Public Document Pack

Shadow Dorset Council

Committee:	Shadow Overview and Scrutiny Committee
Date:	Monday, 8 October 2018
Time:	9.30 am
Venue:	Committee Rooms A/B, South Walks House, South Walks Road, Dorchester, DT1 1EE

Membership:

T Jones (Chairman), C Brooks (Vice-Chair), S Bartlett, K Brookes, R Bryan, M Byatt, S Christopher, C Finch, S Gibson, B Goringe, N Lacey-Clarke, R Nowak, J Sewell, J Somper, J Tanner and M Wiggins

---

Chief Executive (Designate) for the Dorset Council: Matt Prosser

For more information about this agenda please telephone Democratic Services on 01305 252209 or email lwatson@dorset.gov.uk

For more information about the scrutiny items please telephone Lee Ellis (Scrutiny Officer) 01202 795251 or email lellis@christchurchandeastdorset.gov.uk

---

This agenda and reports are also available on the Council's website at www.dorsetareacouncils.co.uk

Members of the public are welcome to attend this meeting with the exception of any items listed in the exempt part of this agenda. **Please note** that if you attend a committee meeting and make oral representations to the committee your name, together with a summary of your comments will be recorded in the minutes of the meeting. The minutes, which are the formal record of the meeting, will be available to view in electronic and paper format, as a matter of public record, for a minimum of 6 years following the date of the meeting.

Disabled access is available for all of the council's committee rooms.
Hearing loop facilities are available. Please speak to a Democratic Services Officer for assistance in using this facility.

Recording, photographing and using social media at meetings

The council is committed to being open and transparent in the way it carries out its business whenever possible. Anyone can film, audio-record, take photographs, and use social media such as tweeting and blogging to report the meeting when it is open to the public, so long as they conform to the Council's protocol, a copy of which can be obtained from the Democratic Services Team.

A G E N D A

Page No.

5 PROGRAMME HIGHLIGHT REPORT INCLUDING SWAP ASSURANCE REPORT 3 - 32

To review the latest Programme Highlight Report including South West Audit Partnership (SWAP) Assurance Report to be considered by the Shadow Executive Committee. The Programme Director and a representative of SWAP will be attending the meeting.

The report will be published within the agenda for the Shadow Executive Committee for the meeting on 15 October 2018 and will be able to be viewed using the link below when the Shadow Executive Committee agenda has been published:

http://shadowcouncil.dorset.gov.uk/ieListDocuments.aspx?CId=136&MId=125&Ver=4

A copy of the report will be added to this agenda as a supplement when it is published with the Shadow Executive Committee agenda.

Shadow Dorset Council

Date of Meeting	15 October 2018
Officer	Keith Cheesman, Programme Director
Subject of Report	**Programme Highlight Report**
Executive Summary	This report provides an update on progress since the last meeting on 17 September 2018, including a request for a change control on convergence, and an update on the internal audit of the Programme Governance.
Impact Assessment:	Equalities Impact Assessment: None in relation to the highlight report. If the change control is agreed, an EQIA will be developed as part of the detailed planning for the work.
	Use of Evidence: This report has been written in consultation with Project Managers, Subject Matter Experts, other members of the Programme Team, and information from the South West Audit Partnership's Internal Audit of Programme Governance
	Budget: Subject to recommendation 2 below, convergence will become a new component of the Programme. The resources required will be identified once the baselining has been done and the scale of the work becomes clear.
	Risk Assessment: Having considered the risks associated with this decision using the LGR approved risk management methodology, the level of risk has been identified as: Current Risk: Amber

	Other Implications: There will be a significant impact on resources to deliver the convergence work both in terms of support functions (HR, Finance, Project Management) and managers in delivering restructuring change whilst enabling service continuity for day 1 of the new council.
Recommendations	That the Shadow Executive Committee: 1. Notes the progress made as described below 2. Agrees the Change Control Request on convergence 3. Delegates responsibility to the Head of Paid Service, in consultation with the Convergence and Transformation Member Working Group, to agree the structure proposals for consultation purposes 4. Notes the SWAP Programme Governance Follow Up Report, and the Programme response
Reason for Recommendation	To provide assurance that the Programme is progressing properly, and change is controlled and managed
Appendices	1. Programme highlight report 2. Change Control for Convergence – Scope and Initial Timeline 3. SWAP Programme Governance Follow Up Report (1 October 2018)
Background Papers	1. SWAP Programme Governance Report 26 July 2. SWAP Programme Governance Follow Up Report 10 August
Officer Contact	Name: Keith Cheesman Tel: 01305 221227 Email: keith.Cheesman@dorsetcc.gov.uk

1. Programme Progress Summary

1.1 The highlight report attached at Appendix 1 is the second in the new format. It provides a more visual, summarized view of progress, with greater visibility both of the range of activity underway, and activity planned through to the end of the programme.

1.2 At the time of writing, overall progress remains at Amber. Work on the implementation plans continues, with theme boards making significant progress on developing the detailed service continuity plans. Due to the scale and complexity of the work, the plans are running approximately two weeks behind schedule.

1.3 The first gateway Review is due to take place from 15 October and will be reported to Shadow Executive Committee on 12 November. The objective of the first review will be:

- To ensure that the discovery phase has been completed satisfactorily
- To confirm that the implementation plans are sound and achievable with an appropriate level of resource in place

2. Change Control Request: Convergence

2.1 Background

2.1.1 The scope for the Shaping Dorset Council programme is focussed on ensuring that the new council can operate on a safe and legal basis from 1 April. As a result, apart from the Chief Executive and Tier 2 structure, the Programme has not yet included work on restructuring teams to take account of the fact that like-type teams will be coming together to deliver services from 1 April 2019.

2.1.2 The Budget and Medium Term Financial Report (below) provides details of the latest position in respect of the 2019/20 budget. It is recognised that work needs to be undertaken to identify savings from posts as teams converge, and for a process to be implemented to realise these savings as soon as possible after 1 April 2019. As a result of this requirement, a change control is proposed to enable this work to be fully scoped and implemented as part of the Shaping Dorset Council programme.

2.1.3 The proposed change control scope attached at Appendix 2 outlines an approach to restructuring for the new organisation in response to bringing teams together. It does not relate to transformational redesign that will be developed and implemented after vesting day. The following definitions (in the context of Shaping Dorset) describe the difference:

- **Restructure:** Restructuring of like-type teams from the existing six councils, based on existing structures, by bringing them together and removing duplication where this enhances operational effectiveness and does not put at risk service continuity. To be implemented post vesting day and to deliver savings for the financial year 2019/20 and beyond.

- **Redesign:** Transformational redesign of the organisation, including but not exclusively, relating to organisational structures and based on the operating principles designed and agreed by the Shadow Executive. At officer level, this will be led by the Chief Executive.

2.2 Scope

2.2.1 The scope of the work is attached at Appendix 2 and will be:

- To determine opportunities where like-type teams from different councils can be joined together as soon as possible post 1 April 2019 and where aligning designing structures will allow some posts to be deleted from the structure, following appropriate processes being followed.

- To focus on tiers 3 (those roles reporting into the agreed Tier 2 structure) and further team and service alignment below Tier 3 for some roles.

- A high level restructure design and consultation to commence before the 1 April but, in line with TUPE regulations, no changes to be implemented before the date of the transfer.

- Opportunities for Voluntary Release and Early Retirement to be explored, once the initial design work has been completed.

2.3 Risks & Issues

2.3.1 The following risks and issues will be taken into consideration and mitigated in implementing this change control:

- Compliance with TUPE legislation – whilst we can start consultation prior to the 1 April, all staff have the right to TUPE to the new organisation and no compulsory redundancies can be made until consultation with the new organisation has taken place, after 1 April 2019.
- Impact on motivation and service delivery - timing of any restructuring will be critical to minimise the impact on service continuity
- Resource impact – significant resources will be required from the programme team and service areas in order to design and implement new structures.
- The ongoing negative impact of successive restructuring (restructure and then transformational redesign).
- Potential loss of required resources and talent too early and which are needed to enable the transformation (can be mitigated by deferred redundancy agreements – voluntary release).
- Final design and appointments to new posts are dependent on the new pay and grading structure being agreed.
- Tier 2 appointments will not be confirmed until December and new appointees may not start until March. This may lead to limited, if any, involvement from Tier 2s in leading or signing-off the new structures.
- Requirements from the scheme of delegation and the requirement of statutory posts will need to be linked to this process.
- An agreed “Managing Change Process” will need to be agreed to enable appropriate consultation, selection and redundancy processes to be applied.

2.4 Key Milestones

2.4.1 The following key milestones and timeline are proposed:

Member Convergence Working Group Set-Up	w/c 1 October
High level design of restructuring proposals (Head of Paid Service, with programme and functional manager support)	Oct – December 2018
Design and agreement of single pay & grading structure for new staff in Dorset Council	September – December 2018
Detailed design work for Tiers 3 and 4	October – December 2018
Scheme of delegation confirmed	December 2018 – February 2019
Tier 2s in place	December – March (tbc) 2019
Start & finish consultation (subject to any agreement on priority/phased implementation)	January – May 2019

Initiate targeted and managed conversations about pre-transfer redundancy consultation or the option of voluntary release	January – April 2019
Selection process	March - May 2019
Notice given (1-3 months' notice depending on contract of employment)	May onwards 2019 (based on phasing)
Savings realised	From June 2019

3. SWAP Internal Audit

3.1 Programme Board commissioned a report from Internal Audit (SWAP) to provide a high-level review of the LGR programme governance, to form an opinion on the adequacy, design and integrity of the arrangements in place to deliver the intended outcomes of the programme. The initial report and first follow-up report are recorded as background papers. The latest follow-up report is attached at Appendix 3 in full to this report.

3.2 The latest SWAP report was published without consultation with the Programme Team. The headline findings, and Programme Board's response, are below:

SWAP Headline Conclusions	**Programme Board Response**
Programme governance has improved since our last assurance overview, with more clarity and rigour applied to the programme arrangements. The programme structure has been established and embedded, with greater clarity around roles and responsibilities	This finding is welcome
Programme planning and oversight of programme highlights and milestones has improved, although finalising service continuity implementation plans is likely to be slightly delayed beyond their end of September deadline; this will impact on the closure of Phase 1 of the programme	This finding is welcome
Programme decision-making, risk management arrangements and dependency mapping mechanisms and reporting have been developed, with more transparency and rigour now in place.	This finding is welcome
However, from a more detailed review of key programme documentation, we identified a range of errors, omissions or inconsistencies that could cause confusion or undermine oversight, management of risks & issues, and decision-making. [Evidence for this conclusion is on page 3 of the report which notes '*we identified a number of omissions and inconsistencies when comparing the risks included in the workstream programme highlight reports, to those included on the risk appendix']*.	The risks and issues and decision logs are dynamic documents that change daily. Frequent change to the control tools demonstrates that they are being actively used.
Since our previous assurance review, there has been further discussion and shift in relation to the agreed scope and timescales of Phase 3 of the programme. There is a need to ensure that these changes are appropriately captured through	Agreed. The formal change control request forms part of this report

change control mechanisms; ensuring that all changes are formally agreed and documented at the appropriate levels	
Due to the very recent change in programme timescales regarding the acceleration of Phase 3 convergence, the risk profile of the programme, along with the corresponding workload in advance of April 2019 will significantly increase	Agreed. As soon as Shadow Executive Committee agree the change control, the risk register will be reviewed and is likely to change significantly
Resources and capacity to accommodate the original scope and timescales of the programme had been matched and implemented. However, due to the acceleration of original timescales for convergence, there are now likely to be significant short-term resource demands and potential shortages	Agreed. Resourcing for convergence was never within the original scope or resource plan of the Shaping Dorset Council Programme.

OVERALL PROGRAMME STATUS – DATE:3 OCTOBER 2018

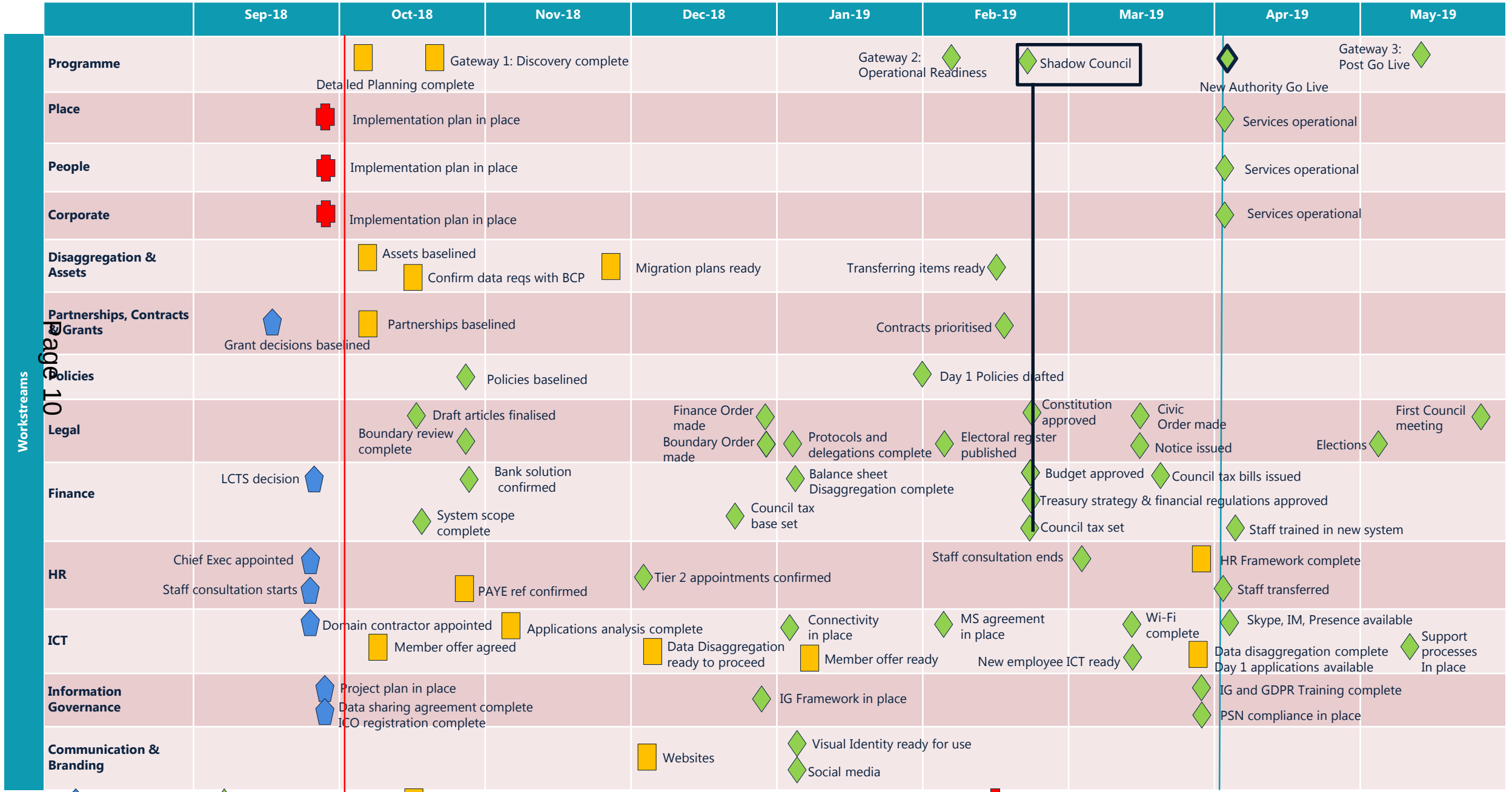
Overall status	Scope	Budget	Time	Resource	Stakeholder	Risk & Issue

Work on the implementation plans continues with Theme Boards making significant progress on developing the detailed service continuity plans. These plans, due to the volume and complexity are running a little later than planed,
Programme Board now comprises all Tier 1 and Tier2 post holders. Appointment of the permanent Chief Executive (designate), completed in this period, is a major milestone for the programme and the new Council.
Detailed work on the plans for Phase 3 is underway, to meet the requirement for both convergence and transformation at a pace accelerated by the increasing 2019/20 budget preparation. The programme remains at Amber

Return to Green	⇔	Resources and detailed plans from key service areas; Phase 3 Resources being agreed and in place; Agreement of the Convergence Plan.
Change Requests	⇔	Convergence Change Control 2 in progress – change in scope for early activity and areas in-scope
Resources	⇔	Phase 2 resource requirements almost entirely met now, Phase 3 resources is an issue set out below.
Plan	⇔	SWAP reviews will continue; Gateway review is delayed by a week or two due to delayed implementation plans
Benefits	⇔	Part of the Gateway process being introduced is to enable the baselining and assessment of services, both external and internal, to understand any impacts of the transition and to be clear about the measures and metrics being applied to that assessment.

This week		Issue/Risk	Mitigation
Top Issue		Resources required to deliver the Phase 3 plan will greatly exceed those within the current programme; this requirement will need to be resourced	Plan needs to be created and agreed with appropriate resourcing plan formed around the planned workload and timetable. Suitable experience and skills will be a major factor in determining whether these are internal or externally sourced
Top Risk	**5-4** **20**	Data disaggregation is of critical importance and decisions appear to being progressed separately in both SDC and BCP Programmes.	Without a coordinated approach to decision making, plans will likely be at counter point to one another and will not provide assurance to colleagues and customers of the continuity of service

Programme Milestone Plan – 1st October 2018



KEY: Blue - Complete | Green - On Track | Amber – plan variation or off track but recoverable without impact to the overall programme | Red – Late or off track or no agreed plan, significant risk to the overall programme

WS1: LEGAL AND DEMOCRATIC - STATUS UPDATE

Workstream Sponsor: Jonathan Mair
Project Manager: Andy Norman
Date: 03/10/2018
Workstream RAG G G

Overall Workstream Summary

Considerable effort now being focused on drafting the constitution for Shadow Council approval, likely in December . This poses a significant challenge to the Legal and Democratic Services teams.

Key Initiative Achievements (This Week)

- *Work continuing the constitution with questions issued to members around Procedural Rules, and drafting of protocols. Timeline for production of constitution by December planned, to be discussed with Governance Working Group on 1st October.*
- *Planning teams engaged in preferences for number of and areas covered by planning areas for discussion with the Governance Working Group.*
- *Specification for printing of electoral material drafted and sent to DCC Procurement.*
- *Location identified for single count venue for elections in May 2019.*
- *Agreement with the ICT workstream on the approach to the consolidation of Xpress electoral system by January 2019.*

Key Initiative Activities (Planned Next Week)

- Further work on the constitution and confirmation of the timeline for the drafting of the constitution, with a likely Council meeting planned for December to approve the draft.
- Drafting of paper on the transitional governance arrangements for April to May 2019 to be submitted to the Governance Working Group on 24 October.

Next milestones

Milestone	RAG	Due Date	Target Date
Draft articles finalised	G	August 2018	24 October 2018
Boundary Review complete	G	October 2018	
Drafting of constitution completed	G	January 2019	
Finance Order made	G	December 2018	
Boundary order made	G	December 2018	
Electoral register published	G	February 2019	
Constitution approved	G	February 2019	
Notice of election issued	G	March 2019	
Civic Order made	G	March 2019	
Elections	G	2 May 2019	
First Dorset Council meeting	G	May 2019	

Top Risk

ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
79			Judicial Review - Challenge by Mr.Somerville-Ford to the financial basis of the business case for the creation of the unitary authorities	This could potentially delay the programme or prevent it from continuing	5	3	15	We are continuing to press MHCLG to obtain a decision from the court on whether or not the review will be allowed and a hearing scheduled.	Jonathan Mair	

Top Issue

ID	Raised By	Date Raised	Issue Description	Impact Statement	S	Resolution Plan	Owner	Due Date
			There are no live issues at present					

WS2: FINANCE- STATUS UPDATE

Workstream Sponsor: Jason Vaughan
Project Manager: Rosie Dilke

Date: 03/10/2018

Workstream RAG A

Overall Workstream Summary

Members in Budget Working Group & Shadow Exec have agreed to push forward convergence savings and savings to close the budget gap produced by stranded costs with BCP. No service reductions are planned for 19/20.

Key Initiative Achievements (Last Fortnight)

Convergence is now a new Workstream within the Shaping Dorset Programme, with Jason Vaughan as the sponsor. This is being resourced in collaboration with the HR lead Nicola Houwayek.
All member sessions were held on 19th September on the Budget.

Finance Officers Group made the decision to move as many processes as possible onto SAP for 1/4/19 and to, in parallel and working with the Transformation Workstream, look at what a future IT system for Dorset Council would look like.

Key Initiative Activities (Planned Next Fortnight)

Budget Working Group 10/10/18 will focus on Capital, DSG and Disaggregation with BCP
A principles paper is in production on Fees & Charges to be made available to Programme Board members and other Workstreams.
Collaboration leading to decisions on the process and applications to be used across the Dorset Council area for Ordering and Receiving goods.

Next milestones

Milestone	RAG	Due Date	Target Date
Internal auditors appointed	C	21/8/18	Done
Collection Fund: Local Council Tax support Scheme (LCTS) : Shadow Exec 17/9/18 agreed to undertake a review	C	End Sept '18	End Sept '18
Financial System harmonisation – setting scope for software changes	G	Mid Oct '18	Mid Oct '18
Bank solution confirmed	G	End Oct '18	End Oct '18
Council tax base set	G	Dec '18	Dec '18
Agreement of debt and reserve percentages between Dorset & BCP	A	Dec '18	Dec '18
Budget approved	G	20/2/19	20/2/19

Top Risk

ID	Raised By	Date Raised	Risk Description	,DSG	I	P	RS	Mitigation Plan	Owner	Date Due
106	Jason Vaughan	July '18	Financial impact of 'stranded' costs between BCP & Dorset Councils following TUPE	This is currently estimated (Sept 2018) to be £5.4m (net).	5	3	15	HR Workstream is looking to mitigate this which would reduce this by £2.444m. Vacancy control process in place. HR mitigation process	Jason Vaughan	Oct. '18

Top Issue

ID	Raised By	Date Raised	Issue Description	Impact Statement	S	Resolution Plan	Owner	Due Date
16	Jason Vaughan	June '18	Interdependencies with other government bodies causes delays.	The Finance Consequential Order is due to be laid in Parliament in November. If this is delayed the Finance Workstream will not be able to achieve a safe and legal position for 1/4/19.	M	Discussions are ongoing with MHCLG. Meeting set for 8th November in London	Jason Vaughan	Nov. '18

WS3: HR WORKSTREAM - STATUS UPDATE

Workstream Sponsor: Matti Raudsepp
Project Manager: John Ferguson

Date: 03/10/2018

Workstream RAG G

Overall Workstream Summary

Key Initiative Achievements (This Fortnight)

Chief Exec appointment confirmed
Tier 2 consultation started
Key decisions for HR framework signed off by Programme Board

Key Initiative Activities (Planned Next Fortnight)

Tier 2 structure consultation closes and final structure agreed
Agreement of consultation approach with the unions for Day 1 HR Framework
Meeting with HMRC to agree PAYE approach

Next milestones

Milestone	RAG	Due Date	Target Date
Provisional TUPE lists completed	C	21st Sept	21st Sept
New Chief Exec appointed and confirmed	C	30th Sept	30th Sept
Formal TUPE consultation begins	G	1st Nov	1st Nov
TUPE Standstill begins	G	30th Oct	30th Oct
Tier 2 Appointments complete	G	10th Dec	10th Dec
TUPE consultation ends	G	18th Mar	18th Mar
HR Framework for new council	G	29th Mar	29th Mar

Top Risk

ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
40	HR Board	May '18	Systems and processes not in place and operational in time to pay people on time and accurately in April 2019	Major impact on delivering services. Significant regulatory impact	4	3	12	Work underway to determine a pragmatic implementation approach with HMRC - external support being provided through PS Tax. Options analysis being completed pending HMRC response	Chris Matthews	Oct '18

Top Issue

ID	Raised By	Date Raised	Issue Description	Impact Statement	S	Resolution Plan	Owner	Due Date
150	Prog Board	July '18	Approach and timing of team convergence to be agreed	Supporting achievement of the 2019/20 budget whilst maintaining service continuity		Change Control to Shadow Executive 15 October	Nicola Houwayek	Oct '18

WS4: CUSTOMER AND SERVICE CONTINUITY - CORPORATE THEME - STATUS UPDATE

Workstream Sponsor: Jason Vaughan / Jonathan Mair
Project Manager: Emma Wood

Date: 03/10/2018

Workstream RAG R A

Overall Workstream Summary

Implementation Plans are nearing completion although will not be signed off by the agreed deadlines. Corporate Board schedule has been arranged and invites sent to board members

Key Initiative Achievements (This Week)

Corporate Theme Board Schedule arranged and invites sent
Implementation plan drafts completed and nearing final sign-off
Customer Access Sponsor agreed and scope defined and signed off.

Key Initiative Activities (Planned Next Week)

Implementation Plans finalised and signed off
Milestones logged and Dependencies mapped across workstreams
Risks, Issues and dependencies reviewed and logged on PMO registers

Next milestones

Milestone	RAG	Due Date	Target Date
Chairs and board membership confirmed	C	01/09/2018	
Project resource in place	C	30/09/2018	
Project co-ordinators identified	C	31/08/2018	18/09/2018
Plans refined	R	30/09/2018	10/10/2018
Day one deliverables and scope confirmed	C	30/09/2018	
Workstream milestones, dependencies, risks & issues mapped	R	30/09/2018	10/10/2018

Top Risk

ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
			Risks to be confirmed by theme board							

Top Issue

ID	Raised By	Date Raised	Issue Description	Impact Statement	S	Resolution Plan	Owner	Due Date
149	Emma Wood	27/09/18	*Implementation plans, although completed in draft form, will not be finalised and signed off by COP of 28/09/18*	Although plans have not been signed off, work on delivery within the workstreams has started so overall delivery milestones wont be affected. Gateway review maybe impacted .		Sign-off date for plans has been moved to 10th Oct. Will aim to sign-off as soon as possible though to reducer any impact on Gateway review	JV/ JM	10/10/18

WS4: CUSTOMER AND SERVICE CONTINUITY - PLACE THEME - STATUS UPDATE

Workstream Sponsor: **Mike Harries and Bridget Downton**
Project Manager: **Emily Hallett**

Date: 03/10/2018

Workstream RAG R A

Overall Workstream Summary

12 out of the 22 implementation plans are due to be complete by the gateway review deadline (28/09/2018). This deadline is for the plan to be complete with actionable tasks, leads, dates, milestones and risks.
These are; Beaches and Seafront, Building Control, Development Management, Engineering and Coastal Defence, Events, Fleet Management, Harbours, Land Charges, Network Development, Parking, Planning Policy, Tourism.
The following plans will not meet the gateway deadline, making the overall place theme red; Capital Project, Repairs and Maintenance, Countryside and Urban Greenspace, Economic Development, Estates and Assets, Network Management, Network Operations, Regulatory, Transport, Waste and Cleansing.
The Heritage Implementation Plan will not be ready until 17/10/2018 due to a coordinator being identified this week.

Key Initiative Achievements (This Fortnight)

Meetings have been held with all coordinators to ensure plans and service mapping are updated with all colleagues from across the Dorset Council authorities.

Key Initiative Activities (Planned Next Fortnight)

Implementation Plans finalised and signed off
Scope and baseline documentation identified and signed off
Milestones logged and Dependencies mapped across workstreams
Risks, Issues and dependencies reviewed and logged on PMO registers

Next milestones

Milestone	RAG	Due Date	Target Date
Chairs and board membership confirmed	C	01/09/2018	
Project resource in place	C	30/09/2018	
Project co-ordinators identified	C	26/09/2018	26/09/2018
Plans refined	R	30/09/2018	12/10/2018
Day one deliverables and scope confirmed	R	30/09/2018	12/10/2018
Workstream milestones, dependencies, risks & issues mapped	R	30/09/2018	12/10/2018

Top Risk

ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
			Currently collating the risks for each of the 22 implementation plans. Once collated, will be able to populate top risk.							

Top Issue

ID	Raised By	Date Raised	Issue Description	Impact Statement	S	Resolution Plan	Owner	Due Date
			Currently collating the issues for each of the 22 implementation plans. Once collated, will be able to populate top risk.					

WS4: CUSTOMER AND SERVICE CONTINUITY - PEOPLE THEME - STATUS UPDATE

Workstream Sponsor: Helen Coombes and Nick Jarman
Project Manager: Ray Dales

Date: 03/10/2018

Workstream RAG R A

Overall Workstream Summary

Good progress has been made on reviewing, consolidating, and refining workstream implementation plans, and final pre-sign off checks are underway.. Confirmation has been received that BCP have chosen Mosaic as their Care Record system,, This remains the main risk until a plan has been agreed for system configuration and data transfer. Overall Theme status changed to Red as target date of 30th September will be missed. – now targeted for sign off at Theme Board meeting on 11th October.

Key Initiative Achievements (This Week)

All workstream coordinators have had follow up planning meetings.
Workstream plans now have tasks defined, leads identified., and dependencies logged. Risks, Decisions, and Policies defined for 4 workstreams, the remaining to complete w/c 1st October
All Day 1 "safe and legal" tasks identified.
First draft of project documentation commenced.

Key Initiative Activities (Planned Next Week)

Overarching implementation plan created and signed off, including Risk and Decision planning, Dependency mapping, and Policy and Procedure identification

Project documentation completed and signed off

Next milestones

Milestone	RAG	Due Date	Target Date
Chairs and board membership confirmed	C	01/09/2018	
Project resource in place	C	30/09/2018	
Project co-ordinators identified	C	31/08/2018	
Plans refined	A	30/09/2018	
Day one deliverables and scope confirmed	R	30/09/2018	03/10/2018
Workstream milestones, dependencies, risks & issues mapped	R	30/09/2018	05/10/2018

Top Risk

ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
137	Cross Cutting	22/08/18	*There is no agreed plan in place to disaggregate Social Services data*	Capacity and capability to respond in a timely way to the agreed solution for safe data transfer	4	4	16	Awaiting development of plan for system integration and data transfer	ICT/ People	Early October

Top Issue

ID	Raised By	Date Raised	Issue Description	Impact Statement	S	Resolution Plan	Owner	Due Date

WS4: CUSTOMER AND SERVICE CONTINUITY – DISAGGREGATION - STATUS UPDATE

Workstream Sponsor: Jonathan Mair / Jason Vaughn
Project Manager: James Howie

Date: 03/10/2018

Workstream RAG A

Overall Workstream Summary

To identify and capture areas of disaggregation across all workstreams within the Dorset area where their is an element of disaggregation and confirm that the appropriate work streams and working groups are tasked with confirming that each item has been implemented.

Key Initiative Achievements (This Week)

Disaggregation – Full scope and high level project plan being identified across all workstreams using implementation plans across all areas.
Disaggregated Contracts – Set of principles agreed by the DA procurement group and reviewed by the joint MOs working group.
Partnerships – List reviewed with joint MOs along with BCP draft decision records.

Key Initiative Activities (Planned Next Week)

- Full scope for disaggregation to be agreed by corporate board 11th October.
- Agree with all working groups and teams which areas of the scope impacts them and that these are being covered by implementation plans
- List out dependencies for all groups and confirm timelines and impacts.
- Identification of all contracts containing Christchurch element and highlighted within Accord.
- Agree with BCP the decision records for partnerships

Next milestones

Milestone	RAG	Due Date	Target Date
Disaggregation scope finalised from implementation plans	A	30/09/2018	10/10/2018
Agree Partnership approach for all disaggregated Partnerships with BCP	G	30/10/2018	30/10/2018
Confirm Final list of asset to transfer	G	Feb 2019	Feb 2019
Day 1 Applications in place	G	April 2019	April 2019

Top Risk

ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
118	ICT		Data disaggregation is of critical importance and decisions appear to being progressed separately in both SDC and BCP Programmes.	Without a coordinated approach to decision making, plans will likely be at counter point to one another and will not provide assurance to colleagues and customers of the continuity of service	4	3	12	A Business Analyst has started within the SDC Programme, they will work with both DC and BCP to arrange joint meetings between the relevant business and ICT leads for each of the service areas where data disaggregation will need to take place. This work will deliver focussed decision request	James McMahon	28/08/2018

Top Issue

ID	Raised By	Date Raised	Issue Description	Impact Statement	S	Resolution Plan	Owner	Due Date
			Describe the top issue for the workstream		H			

WS4: CUSTOMER AND SERVICE CONTINUITY – PROPERTY AND ASSETS - STATUS UPDATE

Workstream Sponsor: Jonathan Mair / Jason Vaughn
Project Manager: James Howie

Date: 28/09/18

Workstream RAG G

Overall Workstream Summary

To identify and capture and create a plan to deliver asset rationalisation, disaggregation and rebranding for Dorset Council

Key Initiative Achievements (This Week)

Confirmation of the property list for disaggregation from DCC balance sheet.
Meeting with the Facilities workstream to confirm hard FM and soft FM along with next steps.
Finalising the property workstreams implementation plans

Key Initiative Activities (Planned Next Week)

Confirm that the asset list for disaggregation can be shared with BCP.
Develop full list of property and assets for the new authority
Finalise implementation plan
Engage with branding teams to understand progress

Next milestones

Milestone	RAG	Due Date	Target Date
Finalise full list of all property and assets	G	31/10/2018	31/10/2018
Identify branding strategy for all assets	G	31/12/2018	31/12/2018
Confirm list of all disaggregated assets	G	Feb 2019	Feb 2019

Top Risk

ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due

Top Issue

ID	Raised By	Date Raised	Issue Description	Impact Statement	S	Resolution Plan	Owner	Due Date

WS4: CUSTOMER AND SERVICE CONTINUITY – CONTRACTS, PARTNERSHIPS, SLAS, GRANTS - STATUS UPDATE

Workstream Sponsor: Jonathan Mair / Jason Vaughn
Project Manager: James Howie

Date: 03/10/2018

Workstream RAG G

Overall Workstream Summary

Develop a list of Contracts, partnerships and SLAs, categorise and prioritise, highlighting contracts where the end date is on or around day 1, joint agreement contracts and those that will novate to the new authority. Where there is joint agreement with BCP develop a strategy with BCP as to how each contract will be dealt with from day 1.

Key Initiative Achievements (This Week)

Confirmed that all identified district contracts have been uploaded to accord
Set of principles agreed by the DA procurement group and reviewed by the joint MOs working group.
Teams identifying gaps within the contractual information
Joint MOs working group provided guidance as to next steps with partnerships.

Key Initiative Activities (Planned Next Week)

- Identification of all contracts containing Christchurch element and highlighted within Accord.
- Communication to be created to update all working groups of the update for contractual work.
- Produce decision records as to the approach to be taken for each partnership
- Create business case for partnerships onto accord.

Next milestones

Milestone	RAG	Due Date	Target Date
District & county contracts onto accord	C	31/08/2018	31/08/2018
Agree approach for all Partnerships	G	30/10/2018	30/10/2018
Complete Grants handover to phase 3	G	Nov 2018	Feb 2018

Top Risk

ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due

Top Issue

ID	Raised By	Date Raised	Issue Description	Impact Statement	S	Resolution Plan	Owner	Due Date
			Describe the top issue for the workstream		H			

WS5: ICT WORKSTREAM - STATUS UPDATE

Workstream Sponsor: Mike Harries
Project Manager: Chris Harrington

Date: 03/10/2018

Workstream RAG G

Overall Workstream Summary

With the data migration work now well under way , the project's focus has shifted to shaping activity for four key infrastructure items (Telephony and Contact Directory, Print, Room Booking, and Door Entry); and for SharePoint requirements, in particular new DC intranet and new Office 365 functionality called Teams Site.

Key Initiative Achievements (This Week)

One domain supplier appointed
One domain kick off meeting complete
Work started on LLPG, Elections, Mod.gov day one business applications
Shaping activity started for four key infrastructure items and SharePoint design requirements – request for BAs to support made to programme management.
Data Migration decision note awaiting final input from ICT leads

Key Initiative Activities (Planned Next Week)

Receive PID, plan and budget monitoring model from one domain supplier
Progress the analysis for infrastructure, including taking the BA request forward
Schedule design workshop for SharePoint
Complete Plans for (currently known) Day One Applications
Start scoping activity for other potential Day One Applications

Next milestones

Milestone	RAG	Due Date	Target Date
Stage 1 - One domain solution implemented	G	December 18	
Skype IM and Presence available	G	January 19	
Day one wifi solution implemented	G	February 19	
Day one print solution implemented	A	February 19	
Day one door entry solution implemented	G	February 19	
Day One telephony solution complete	G	February 19	
LLPG Migration Complete	A	February 19	
ICT Day One Support processes and systems in place	A	March 19	
Day one applications in place	G	April 19	
DC Microsoft Agreement in place	G	May 19	

Top Risk

ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
118	Karen Perrett		Data disaggregation is of critical importance and decisions appear to being progressed separately in both SDC and BCP Programmes.	Without a coordinated approach to decision making, plans will likely be at counter point to one another and will not provide assurance to colleagues and customers of the continuity of service	4	3	12	A Business Analyst has started within the SDC Programme, they will work with both DC and BCP to arrange joint meetings between the relevant business and ICT leads for each of the service areas where data disaggregation will need to take place. This work will deliver focussed decision requests and a clear plan.	James McMahon	28/9/18

Top Issue

ID	Raised By	Date Raised	Issue Description	Impact Statement	S	Resolution Plan	Owner	Due Date
			None					

WS6: INFORMATION GOVERNANCE - STATUS UPDATE

Workstream Sponsor: Steve Mackenzie
Project Manager: Sue Howard

Date: 03/10/2018

Workstream RAG A

Overall Workstream Summary

Progress made on Information Governance Workstream to identify key tasks and milestones which will be signed off at Information Governance Project Board. Continued progress to ensure workstream has key resources available to deliver requirements. The status remains amber until the workstream has a comprehensive delivery plan. This is now underway.

Key Initiative Achievements (This Week)

- Data Sharing Agreement approved by Programme Board
- Information Governance Workstream risks reviewed and re-scored.
- Workstream kick off held for Transparency, Openness & Data Protection
- Data Disaggregation meeting held

Next milestones

Milestone	RAG	Due Date	Target Date
Work package teams in place	C	15/08/2018	
Day 2 requirements identified	C	15/08/2018	
Project plan in place	G	30/09/2018	
ICO Registration	C	26/09/2018	
Data Sharing Agreement Approved	G	27/9/2018	

- Data Sharing Agreement due to be presented at Pan Dorset Chief Executive meeting
- Dependencies due to be agreed with all workstreams
- Progress updates from individual work package meetings to provide resource and timelines for delivery
- High Level Plan due
- Next steps data disaggregation meeting
- IG Board to provide steer on IG for other workstreams

Top Risk

ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
87	IG Board	1/8/2018	Lack of Ownership & Accountability	There must be clarity around key roles for Data Protection for Day 1 to comply with Caldicott Principles	4	4	16	HR to clarify the interim operational management arrangements i.e. Interim Monitoring Officer is responsible for DP. Ensure that statutory roles are allocated (SIRO; Data Protection Officer; Caldicott Guardians)	IG Board	TBC

Top Issue

ID	Raised By	Date Raised	Issue Description	Impact Statement	S	Resolution Plan	Owner	Due Date

WS7: COMMUNICATIONS & BRANDING - STATUS UPDATE

Workstream Sponsor: Matt Prosser
Project Manager: Fiona Napier

Date: 03/10/2018

Workstream RAG G

Overall Workstream Summary

Focus for the Communications workstream remains on supporting the Chief Executive and Tier 2 appointments process, the budget and progressing the branding for Dorset Council.

Key Initiative Achievements (This Week)

- Co-ordinated communications on 27/09/18 around announcement of Chief Executive at Shadow Dorset Council which will be live streamed.
- Managers Forum 26.09.18 (attendance 50 out of 130)
- Branding audit commenced – team of 3 delivering this work over 4 week period.

Key Initiative Activities (Planned Next Week)

- Newsletters to employees, members and town and parish councils marking 6 months to go live
- Promotion of employee briefings for late October/early November. Venues booked
- Branding testing with employees and wider public
- Completion of communications & branding implementation plans

Next milestones

Milestone	RAG	Due Date	Target Date
Branding in place	G	Jan 2019	Jan 2019
Info Campaign promoting Dorset Council	G	Jan 2019	Jan 2019
Communications Service in place	G	March 2019	March 2019
Website in place	A	Dec 2018	March 2019
Intranet in place	A	March 2019	March 2019

Top Risk

ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
			Risk to be reviewed by Corporate Board							

Top Issue

ID	Raised By	Date Raised	Issue Description	Impact Statement	S	Resolution Plan	Owner	Due Date

PHASE 3 TRANSFORMATION - UPDATE

Workstream Sponsor: TBC (Keith Cheesman)
Project Manager: TBC (Keith Cheesman)
Date: 3/10/2018
Workstream RAG R

Overview / Summary

The changes to scope of the programme to include convergence as well as transformation plans are now under further review following direction from Budget Working Group. Phase 3 deliverables for Detailed Design Principles and Vision are subject to ongoing work with Members and a further change control is included within the Programme Report. Resourcing to accommodate these changes is being sought and funding needs to be identified.

Activity

Members are being supported to develop an organisational design based on the vision for the new Council and Operating Model.
Member briefings have been held which outline the latest understanding of the new council budget position and detail some of the opportunities to resolve the gap
Convergence approach is still subject to a number of discussions; resourcing to support the changes is being sought

Next Steps

Finalise scope of the convergence
Agree outline plan for convergence
Agree Resources to support Convergence and Transformation
Continue with the Transformation Plan preparation

Next milestones

Milestone	RAG	Due Date	Target Date
Convergence plan draft	A	10/10/18	
Convergence resources in place, including funding	R	10/10/18	
Transformation plan draft	A	31/10/18	
Transformation resources in place	A	29/3/19	
Corporate Plan draft	R	TBD	

Top Risk

ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
18	Interim S151 - Jason Vaughan		Financial Sustainability of Dorset Council	Preparation of draft 19/20 DC budget has identified a requirement for earlier and faster move towards convergence and transformation savings in order to achieve a balanced budget	4	3	12	Convergence plan is part of the Shaping Dorset Council Programme. scope Transformation Plan for Phase 3 to be developed and in place for the new council to implement.	Keith Cheesman	12/11/18

Top Issue

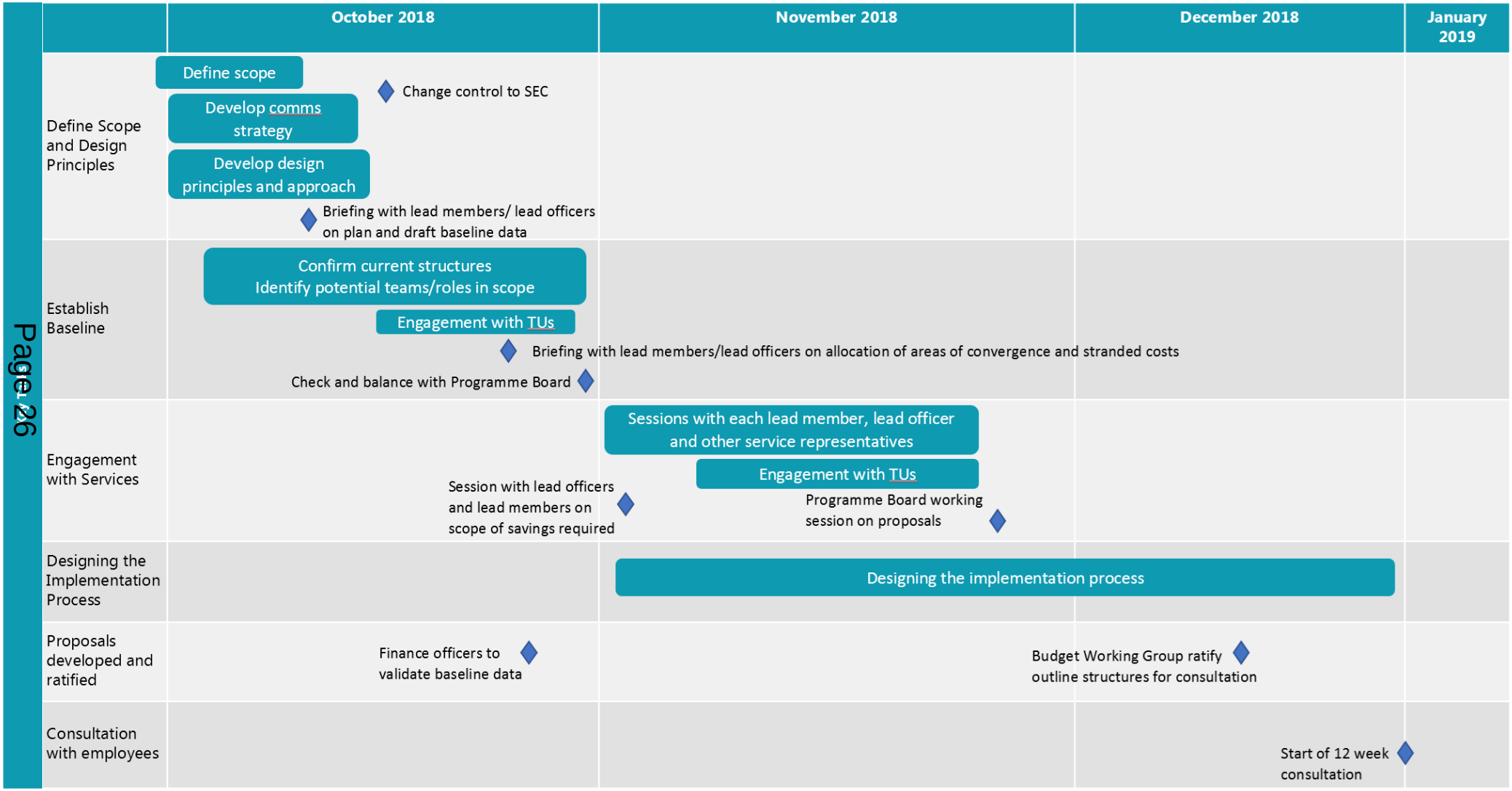
ID	Raised By	Date Raised	Issue Description	Impact Statement	S	Resolution Plan	Owner	Due Date
n/a	Keith Cheesman	17/9/18	Resources for the Phase 3 plan not in place	Resources required to deliver the Phase 3 plan will greatly exceed those within the current programme; this requirement will need to be resourced	M	Plan needs to be created and agreed with appropriate resourcing plan formed around the planned workload and timetable. Suitable experience and skills will be a major factor in determining whether these are internal or externally sourced	Keith Cheesman	12/11/18

This page is intentionally left blank

Appendix 2. Scope for Convergence

Project: 3.3 Operational structure from day 1 **Work Package:** 3.3.2 Convergence of existing teams	**Project Lead:** Nicola Houwayek **Work Package Owner:** Nicola Houwayek
Purpose/Objectives: • To ensure that Dorset Council has transitional operating structures from 1 April 2019 **Key Outcomes:** • Enabling the savings from staffing budgets for 2019/20 • Supporting the safe and legal service continuity • Visibility of how stranded costs, relating to people are being mitigated • Reviewing the impact of TUPE in terms of posts and stranded costs • Converging teams to de-duplicate delivery • Managing vacancies. **Key Outputs:** • Definitions of transformational redesign and convergence • Baseline of current service structures • Definition of the process with clear design principles and approach • Review of each team and an assessment of level of alignment required • Structure charts effective from 1 April 2019 • Implementation process • Voluntary redundancy process. **Key Risks & Issues:** • Potential limiting impact of convergence on the ability to transform • Negative impact on retention and productivity of employees • Non-compliance of TUPE legislation: Consultation can be initiated prior to 1 April, however all staff have the right to TUPE to Dorset Council with no compulsory redundancies until consultation with the new organisation has taken place, after 1 April 2019 • Negative impact on motivation and service delivery. The timing of any restructuring is critical to minimise the impact successive restructuring. • Potential loss of required resources too early and which are needed to enable the transformation (can be mitigated by deferred redundancy agreements).	**Other Team Members:** • Angie Twelves, Nina Coakley, Paul Loach, Sara Collinson, Mel Horton, Heather Williamson, Emily Garnam, Fiona Neville, Hannah Brown, Sarah Baker, Steve Hedges, Heather Lappin, Marc Goodman **Start Date:** • 25 September 2018 **Proposed Completion Date:** • Needs to be completed by 31 December to enable consultation to start from January 2019 **Intended Audience & Approx numbers:** • All existing sovereign councils – Dorset Councils Partnership, Dorset County, East Dorset, Purbeck **Dependencies:** • Implications of and relationship to BCP approach **Resources:** • Project Manager • Project Support Officer • Communications Officer

Convergence Timeline (until start of consultation)



Shadow Dorset Council

Shaping Dorset Council Programme – Programme Governance Audit

Introduction

SWAP has recently undertaken two pieces of high-level assurance work in relation to the Shaping Dorset Council (SDC) Programme Governance; this is now the third piece of work which we were commissioned to undertake following instruction from the Shaping Dorset Council Programme Board on the 5.09.18.

The scope of this work was confirmed to be the same as our first piece of work; assessing five key areas of programme governance, in order to form an opinion on the adequacy, design and integrity of the arrangements in place to deliver the intended outcomes of the programme. The five specific areas we have assessed are as follows:

- Programme purpose & clarity
- Programme structure, resources & capacity
- Programme and workstream planning, including interdependencies
- Programme decision-making and escalation arrangements
- Programme reporting and stakeholder management/ engagement

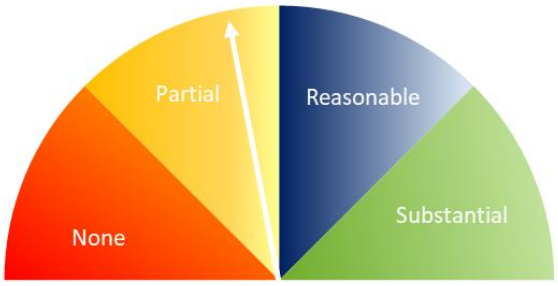
Our audit review has again consisted of meetings with programme stakeholders, as well as review and analysis of key programme activity. We have set out a full record of evidence reviewed as part of this audit, along with the meetings held in Appendix 1. Our conclusions are based on the documentation that was available at the time of our audit (up to 26.09.18).

Overall Assurance Opinion

PARTIAL

In relation to the areas reviewed and the arrangements in place at the time of our audit, some aspects require the improvement of processes and/ or controls to ensure the achievement of objectives.

Whilst there has been a clear improvement in programme governance since our last review, the acceleration of convergence prior to April 2019 has increased certain risks and issues, which now need to be mitigated.



Headline Conclusions

- Programme governance has improved since our last assurance overview, with more clarity and rigour applied to the programme arrangements. The programme structure has been established and embedded, with greater clarity around roles and responsibilities.
- Programme planning and oversight of programme highlights and milestones has improved, although finalising service continuity implementation plans is likely to be slightly delayed beyond their end of September deadline; this will impact on the closure of Phase 1 of the programme.
- Programme decision-making, risk management arrangements and dependency mapping mechanisms and reporting have been developed, with more transparency and rigour now in place.
- However, from a more detailed review of key programme documentation, we identified a range of errors, omissions or inconsistencies that could cause confusion or undermine oversight, management of risks & issues, and decision-making.
- Since our previous assurance review, there has been further discussion and shift in relation to the agreed scope and timescales of Phase 3 of the programme. There is a need to ensure that these changes are appropriately captured through change control mechanisms; ensuring that all changes are formally agreed and documented at the appropriate levels.
- Due to the very recent change in programme timescales regarding the acceleration of Phase 3 convergence, the risk profile of the programme, along with the corresponding workload in advance of April 2019 will significantly increase.
- Resources and capacity to accommodate the original scope and timescales of the programme had been matched and implemented. However, due to the acceleration of original timescales for convergence, there are now likely to be significant short-term resource demands and potential shortages.

Key Findings

1. Programme Purpose & Clarity

The defined scope and purpose of the programme has been clarified through a series of reports, as well as the relevant change control notice at the end of July in relation to convergence and restructure work. However, we understand that there have been very recent discussions regarding a further acceleration of the Phase 3 convergence and restructure work due to the significant financial pressures likely to be faced in the 2019/20 financial year. At the time of our audit work, formal change control documentation, along with the corresponding record of agreement to this, had not yet been produced and recorded, although we understand that this will be undertaken by the programme team shortly.

This shift in programme timing will now require additional short-term planning, programme resource, as well as timely communications to staff. This will help to improve clarity in relation to the timescales for any potential deletion of posts and/ or voluntary redundancy opportunities.

2. Programme Structure, Resources & Capacity

The structure for the Shaping Dorset Council programme has continued to develop, with the various boards and workstreams now established and embedded into the overall programme structure. Roles and responsibilities have been clarified and a more consistent programme reporting rhythm has been established. SDC Programme Board meeting agendas are now consistently structured, with regular programme highlight reporting, as well as recently-introduced standardised papers covering key risks, decisions, and dependencies.

The SDC programme team have continued to recruit in order to match the resource demands of the programme. Whilst resource and capacity have now been matched to the requirements of the original scope of the programme, the acceleration of Phase 3 convergence (as detailed in Section 1 above), will place significant short-term resource demands on the programme team, as well as wider staff with the Dorset authorities. In our opinion, the risk of insufficient programme resource and capacity has therefore reverted to high. However, plans are already in place to start addressing the new resource requirements, and it is intended to address any resource and capacity issues imminently.

Resource dependency is likely to become increasingly important with the acceleration of Phase 3 convergence, with certain individuals increasingly likely to be leading on service continuity implementation, as well as assisting with convergence planning and design. This will present a challenge in relation to pinch points of resource and/or skills in the lead up to April 2019.

The programme gateway review process originally agreed has been slightly delayed, to ensure that Theme Board implementation plans are adequately agreed and finalised. This will then lead to an assessment as to whether Discovery Phase has been completed satisfactorily. The high-level assessment criteria for Gateway 1 has been established and reviewed at Programme Board.

3. Programme and Workstream Planning, including Interdependencies

Programme and workstream planning has been developed, agreed and documented. Project plans for service continuity are currently being drafted and finalised for the three Theme Boards of Place, People and Corporate. Whilst the target date for all of these plans to be in place is the end of September, this deadline is unlikely to be achieved. From our discussions, the delays to these plans are not thought to be significant at this stage, with the aim to finalise all plans in advance of the Gateway review planned in mid-October. If further delays are experienced in relation to service continuity project plans, this is likely to impact on overall programme timescales.

Programme highlight reports and milestone plan reporting is now established and embedded. This includes an overall one-page programme highlight report and milestone summary, as well as consistent one-page summaries for each workstream. Whilst these documents appear to provide an effective mechanism to capture and summarise the overall programme status, our review of the most recent highlight report (19.09.18) identified a number of omissions and errors. For example, the milestone plan presented did not identify any Red i.e. late, off-track or no agreed plan issues that could present a significant risk to the programme, despite these items being flagged and appearing on the individual workstream summaries. Similarly, there were items appearing on individual workstream summaries that did not appear at all on the milestone plan, despite these being significant. We would recommend that a full cross-check is carried out to ensure that highlight report documentation is accurate, consistent, and captures all key information.

Programme dependencies have begun to be captured and mapped, and from September 2018, significant dependencies have been reviewed fortnightly at Programme Board. The review and scoring of dependencies at Workstream Board level has been undertaken to a certain extent, however the SDC programme team have recognised that this is not yet embedded in practice and requires further attention to ensure that dependencies are managed effectively.

Following the finalisation of service continuity implementation plans, there are likely to be a large number of new dependencies identified and emerging. It will become increasingly important that programme dependencies are adequately captured, rated and managed to ensure that implementation plans can remain on track.

Whilst the fortnightly programme dependency highlight report brings an element of rigour to the dependency process, from our comparison of the latest programme dependency report (26.09.18) to the SDC SharePoint site, certain aspects did not appear to match – for example, the overall number of dependencies and scoring of certain dependencies. Whilst this is likely to be an administrative issue, without a consistent and accurate record of all programme dependencies going forwards, there is a risk of ineffective oversight of key dependency areas, with a subsequent impact of programme outcomes.

4. Programme Decision-Making and Escalation Arrangements

Programme decision-making arrangements have improved since our last review, with greater structure and rigour now applied to the decision-making process at various levels in the SDC programme. The revised decision-making arrangements were approved by the programme board on 29 August 2018, which included key mechanisms such as a fortnightly decision-making highlight report to programme board, helping to structure the record keeping of decision-making, as well as the criteria for making a decision and at what programme level this can be made. This has inevitably helped escalation arrangements as well.

From our review of recent decision-making highlight reports, these were clear in relation to the decisions required to be taken at the board to which the paper was to be presented, as well as a record of those decisions taken in the past reporting period. As part of our review, we noted that the decisions log contained a large number of 'Pending' decisions (83) dating back to June 2018, with no plan as to how to address and/ or prioritise this backlog. To ensure completeness, it would appear advisable to review, prioritise and clear historical pending decisions, in order to keep the decision-making process up to date.

Programme risk management arrangements are more developed and embedded since our last assurance review. Arrangements now include a regular risk management exception report presented fortnightly to SDC Programme Board, along with the corresponding full record of programme risks captured in a risk appendix. Risk highlight reports clearly detail new risks identified since the last report, as well as the top five risks thought to be worsening. Recent improvements to the risk appendix include capturing a direction of travel for each risk, as well as identified Accountable Risk Owners and Risk Leads for the vast majority of risks. From our audit review of risk documentation, in addition to the new and worsening risks, risk highlight reports could be enhanced through visually representing the top five overall programme risks in terms of combined impact & likelihood. This would help focus oversight and resource prioritisation and mitigation on key programme issues.

Although the above arrangements demonstrate an improvement in risk management, from our more detailed review of programme risk reporting we identified a number of omissions and inconsistencies when comparing the risks included in the workstream programme highlight reports, to those included on the risk appendix. These were flagged to the programme team at the time of the review and we would recommend that a full cross-checking exercise is undertaken to ensure that the record of programme risks is complete and consistent; especially those risks identified as high.

Although Theme Boards have started identifying their risks, further work will be required once implementation plans come together and are finalised, to effectively capture any emerging new risks. The SDC programme team have also recognised that although workstream boards are expected to review their risks at each meeting to ensure adequate mitigating controls in place, capacity issues at workstream and risk owner level have meant that there are some areas where this is not yet embedded.

5. Programme Reporting and Stakeholder Management/ Engagement

Programme reporting is now sufficiently embedded and stable; with a clear understanding of meeting schedules and associated papers, as well as Programme Board meeting notes being captured etc. The Shaping Dorset Council programme SharePoint site was significantly more populated, with consistency in key areas. However, as highlighted above, from our more detailed review of programme documentation, we identified a range of omissions or inaccuracies in key programme documentation. Whilst the extremely quick pace of the programme means that keeping programme documentation robust and accurate is a challenge, there is a risk that these gaps contribute to information or links being missed, the lack of a complete programme picture, and/ or stakeholder confusion. Due to the recent discussions regarding the acceleration of Phase 3 convergence, timely and effective communication to stakeholders (especially staff) will now present a significant challenge. Again, the programme team are currently revising plans to address this, but this will require adequate resources and coordination.

Recommended Actions from our Programme Assurance Review

Formally capture the full implications relating to the acceleration of Phase 3 convergence within programme change control; including the issues, risks and dependencies this creates, and ensure that this programme change is agreed and signed off at the appropriate levels
Linked to the above, ensure a communications plan for the acceleration of Phase 3 convergence is finalised and implemented
Carry out a full cross-check of the overall programme highlight report, milestone plan and workstream highlight documentation, to ensure that these are accurate, consistent, and capture all key information
Similarly, carry out a full cross-checking exercise of programme risks identified in the workstream highlight reports and risk appendix to ensure that the record of programme risks is complete and consistent; especially those risks identified as high
Review, prioritise and clear the backlog of historical pending programme decisions, in order to ensure the decision-making process is kept up to date and any new decisions required can be easily identified
Carry out a comparison of programme dependencies identified on SharePoint to those in the dependencies highlight report to ensure there is consistency and accuracy
Consider whether risk highlight reports could be enhanced through visually presenting the top five overall programme risks in terms of combined impact & likelihood. This would help focus oversight, resource prioritisation and mitigation on key programme issues

SWAP Internal Audit Services
1st October 2018

APPENDIX 1 - SDC Programme Governance Audit – Evidence Reviewed & Meetings Held as part of this Review

Evidence Reviewed

The following evidence was reviewed as part of this audit, along with the date of the evidence when applicable:

Programme Highlight Report – 19.09.18

Programme Milestone Plan – 19.08.18

Workstream and Theme status updates – 19.08.18

Programme Board Meeting Notes – August & September meeting notes

Programme Board Change Control Notice 25.07.18

Gateway 1 Review: Preparation – August 2018 Presentation

Shaping Dorset Council Phase 3 Plan – 24.08.18

Dependencies Highlight Report – 26.09.18

SDC SharePoint Dependency section

Risk Exception Report – 26.09.18

Risk Appendix – 26.09.18

SDC SharePoint Risk Section

Decisions Highlight Report – 26.09.18

Programme Board Actions & Decisions Log – 26.09.18

SDC SharePoint Decisions Log section

Level 3 and 4 Decision Request Form – 26.09.18

Meetings Held as part of this Review

The following meetings were held as part of this review (listed in alphabetical order):

Keith Cheesman x 2 – 11.09.18 & 26.09.18

Helen Coombes – 24.09.18

Bridget Downton – 17.09.18

Mike Harries – 17.09.18

Sarah Longdon – 27.09.18

Jonathon Mair – 18.09.18

Jim McManus – 27.09.18

Matt Prosser – 19.09.18

Jason Vaughan – 14.09.18

Debbie Ward – 17.09.18

This page is intentionally left blank