

Dementia Care Nursing Home Recommendations - Project Management arrangements

No	Recommendation	Management Response	Target Date
1	<p>Information Management</p> <p>A central repository of project management documentation must be maintained. This will aid transparency and mitigate the risk of loss of corporate memory where key officers in projects/programmes leave the organisation. Data must be accessible as information that can't be found is of no value.</p> <p>Agreeing where documentation/information will be retained and how it will be disseminated should be established at the start of the project and recorded in the Project Initiation Document and Communication Plan respectively. This should include ownership access rights and key dates where information should be shared/reported. Archived information needs to provide an audit trail of changes and source information to support lessons learned.</p>	<p>A shared google drive has already been established for all Transformation Projects and Programmes and all programme leads are being encouraged to save core project documentation on these folders with support from the Corporate Transformation team. This includes documentation in relation to all Capital Projects and Programmes.</p> <p>A Strategic PMO Manager is being recruited to the Transformation team and with the support of the Programme Support Officer they will have a remit to work with the organisation to look at the next phase of information management in relation to all major programmes and projects.</p>	<p>Complete</p> <p>Sept 2021</p>

2	<p>Business case approval and project management framework – all projects</p> <p>A new business case approval process should be established alongside a strengthened project management framework to cover all projects (not just transformational projects). These processes must not be too complex and must allow less risky projects to go through a more agile process for approval and review. This should include health checks for those non transformational projects that are considered “key” when put through the Project sizing tool or those where senior officers identify that additional scrutiny may be required. As part of the health checks and where required, external assurance (by sector experts) should be sought to test assumptions underlying businesses cases to ensure that they are effectively scrutinised and challenged.</p> <p>A dedicated PMO resource should be established to provide support on non- transformational projects (or current arrangements extended).</p>	<p>As part of the Transformation Governance Review December 2020 a new project and programme management framework has been established. This has included updated business case templates and guidance notes. As part of the first stage of implementation this is being applied to Transformation programmes and projects initially.</p> <p>As part of the establishment of the Capital Board all Capital projects and programmes must have a Business Case approved by the Capital Board. A new process for reviewing and signing off Capital Business Cases has been established.</p> <p>The next stage will be to make this available to the wider organisation as part of the wider Project Management methodology. A Strategic PMO Manager is being recruited to the Corporate Transformation team. They will be responsible for the development and maintenance of the project and programme management framework, this will include advice and guidance to the organisation on all large and complex programmes of change.</p> <p>In addition a number of new delivery teams are being established within the organisation which will support further business case assurance. This includes a new team within the Property function focused on Property Programme Delivery. The Corporate Transformation</p>	<p>Complete</p> <p>Complete</p> <p>Sept 21</p> <p>July 2021</p>
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		team and the Strategic PMO Manager will have core links into this team to ensure coordination and alignment.	
3	<p>Project Sizing Tool</p> <p>A project sizing tool should be added to the revised RBK Project Management methodology and its completion should be mandatory at the outset of the project so that an indication of the potential scale and risk of the project is obtained. This should be linked to delegated approval limits set for Directors.</p>	<p>As part of the Transformation Governance Review December 2021 a Programme/Project Assessment Framework was established. This framework has been used to assess the stage and respective risk of each Transformation programme. Based on a number of domains including strategic risk; equalities implications; investment required; expected benefits (financial & non-financial); benefits timeline; timescale to deliver; enabling potential and key interdependencies; number of services involved (partners, providers, shared services); capacity required to deliver; engagement requirements. The purpose is to indicate scale and risk of the project/programme. As part of the first stage of implementation this has been applied to all Transformation programmes to ensure the right level of scrutiny at each Transformation Delivery Board.</p> <p>The next stage will be to make this available to the wider organisation as part of the wider Project Management methodology. A Strategic PMO Manager is being recruited to the Corporate Transformation team. They will be responsible for the development and maintenance of the project and programme management framework.</p>	<p>Complete</p> <p>Sept 2021</p>

<p>4</p>	<p>End to End Project Governance Project Governance has to be established ‘end to end’. This means setting up the Project Board, agreeing the membership and Terms of Reference at the start of the project. The new project management guidance should mandate the following:</p> <ul style="list-style-type: none"> ● Agreement and documentation of the project organisational structure ● Defined roles and responsibilities ● Documented decision making responsibilities and timelines ensuring decisions are taken at the right level at the right time ● The above should be linked to a list of key actions/milestones which document a critical path of key activities (see recommendation 5 below). ● Mapping governance approval hold points in the critical path (key gateway reviews - what needs to be done and in what order). This includes a go/no go live decision. ● Formal change control process to report and approve changes in project scope or delivery ● Reporting framework (what, when and where) ● Ratification and documentation of decisions ● Managing and documenting changes and budget impacts ● Defining and mapping success criteria ● Communication Plan to ensure appropriate stakeholder engagement. <p>The Project Initiation Document and Project Plan should be used to document most of these key aspects of governance and these should be subject to formal sign</p>	<p>As part of the Transformation Governance Review December 2021 a new project and programme management framework has been established. This included a review of all project and programme documentation. The whole suite of corporate project and programme documents are currently being updated to reflect the outcomes of this review, with an initial focus on Transformation projects and programmes. These will then be made available to the wider organisation.</p> <p>A Strategic PMO Manager is being recruited to the Corporate Transformation team. They will be responsible for the development and maintenance of the project and programme management framework. This will include advice and guidance to the organisation on end to end project governance.</p> <p>An internal audit of the Project and Programme Management framework will take place in 21/22 to provide another level of assurance.</p>	<p>Phase 1 - June 2021</p> <p>Phase 2 - Sept 2021</p> <p>Q3 21/22</p>
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	<p>off as part of a gateway process. These should be live documents to record changes to governance processes during the course of the project.</p> <p>Key aspects of project governance must also be covered in the business case so this allows senior officers/members the opportunity to assess whether the governance arrangements are adequate. This will provide assurance to Members and other stakeholders that there is a clear and transparent process for controlling and reporting on the project and will also make it easier to identify where agreed governance processes are not followed.</p> <p>Projects should not be allowed to progress unless these key documents are in place and have undergone gateway review.</p> <p>Highlight reports to Corporate Property Panel should formally document where these critical decision points (gateway reviews) have been met and any changes in project scope (or proposed changes).</p>		
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5.	<p>Critical path</p> <p>A critical path should be established as part of the Project Plan covering the lifetime of the project. This should document all activities including key decision points and reporting timescales, factoring in sufficient time for underlying project assumptions and business cases to go through effective challenge/scrutiny in accordance with the agreed governance structure. Highlight reports should include updates on actual delivery against the critical path so that any delays and issues are reported, risks identified and mitigating actions agreed.</p> <p>This is particularly important where a project is complex involving more than one business case (e.g. design and build construction and a model for delivery). A timeline of key milestones must be agreed in advance to ensure that project tasks are undertaken at the right time, in the right order and align to an appropriate timetable for decision making. This should remain a live document throughout the course of the project.</p>	<p>The Transformation Governance Review December 2021 identified the need to have a flexible project management approach - recognising that different projects will require different methodologies e.g. digital projects will require a more agile approach to delivery.</p> <p>The resulting project governance framework that has been implemented allows projects and programmes to be measured against where they are in their life cycle no matter what methodology is being followed.</p> <p>A Strategic PMO Manager is being recruited to the Corporate Transformation team. They will have a remit to scrutinise and challenge major projects and programmes with support from other key stakeholders such as finance, digital, property, procurement. This will include a review of what support is required from the organisation in developing critical paths for key projects and programmes. This may include specific training offers for those looking to develop a critical path as part of the Community of Practice for Projects, Programmes and Transformation and critical path check and challenge sessions.</p>	<p>Sept 2021</p>
6	<p>Change Control</p> <p>A rigorous change control process must be set up for projects through which all requests to change the baseline scope of the project are captured, evaluated and then approved, rejected or deferred. It is essential to the success of the project that changes to scope are controlled as significant changes may require a redistribution of resources or funds, which may impact on the viability of the project. Thresholds must be set detailing whether the decision can be made by the</p>	<p>Following a number of internal and external reviews a number of internal boards have been put in place to ensure we have sufficient scrutiny of major projects and programmes. These are detailed in response to point 7. These boards will be the core forums in which major changes or variations to projects will be overseen.</p>	<p>Complete</p>

<p>project manager, project sponsor or whether it requires approval by the project board/appropriate committee.</p> <p>The process must allow all stakeholders to submit their suggestions for changes to scope. Typically change control comprises five steps:</p> <p>Request: The stakeholder who requests a change must provide relevant information on the nature of the change. A record of all requests and their status must be maintained. (e.g. pending, approved, rejected or deferred).</p> <p>Review: The change request is reviewed to determine its high-level impact on outputs and benefits. If necessary, further clarification must be sought before deciding if it is worthwhile performing a detailed assessment. The proposed change may be rejected without further evaluation, in which case the reasons for rejection must be recorded and the stakeholder informed.</p> <p>Assessment: All options relating to the change are captured and evaluated. The detailed impact on plans and schedules must be estimated and a recommendation to approve, reject, defer, or request more information made.</p> <p>Decision: The decision once made must be communicated to the team and stakeholders.</p> <p>Implementation: Relevant plans and schedules are updated if a change is approved.</p>		
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	<p>Understanding the level of information which should be provided or received to support decision making is key, particularly financial information on both revenue and capital implications. The use of case studies is helpful where projects have failed. This will help to demonstrate lessons learned, highlight risks and consequences and help facilitate additional challenge. Making sure that officers and Members are clear on their responsibilities and how they discharge them is crucial.</p> <p>The programme of training should also include training on risk management.</p> <p>Training should also be provided to officers procured externally to work on projects so that they are clear on the Council's project governance methodology, commissioning and procurement frameworks and any other procedures relevant to the role. As part of their on-boarding, they should be required to confirm that they have read and understood these procedures and the requirement to follow them.</p>	<p>include information sharing, such as Masterclasses, Lunch and Learns and Show & Tells. An introduction to project management session has already been delivered and a forward plan of learning sessions is being planned including knowledge sharing on project management methodologies, tools and approaches, including risk management and case studies to demonstrate lessons learnt.</p> <p>A Strategic PMO Manager is being recruited to the Corporate Transformation team. They will have a remit to act as the Council's lead project/programme management professional and will be responsible for the development and maintenance of the project and programme management framework including training and support. Once in post they will work with the organisation and with the learning and development team to establish what training is required and the most effective way to target and deliver this.</p>	<p>Sept 2021</p>
9	<p>Committee reports</p> <p>Additional governance arrangements should be established to ensure that Committee reports are reviewed and signed off by the relevant Executive Director(s). For projects assessed as "key", financial information and implications should be reviewed and agreed by the Executive Director, Corporate and Commercial and Legal implications by General Counsel following consultation with SLLP. This should include ensuring that risks are properly assessed and reported on.</p>	<p>All reports that go to committee are required to include both financial and legal implications.</p>	<p>Complete</p>

10	<p>Scheme of Delegation</p> <p>In terms of delegated limits, Director delegations at RBK are at the lower end however it may be appropriate to consider amending the delegation limits dependent on an assessment of risk utilising a project sizing tool i.e. seek Committee approval for those projects assessed as “key” or high risk.</p> <p>There should also be delegated limits set to ensure that larger value procurements go to Committee for approval rather than being delegated to Directors.</p>	<p>Director delegations currently require anything considered to be “significant” to be referred to the relevant Committee. It is likely that some decisions relating to major projects may appropriately be determined at Committee. However, the current delegations enable agility around decision making. Given that not all decisions on major projects will be significant decisions, the current arrangements promote the ability for efficient and appropriate decision making in respect of major projects.</p>	Complete
11	<p>Review of Governance Boards</p> <p>It would be prudent to review the effectiveness of the new governance boards once they have had sufficient time to bed in. This should include examining their individual effectiveness and how they operate and integrate as part of a wider framework of governance. This should help to identify any gaps in governance.</p>	<p>A review of new governance boards has been built into the audit plan for 21/22 and will take place in Q3/4.</p>	Q3/4 2021/22

Achieving for Children (AfC) – Summary of Priority 1 recommendations

Audit	Audit Year	Assurance	Priority 1	Priority 2	Priority 3
Leaving Care	2020/21	Substantial	1	4	2
<ul style="list-style-type: none"> Pathway plans – a sample of 34 pathway plan reviews were looked at to identify whether the reviews had been completed every 6 months as required. Eleven reviews had not been completed with the required timeframe. The AFC Children Looked After Super Report produced on 27/11/2020 also showed 23 outstanding Leaving Care cases which had not had a review of their pathway plan within the six-month time frame. Management have responded to the audit findings stating that as of January 2021 95% of pathway plans have been updated, meeting the team's 95% target. These figures have not been reviewed. 					