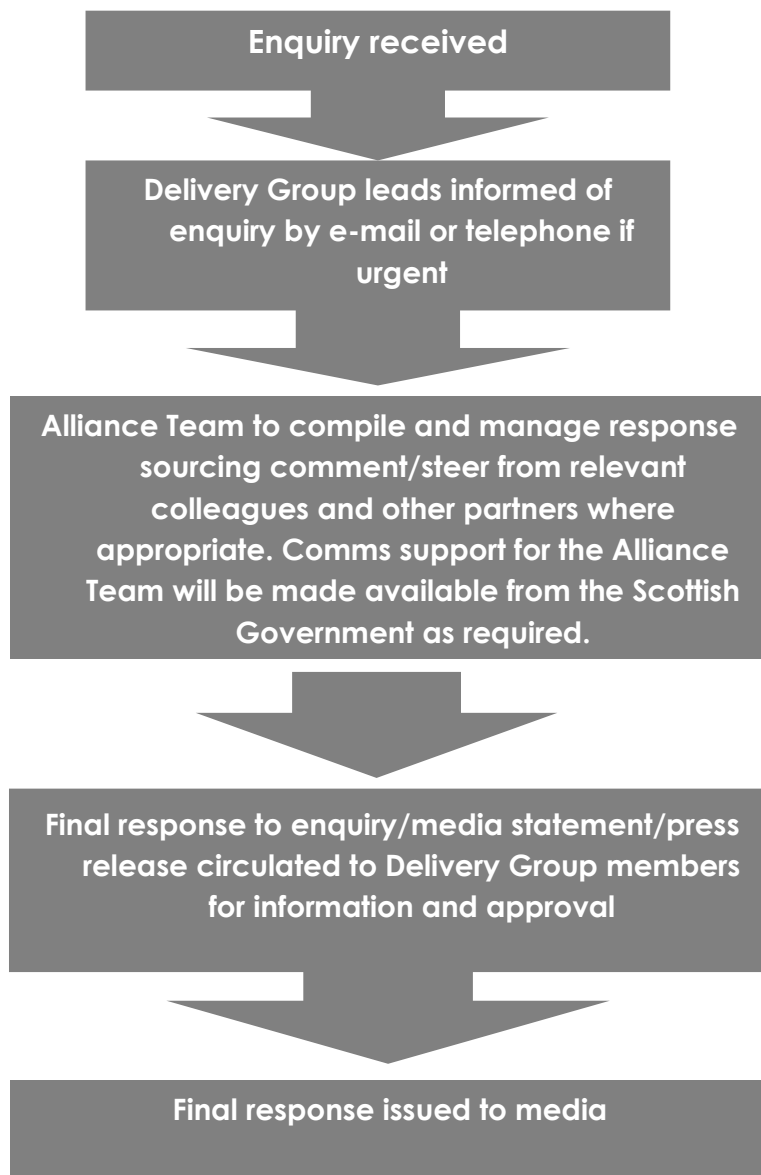
- The forum for longer term planning or the initial coordination of sensitive issues will be the Delivery Group. Other stakeholders will be invited to attend as required.
- The Alliance Programme Director will issue a draft communication to all partners with a set timescale for comment.
- It is the responsibility of the Delivery Group partner (or their delegated representative) in conjunction with the Alliance Programme Director to co-ordinate a response to a communication on behalf of their organisation.
- Where they are unable to achieve this within the timescales required, they will immediately inform the Alliance Programme Director. The Alliance Programme Director will make all reasonable efforts to secure a response; however, no response from an organisation within the timescales set out for approval will be considered endorsement.
- Where an organisation cannot provide approval, then the Alliance Programme Director will consult with colleagues within the Delivery Group and seek to find a common approach.
- Day-to-day media activities will be coordinated in line with the principles set out in this protocol with members of the Delivery Group, or their respective colleagues.
- Short term, urgent issues will be coordinated through the Alliance Core Team phoning a representative of each City and the Scottish Government, or by a conference call.
- Delivery Group decisions may be taken at meetings, in correspondence or by phone.
- All Alliance communications activity will be badged with the Alliance logo and website and include the contact details of the partners involved as appropriate.

### Communication Objective

Ultimately all communications should work towards the purpose of the Alliance set out in the Operational Plan whereby the Alliance partners support the inclusive growth of Scotland’s cities and their regions by:

- Speaking powerfully with a single voice to compete successfully in global markets for investment and jobs;
- Raising the profile of Scottish cities as smart and sustainable destinations for investment; and
- Informing policy to ensure that the Scottish cities and their regions remain globally competitive.

### Media enquiries – model process



## **Annex B : Financial Management of the Operational Budget**

### **Decision-making governance and use of the Operational Budget**

This forms part of, and should be read in the context of, the overarching Partnership Working statement of the Scottish Cities Alliance (the Alliance).

#### **Introduction**

Decisions made by the Alliance will have an impact on the use of public resources, hence need to be made with a proper regard to securing high quality outcomes.

The robust processes set out here for the Operational Budget should be adopted for decisions **whether or not** the available budget is used to accelerate projects.

The Delivery Group sits at the heart of the Alliance and has primary oversight of the budget required for delivery of the Operational Plan. Decisions on budgets pertaining to investment promotion activity however may be made by the Investment Promotion Working Group on the basis that the Programme Director keeps the Delivery Group cited on decisions reached.

The Programme Director will report the Operational Budget into Leadership Group meetings on a quarterly basis.

#### **Decision making processes**

1. Delivery Group will consider potential collaborative ideas and opportunities in the context of the Operational Plan. A standard Project Approval Application (PAA) form will be used to bring ideas to Delivery Group for consideration (Appendix 1).
2. Project Approval Application Forms can either be prepared by a city lead officer or the Alliance Core Team and can either be circulated by email to the Delivery Group or Investment Promotion Working Group for approval or tabled at a Delivery Group or Investment Promotion Working Group meeting for approval.
3. PAA forms prepared by a city for approval must identify a city lead officer at the point of submission to lead the project if it is approved. PAA forms prepared by a member of the Alliance Core Team must identify a member of the Core Team at the point of submission to lead the project if it is approved.
4. Approval requires a consensus to be reached, with no explicit objection. Where this presents a difficulty it will be part of the strategic facilitation role of the Programme Director to develop a consensus.
5. Once a PAA Form has been approved, the appointed city lead officer becomes accountable for the propriety of resource use, including any spend. A payment schedule will be agreed with the Alliance Core Team who will where appropriate liaise with an appointed city lead officer on the management of spend in accordance with the schedule.
6. Where monies are required to procure services to advance activity, all procurement will be done in accordance with Dundee City Council's procurement processes and a Drawdown Request Form completed (Appendix 2).
7. A Quarterly Update Report Summary will be tabled at Delivery Group meetings or circulated by email. Delivery Group is responsible for assuring itself that projects are making progress. If a project is failing, then Delivery Group will pause it and take stock, advising Leadership Group as required and again, recording this formally in the meeting note.
8. A breakdown of budget spend will be included in the quarterly budget report. Delivery Group will be responsible for ensuring that the breakdown of budget spend reported is an accurate reflection of the budget expenditure across all active projects prior to the budget being tabled at a Leadership Group meeting.
9. Upon completion of a project led by a city lead officer, an Outcome Report (Appendix 3) must be submitted to the Programme Director detailing outcomes and outputs achieved, recommended next steps and actual expenditure before payment of the final instalment of approved funding can be made. Upon completion of a project led by the Alliance Core Team, an Outcome Report must be completed detailing outcomes, outputs achieved, recommended next steps and actual expenditure before payment of the final instalment of approved funding can be made.

## Financial Procedures Overview

The following guidance note sets out the main financial procedures and associated record-keeping requirements for the Alliance's Operational Budget.

Should clarification be required on any aspect of the contents of this note or other issue relating to the financial administration of the Operational Budget, please speak to the Programme Director who will direct you to relevant personnel in Dundee City Council responsible for managing the budget.

## Background and responsibilities

While the principal focus of this document is on the reporting and record-keeping requirements incumbent upon lead authorities for projects supported by the Operational Budget, it is felt helpful to reiterate the respective responsibilities of the parties involved. These are as follows:

- The **Leadership Group** agrees the broad principles and parameters within which the Fund operates and in discharging this role scrutinises budgeting and actual spend on a regular basis, principally through receipt of quarterly financial monitoring reports from the Delivery Group.
- The **CEO Group** has responsibility for ensuring the strategic development of the Alliance's Operational Plan and may give direction to the Delivery Group as appropriate on how they would like to see the Operational Budget used to deliver strategic objectives in the Operational Plan.
- The **Delivery Group** assesses project applications in accordance with the outcomes detailed in the Operational Plan. In making this assessment, the Group has a responsibility to satisfy itself that the proposed funding package for the initiative concerned is consistent with the duties of Best Value and, in particular, does not merely displace funding that would otherwise have been provided through another source.
- The **Investment Promotion Working Group** will have oversight of spend of the Alliance's budget for investment promotion activity in the Operational Budget.
- **Dundee City Council** as agent for the Alliance, will make payments to approved projects in accordance with the recommendations of the Delivery and/or Investment Promotion Working Group. In addition, Council staff will provide quarterly budget reports and reconciliations to the Delivery Group.
- **Project lead authorities** will provide relevant details and/or complete relevant documentation to facilitate prompt payment of funding due to relevant projects, as well as maintaining appropriate supporting accounting and other financial records to serve as an appropriate audit trail for sums met from the Operational Budget.

## Payments to approved projects

Payments to qualifying projects will only be made upon receipt of formal written approval from the Delivery Group and/or Investment Promotion Working Group in the original application.

Upon approval, the city lead officer will be contacted by e-mail and, subject to provision of relevant bank details, payment of funding will be made in accordance with the schedule for drawdown of approved project funds by means of BACS transfer. The Drawdown Request Form should be completed to capture these details and, completed by the city lead officer and submitted to the Alliance Team for approval and to be processed via Dundee City Council Finance Team.

## Quarterly Fund monitoring

In order to provide the Delivery Group with quarterly reports on Fund approvals and project progress, responsible officers will be asked to provide detail of spend on a quarterly basis. At the end of each financial year (31<sup>st</sup> March), this statement should be authorised by the Section 95 officer for the authority concerned.

These statements will be consolidated by Dundee City Council and a quarterly summary, including a statement on the overall fund balance, then reported to the Delivery Group as noted above. With this reporting timescale in mind, prompt submission of the details concerned would be appreciated.

### **Record-keeping by lead authorities**

While details of spend to date and projected outturn will be consolidated and reported centrally, responsibility for appropriate record-keeping and documentation rests with either the city lead authority for a project or the Alliance Core Team lead. In so doing, due regard should be given to local Finance Rules and/or Regulations and financial good practice; the advice of internal audit functions may be particularly helpful in clarifying requirements in this regard.

Relevant documentation and records, including invoices, receipts and evidence of compliance with relevant procurement legislation, should be maintained. While it is not the expectation that activities supported by the Fund will specifically be audited, supporting records and claims should nonetheless be of an auditable standard. In addition, records and monitoring should be such that they allow prompt notification of spend to date and projected outturn in accordance with the above quarterly reporting requirements.

### **VAT**

Lead authority officers should ensure that all claims for funding are made net of VAT.



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**Scottish Cities Alliance : Project Application Approval Form (1)**

<b>Project Title :</b>	
<b>Operational Plan Priority:</b>	
<b>Cities Involved :</b>	
<b>Lead Authority :</b>	
<b>Submitted by :</b> (responsible Officer making claim)	
<b>Date of Submission :</b>	

<b>Outline of Project</b> (including workplan, outputs, timescales and public/private partners involved):

<b>Anticipated Outcomes &amp; Outputs :</b> (e.g. additional GVA, jobs, attraction of additional funding, other)

<b>RISKS :</b>

**Costs :**

Proposed Drawdown Schedule :	
Initial Instalment (up to 80%) :	
Further Drawdown Dates :	
Anticipated Project Completion date :	

Approved :	
If yes, Approved by :	
Date of approval :	

<b>DETAIL ON HOW THIS WILL BENEFIT CITIES / SCOTLAND ALIGNING WITH THE PRIORITIES OF THE OPERATIONAL PLAN :</b>
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<b>ANTICIPATED OUTCOMES :</b>
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<b>ESTIMATED TOTAL COST OF PROJECT :</b>
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Please detail if any external funding will be available :

**TOTAL ESTIMATED COST £** \_\_\_\_\_



<b>Scottish Cities Alliance : Drawdown Application Form (2)</b>
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**DRAWDOWN APPLICATION FORM****Scottish Cities Alliance Application for Payment Project Funding :**

<b>Project Title :</b>	
<b>Strategy Theme :</b>	
<b>Lead Authority :</b>	
<b>Responsible Officer making claim :</b>	
<b>Date of Delivery Group Approval :</b>	
<b>Date of Leadership Group Approval :</b> (if applicable)	
<b>Drawdown no. :</b>	
<b>Dates of previous drawdown(s) :</b>	

**Level of Funding Approved :**

<b>Agreed amount of Budget approved</b>	<b>£</b>
<b>Drawdown amount requested</b>	<b>£</b>
<b>Balance of Funding due :</b>	<b>£</b>

<b>Final cost of Project :</b>	<b>£</b>
<b>Date Completion Report received :</b>	

**PAYMENT DETAILS**

Name / address of bank :	
Sort Code :	
Account Number :	
Account Name :	
Amount :	
Payment narrative (will appear as part of electronic payment) :	

SCA : Payment authorised by :		Date :	
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<b>Scottish Cities Alliance : Project Outcome Report (3)</b>
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<b>Project Title :</b>	
<b>Operational Plan Priority:</b>	
<b>Cities Involved :</b>	
<b>Lead Authority :</b>	
<b>Responsible Officer :</b>	
<b>Project Start Date :</b>	
<b>Project End Date :</b>	

<b>OUTLINE OF PROJECT</b> (including workplan, outputs, timescales and public/private partners involved) :

<b>Anticipated Outcomes &amp; Outputs :</b> (e.g. additional GVA, jobs, attraction of additional funding, other)

<b>Actual Outcomes &amp; Outputs Upon Completion :</b> (e.g. additional GVA, jobs, attraction of additional funding, other)

<b>Actual benefits to Cities / Scotland aligning with the priorities of the Operational Plan :</b>

**Detail of anticipated Outcomes & Outputs not delivered, and why ? :**

[illegible]

**Next steps & recommendations for future SCA activity :**

[illegible]

**TOTAL COST OF PROJECT :**

Budget approved : £

Other funding made available : £

**TOTAL COST OF PROJECT TO SCOTTISH CITIES ALLIANCE : £**\_\_\_\_\_

Any Underspend (to be returned to Operational Budget) : £