Shadow Dorset Council

Committee:	Shadow Overview and Scrutiny Committee
Date:	Wednesday, 7 November 2018
Time:	6.30 pm
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

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

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

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A G E N D A

To review the latest Programme Highlight Report including Gateway 1 report, to be considered by the Shadow Executive Committee on 12 November 2018.

The report will be published within the agenda for the Shadow Executive Committee for the meeting on 12 November 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=127&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	12 November 2018
Officer	Keith Cheesman, Programme Director
Subject of Report	**Programme Highlight Report (Including the Gateway Review and Programme Budget)**
Executive Summary	This report provides an update on progress since the last Shadow Executive Committee meeting on 15 October 2018, including the findings of the Gateway Review, and an update on the Programme budget.
Impact Assessment:	Equalities Impact Assessment: None in relation to this report.
	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 Gateway Review.
	Budget: This report alerts Members to a projected overspend on the current budget.
	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 Amber
	Other Implications: None identified.
Recommendations	That the Shadow Executive Committee: 1. Notes the progress made since the last meeting 2. Notes the findings of the Gateway Review

	3. Notes the budget update and agrees to receive an update at the December meeting.
Reason for Recommendation	To provide assurance that the Programme is progressing properly
Appendices	1. Programme highlight report 2. Gateway Review Report, produced by the South West Audit Partnership (SWAP)
Background Papers	
Officer Contact	Name: Keith Cheesman Tel: 01305 221227 Email: Keith.Cheesman@dorsetcc.gov.uk

1. Programme Overview

1.1 Summary and Progress

1.1.1 The full highlight report is attached at Appendix 1. At the time of writing, overall progress remains at Amber. Work on the implementation plans is nearing completion, with Theme Boards making significant progress on developing the detailed service continuity plans, but these plans are still running later than planned.

1.1.2 Key achievements in the last period:

- The Ministry for Housing, Communities and Local Government are reengaging in the outstanding Consequential Orders, and have provided a timeline for completion
- The executive/tier two appointment process is progressing, with assessment days diarised
- The data sharing agreement with BCP Council has been finalised and information shared
- Changes to the design principles for the new council have been drafted along with first steps towards a Vision and Strategic Priorities for Dorset Council

1.2 Risks and Issues

1.2.1 The key programme issue is that the resources required to deliver convergence and the Phase 3 plan will greatly exceed those within the current programme. The mitigating action is that a plan needs to be created and agreed with appropriate resourcing formed around the workload and timetable. A full request for programme and transformation budget funding will be brought to the December meeting of the Shadow Executive.

1.2.2 The key risk is that the programme may not be able to guarantee a safe and legal implementation of Dorset Council if a no deal Brexit causes significant uncertainty and confusion for provision of services at the point at which the new council goes live. The mitigating action is to develop a contingency plan, taking advice from the

Local Government Association (LGA). This will need to be picked up as part of the day one continuity plans.

1.2.3   The process of creating the risk register for the new council is the subject of a separate item on this agenda.

2.   Gateway Review

2.1   Background

2.1.1   The first Gateway Review took place 15-26 October by the South West Audit Partnership (SWAP). The objective of the review was:

- 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

2.1.2   The Review consisted of interviews with members of the Service Continuity Theme Boards, Workstreams and Programme Board.

2.1.3   The full report is appended but in summary, it concludes that the majority of discovery phase activity has either been completed or drafted, that work within this phase remains ongoing and from the evidence seen, it is intended that the vast majority of the substance of this phase will be completed within the next two/three weeks, the review has verified that plans and resources are in place to address the areas requiring action. These appear resolvable at this stage and, if addressed promptly, should not present overruns.

2.2   Findings

2.2.1   The report is attached at Appendix 2. Key findings are:

- "Whilst we have evidenced that the majority of discovery phase activity has either been completed or drafted, the final work within this phase remains ongoing and therefore our report, while originally intended to provide assurance that the discovery phase is effectively closed, is not fully able to do so.
- "However, from the evidence that we have seen, as well as confirmations from the programme team, it is intended that the vast majority of the substance of this phase will be completed within the next two/three weeks, and we have verified that plans and resources are in place to address the areas requiring action.
- "At this stage, the delays to finalising discovery phase activities do not appear likely to have a significant impact on the overall programme delivery timescales. Tasks to deliver operational readiness are underway and are being implemented alongside discovery phase activities being finalised.
- "From our review and dip-testing of discovery phase activities, we were broadly able to confirm that the programme dashboard status (included at Appendix A) provided an accurate and realistic assessment of the current programme status and activities (as at 22.10.18). It was clear that a significant amount of activity and tasks had come together and/ or been signed off in the last few weeks.
- "As highlighted on the programme dashboard (Appendix A), the majority of work still to complete within the discovery phase is in relation to coordination activities once all service implementation plans have been signed off i.e. coordinating and summarising key decisions required in advance of 1st April, as

well as effectively capturing and assessing dependencies identified by service areas, along with the necessary actions required.

- "The responses from our survey of officers involved in the SDC programme generally demonstrated a positive level of confidence that the programme will be able to deliver a safe and legal Council from 1st April, and that service implementation plans had adequately and thoroughly captured the necessary actions and were achievable by 1st April.

- "Our detailed testing of implementation plans has, in some cases, highlighted concerns with the robustness/ completeness of the plans; this may impact on the successful implementation and monitoring of these plans in the next phase.

- "However, we appreciate that with the fast-paced nature of the SDC programme there may need to be a higher risk appetite in relation to some of the detail and qualitative aspects of the plans being put together."

2.3 Programme Response

2.3.1 The findings reflect a fair assessment of the current status; as has frequently been discussed around the programme, this is a complex, fast moving and large endeavour and it is highly likely that there will be slippage of certain tasks within the overall timetable.

2.3.2 Getting the planning stage right and having clear and appropriate plans in place before starting the implementation stage is very important.

2.3.3 In general, the availability of time and resources from the sovereign councils is limited by those key individuals being asked to prioritise their time between the core job of ensuring today's services are running effectively, resolving budget pressures in the existing authorities and focus on the creation of the new Council. This balance is at times creating challenges to the pace of the programme.

2.3.4 A second Gateway review, to assess operational readiness, will be conducted in late January 2019.

3. Programme Budget

3.1 A breakdown of the programme budget is shown at Appendix 1. This reflects the point made in 1.2.1 about the convergence work that has been taken on as a result of the change control agreed in October but which is not yet funded. As the remainder of the programme budget is near being fully committed, this additional resource requirement will need to be met through an additional allocation.

3.2 The original Local Partnerships Financial Case in 2016 identified a series of estimated costs and benefits associated with the delivery of Local Government Reorganisation and work is underway to refine particularly the transition, transformation and programme costs using more current data. This will inform a paper for Shadow Executive Committee in December 2018 which will seek agreement to draw down the required funding from sovereign councils to meet these costs.

3.3 Discussions are ongoing with the Ministry for Housing, Communities and Local Government regarding the use of a Capitalisation Directive as a means of enabling funding of those costs to be spread over subsequent years.
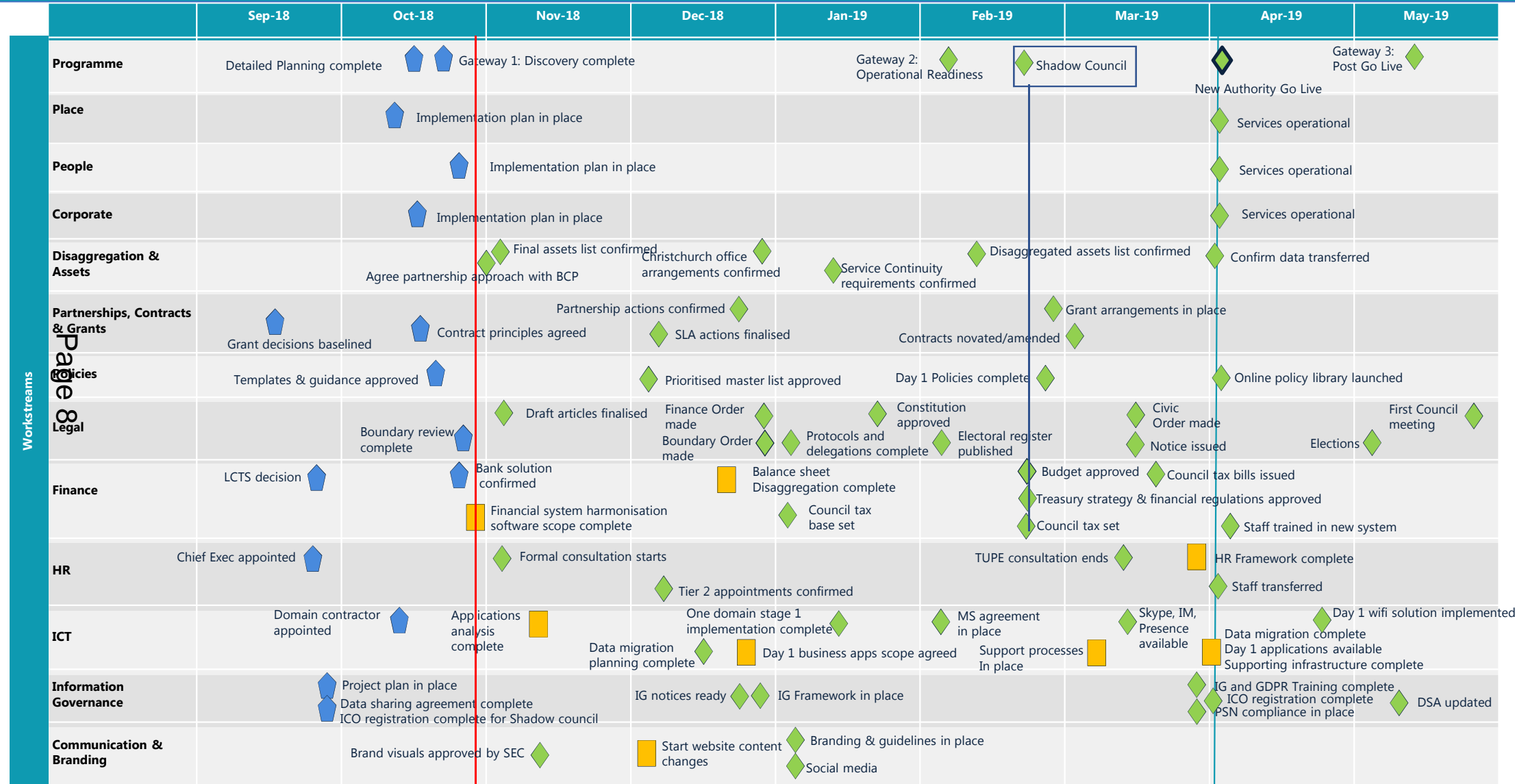
OVERALL PROGRAMME STATUS – DATE: 31 OCTOBER 2018

Overall status	A	Scope	G	Budget	G	Time	A	Resource	A	Stakeholder	A	Risk & Issue	A

Work on the implementation plans is nearing completion, with Theme Boards making significant progress on developing the detailed service continuity plans.
These plans, due to the volume and complexity are still running later than planned but are expected to be complete and signed off by 8 November
Gateway 1 has completed and reported to PB on 31/10. Detailed work on the plans for Phase 3 continues to meet the requirement for both convergence and transformation at pace. A detailed update to SEC on programme resources is expected for December 2018.
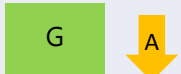The programme remains at Amber

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 approved; resources still required to be funded but are on-site.
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 has completed but implementation plans are not yet complete. Overall impact of delay is not sufficient to put the programme off track at this stage.
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	5-3 15	The programme may not be able to guarantee a safe and legal implementation of Dorset Council if a no deal Brexit causes significant uncertainty and confusion for provision of services at the point at which the new council goes live	This is a national issue but has particular significance for Dorset Council because of the timing, coinciding with go-live. Mitigating actions should be developed in line with advice from the LGA. Programme Board agreed 27/9 that this is a corporate risk for the new council

Programme Milestone Plan – 31st October 2018

Workstreams	Sep-18	Oct-18	Nov-18	Dec-18	Jan-19	Feb-19	Mar-19	Apr-19	May-19
Programme	Detailed Planning complete	Gateway 1: Discovery complete			Gateway 2: Operational Readiness	Shadow Council	New Authority Go Live	Gateway 3: Post Go Live	
Place		Implementation plan in place						Services operational	
People		Implementation plan in place						Services operational	
Corporate		Implementation plan in place						Services operational	
Disaggregation & Assets		Agree partnership approach with BCP / Final assets list confirmed	Christchurch office arrangements confirmed	Service Continuity requirements confirmed		Disaggregated assets list confirmed		Confirm data transferred	
Partnerships, Contracts & Grants	Grant decisions baselined	Contract principles agreed	Partnership actions confirmed	SLA actions finalised		Contracts novated/amended	Grant arrangements in place		
Policies	Templates & guidance approved			Prioritised master list approved		Day 1 Policies complete		Online policy library launched	
Legal		Boundary review complete	Draft articles finalised	Finance Order made / Boundary Order made	Protocols and delegations complete	Constitution approved / Electoral register published	Civic Order made / Notice issued		First Council meeting / Elections
Finance	LCTS decision	Bank solution confirmed / Financial system harmonisation software scope complete		Balance sheet Disaggregation complete / Council tax base set		Budget approved / Council tax set	Treasury strategy & financial regulations approved	Council tax bills issued / Staff trained in new system	
HR	Chief Exec appointed		Formal consultation starts	Tier 2 appointments confirmed		TUPE consultation ends	HR Framework complete / Staff transferred		
ICT	Domain contractor appointed	Applications analysis complete		Data migration planning complete / One domain stage 1 implementation complete	Day 1 business apps scope agreed	MS agreement in place / Support processes In place	Skype, IM, Presence available	Data migration complete / Day 1 applications available / Supporting infrastructure complete	Day 1 wifi solution implemented
Information Governance	Project plan in place / Data sharing agreement complete / ICO registration complete for Shadow council			IG notices ready	IG Framework in place			IG and GDPR Training complete / ICO registration complete / PSN compliance in place	DSA updated
Communication & Branding		Brand visuals approved by SEC		Start website content changes / Social media	Branding & guidelines in place				

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

Workstream status update

Workstream	RAG Status	Summary
Legal & Democratic	G ↔ G	The workstream has made significant progress on the development of the constitution with draft Articles, transitional arrangements, councillors' code of conduct, and the Summary and Explanation section of the constitution issued to members for review prior to the meeting of the T&FG on the 31st October. Members will also have the opportunity to provide feedback on a paper with recommendations for armorial bearings and chains of office. A major milestone has been achieved with the issuing of the final recommendations for boundary changes by the Local Government Boundary Commission for England., while the Ministry for Housing, Communities and Local Government have now issued the draft Finance Order to Monitoring Officers and 151s for comment back by 30th October.
Finance	A ↔ A	Work progressing according to plan. Some concerns on the financial systems harmonization, but progress being made with a decision this week at the programme board on cash receipting. Further clarification is expected next week when all the requirements are due for delivery.
HR	G ↔ G	Main business this week focused on the start of the consultation process with Trade Unions, especially concerning Terms & Conditions and Policies work.
ICT	G ↓ A	The project is still heavily focussed on data disaggregation. Alongside this, the Collaboration work package and Day One Applications work package continue to progress strongly. A new Business Analyst started on 30th October who will focus on shaping the ICT Service Delivery work.
Information Governance	G ↔ G	The implementation phase is underway with good progress being made in all work packages. Initial communication has been disseminated to enable all working groups to understand the content of the Data Sharing Agreement which will provide more clarity on this matter.

Workstream	RAG Status	Summary
Customer and Service Continuity – Place Theme	A ⬆R	19 of the 21 implementation plans are complete and signed off by Place Board. All risks have been identified for place, the PMO are reviewing to ensure risks relate to programme delivery and not business as usual. Milestones for implementation team reporting have been signed off by Place Board. The workstream scope including the scope of all implementation service groups has been signed off by Place Board. Lead officers have been assigned from Place Board to report on service workstream progress bi-weekly. Dependencies are currently being validated with core workstreams.
Customer and Service Continuity – People Theme	R ⬌R	Plans continue to be refined for completion at the next People Board meeting. Overall good progress is being made to bring the theme back into the correct timescales with the programme. Milestones and status remains red due to them being overdue.
Customer and Service Continuity – Corporate Theme	A ➡A	Risk definition worked on ready for review at the next corporate board. Further work and clarity on implementation plans were not yet signed off.
Customer and Service Continuity – Customer Access	G ➡G	Risks defined and signed off by Sponsor and Corporate Board. Delivery actively and planning of required workshops started. Complaints / Customer Feedback working group has been created.
Customer and Service Continuity – Disaggregation	A ⬇G	Disaggregation is working through a wide range of elements to date. The main focus is ensuring that structured and unstructured data, all assets are transferred in a safe and legal way. The majority of areas have been identified and processes are now being developed to ensure transfer is completed within timeframes required. An analysis of the TUPE list is also taking place with regards the team structures for day 1 and how this will impact service continuity.
Customer and Service Continuity – Property and Assets	G ⬅G	The working group is in the process of developing a list of all properties that will be used to drive conversations for when the task and finish group for property and assets. There is also a review of all protocols for asset disposal and acquisition.

Workstream	RAG Status	Summary
Customer and Service Continuity – Contracts, Partnerships, SLA's & Grants	G ⟷ G	Engagement with Lead Officers for critical service or complex Partnerships in progress, but new partnership arrangements are still being discovered so progress is slower than expected. Milestone adjusted. Contract classification activity underway and progressing. Milestone for completion should be met. Grants work substantially complete. Closure report to be completed.
Customer and Service Continuity – Communications & Branding	G ⟷ G	Main work focus on preparing and delivering Employee Briefings. Six overall Comms project areas now being realised, with agreement to submit new Council logo to Shadow Executive and kick- off meeting for Dorset Council Communication Service – Day 1 Comms.
Policies	A ⟷ A	Formal agreement by Shaping Dorset Council Programme Board of implementation plan, policy templates and guidance notes awaited.
Phase 3 Transformation	A ⬆ R	Change to scope of the programme to include convergence to be agreed at SEC 15 Oct. Phase 3 deliverables for Detailed Design Principles and Vision are subject to ongoing work with Members. Resourcing to accommodate these changes is being sought and funding needs to be identified.
Convergence	A ⟷ A	The reduction of costs forms part of the budget planning process for 2019/20 and will result in creation of transitional structures prior to transformational redesign. Workstream scope, timeline and draft plan are in place. The workstream sponsor has been confirmed. Additional resource is onboard and work is gathering pace.

Top Risks

W/S	ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
Legal & Democratic	80			A snap General Election or Referendum could divert resource from the Programme to resource this at short notice.	Political situation could change forcing a general election or a second referendum and this would require Elections teams to focus on this rather than planning for the May elections. This would be more critical if either of these were called in the new year.	4	2	8	The Elections team have developed a resource plan for the Elections in May 2019. This plan would need to be adopted for an early election if one was called.	Jonathan Mair (as Interim MO)	
Finance	235	Richard Bates	October '18	Dedicated Schools Grant (DSG) - Failure that the Schools Forum/Secretary of State does not approve the request to transfer funds between funding blocks which will be necessary as a result of increasing costs.	There is a risk that the Board won't approve movement of moneys between the blocs, and the value of this is greater than £1M.	5	3	15	Recharges from the DSG to DCC of about £1M have already been included in the 19/20 budget calculations and contribute towards the overall estimated £15.5M budget gap.	Richard Bates	Dec '18
HR	139	HR Board	Aug '18	Insufficient capacity/resources to deliver the HR Workstream within timescales (project slippage)	Major impact on delivering services. Significant regulatory impact	3	4	12	External interim resources. Effective resource planning leading to alignment of int/ext resource as appropriate.	Nicola Houwayek	Apr '19
HR	140	HR Board	Aug '18	Impact on HR Teams' ability to deliver Business As Usual	Major impact on delivering services. Significant regulatory impact	3	4	12	Resource Planning. Some backfill. Significant sharing of HR Workstream workload across sovereign council HR teams	Nicola Houwayek	Apr '19
ICT	118	Karen Perrett		Data Disaggregation - Three bits of work may not be achieved on time: 1. Work Package Planning, 2. Application Prioritisation and 3. Joint Programme Decision Making	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	13/12/18

W/S	ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
Information Governance	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	Ensure that statutory roles are allocated (SIRO; Data Protection Officer; Caldicott Guardians). HR to provide timescales. 25/10/2018 Discussions held with HR and the Monitoring Officer role will incorporate the job description for the Senior Information Risk Officer	IG Board	TBC
Customer & Service Continuity – Place Theme	173	Bridget Downton/ Mike Harries	18/10/2018	Outcome of TUPE results from Christchurch and East Dorset	Results in insufficient capacity for Dorset Council to deliver some place services from day 1. This could lead to reduction is service levels until issues are resolved.	4	2	8	TUPE lists have been shared with EDDC managers Implementation teams involve managers from EDDC to ensure activities are added to implementation plans	Place Board	TBC
Customer & Service Continuity – Place Theme	174	Bridget Downton/ Mike Harries	18/10/2018	Dealing with DCC stranded costs from disaggregation	Results in reduced staff leading to insufficient capacity for Dorset Council to deliver some place services from day 1. This could lead to reduction in service levels until issues are resolved.	4	2	8	Disaggregation requirements included within implementation plan Disaggregation work stream governed by the corporate board are reviewing all requirements to ensure they can be delivered without impact on staff workload on day 1.	Place Board	TBC
Customer & Service Continuity – People Theme	234	Sam Poole	24/10/2018	There is a risk that disaggregation plans across workstreams and the people theme for Adults & Children's currently do not align	Service continuity/ safe and legal delivery of social care for adults and children's may be impacted for day 1.	4	3	12	An initial plan has been drafted that incorporates the draft case transfer protocols that have been set out within the service. ICT have drafted milestones for data transfer and these need to be reviewed against the service protocols.	Sam Poole	Mid-Nov
Customer & Service Continuity – Customer Access	238	Simon Bailey	22/10/2018	Customers are unclear who to contact following the creation of Dorset council and Weymouth Town Council, and the disaggregation of Christchurch	Without clear guidance and training to staff, and fully updated customer access points & communication points; could result in confusion to customers.	4	3	12	Various actions and monitoring throughout the implementation plan including extensive testing phase	Richard Pascoe / Penny Mell	31/03/19
Customer & Service Continuity – Disaggregation	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	

W/S	ID	Raised By	Date Raised	Risk Description	Impact Statement	I	P	RS	Mitigation Plan	Owner	Date Due
Customer & Service Continuity – Partnerships, Contracts, SLAs & Grants	228	CL	24/10/18	Contracts for service provision missed	High value/complex contracts should all be captured. However, there is risk that lower value	3	1	3	Collation of all contracts into Accord Engagement with Senior Procurement officers Spend checking with SAP to identify any 'non-compliant' spend	TBA	
Policies	167	Project Manager	May '18	Failure to communicate policy changes to staff and members leads to reduced "legal literacy" at service delivery level and risks non-compliant operational practice	Significant potential impact on delivering legal services.	4	3	12	Appropriate and timely communication and training plans for staff and councillors to be coordinated by Policies Workstream.	John Alexander	Jan – Mar 2019, according to priority
Phase 3 Transformation	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
Convergence	155	Identified within Change Control Report	4/10/18	Employees are not appointed as there is no pay and grading structure agreed for Dorset Council	The final design and appointments to new posts are dependent on the new pay and structure being agreed. Risk that this won't be completed in time. Requirements from scheme of delegation and requirements for statutory posts will need to be linked to this.	4	3	12	Logged as an HR workstream dependency with work package 3.2.6 pay and grading 3.2.6. Work package developing new pay and grading framework.	Nicola Houwayek	12/11/18

Top Issues

W/S	ID	Raised By	Date Raised	Issue Description	Impact Statement	S	Mitigation Plan	Owner	Date Due
Finance	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 18th October in London	Jason Vaughan	Nov. '18
Customer & Service Continuity – Corporate Theme	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 UPDATE: Remaining plans will be signed off and completed by the 9TH Nov	JV/ JM	25/10/18
Phase 3 Transformation	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	12/12/18

Programme Budget – Spend / Commitments

Total Programme Budget

Tranche 1	£	1,213
Tranche 2 Agreed June 2018	£	2,163
	£	**3,376**

Spend / Commitments

Programme	Estimate £'000	Spent / Committed £'000	Balance £'000
Staffing	2,081	2,075	7
Staffing - Backfill	110	110	-
Convergence	222	222	
Bought in Consultancy / Services	315	175	140
Technical Support	300	300	-
Set Up Costs	14	4	10
	3,043	2,886	157
Non Programme			
Provision for Operational Costs	400	-	400
Potential duplicate costs	92	-	92
Legal Support	8	34 -	26
	500	34	466
Contingency	- 166	-	166
Total	**3,376**	**2,920**	**456**

1. Introduction

With the Shaping Dorset Council (SDC) programme nearing completion of the first of three pre-defined gateway stages (Gateway 1 Discovery Phase Closed), SWAP was commissioned to carry out a programme gateway review. The purpose of this gateway review was to provide assurance to the appointed Chief Executive (designate) of the new Dorset Council, as well as other programme stakeholders, that the SDC programme is on track to deliver the new Dorset Council from the 1st April 2019, as well as providing a level of confidence that the programme is well placed to progress to the next stage of implementation.

Whilst clearly, the SDC programme is constrained within a set timescale, the overall objective of this gateway review has been to assess how well placed the programme is in certain areas moving forward to the next stage, as well as highlighting any opportunities that we believe could be taken to enhance the programme and/ or increase the chances of programme success.

2. Agreed Scope of our Gateway Review

The scope of our work was agreed by the SDC Programme Board and specifically looked to assess/ provide confirmation that:

- All discovery phase activities are complete, with any outstanding tasks captured and with actions to close them
- The process of producing service implementation plans has been undertaken using a robust methodology
- Plans appear achievable with an appropriate allocation of resources
- There is confidence that the programme can progress to the next stage of implementation based on current plans
- There is confidence that implementation plans will adequately allow for the transition & operation of services from day 1
- There is on-going sponsorship and stakeholder support for the programme
- Stakeholders fully understand the programme status and the issues involved
- The necessary skills, experience and resources are deployed on the programme
- That there are processes in place to adequately manage risks, dependencies and decisions
- Target timescales and programme budgets are on track and can be achieved
- That actions have been taken to implement the recommendations of earlier programme assurance reports

Agreed Scope Exclusions

- Review of convergence and transformation activity planning did not form a part of this gateway review
- Similarly, the likelihood of achievement of the overall financial savings set out in the Local Partnerships Business Case was not assessed as part of this review.

It should be noted that our gateway review provides a snapshot view of progress, at a point in time and, therefore, should be seen as complementary to other internal programme oversight and scrutiny processes, and not a replacement for them.

Amendments to Scope

On commencement of our work, it was clear that although Discovery Phase activities were nearing completion, there were a range of tasks and sign-offs still required to demonstrate that this phase had been adequately completed. At the time of reporting for this review (29.10.18), work remained ongoing to complete the necessary tasks.

Our gateway review therefore slightly changed in focus; not seeking to provide assurance that the discovery phase was effectively closed with all plans completed, but instead to validate the reported programme status, as well as assessing the confidence of programme stakeholders at this stage in the programme.

3. Methodology

Our review consisted of interviews with key programme stakeholders, as well as liaising with the SDC programme team for information and confirmations.

We reviewed and analysed 12 service implementation plans in detail, across the themes of Place, People and Corporate, as well as broader analysis of the discovery phase programme activity and documentation within these themes.

We also undertook an electronic survey of 211 officers from across the Dorset authorities involved within the SDC programme, where we asked a series of 14 questions asking respondents to score their agreement on a scale of 1-10, as well as seeking their overall views on the programme. We received 75 completed surveys, which given the tight response deadlines (due to the reporting deadline for this gateway review), we believe represents a relatively good and representative response rate (36%).

Due to previous SWAP assurance work in relation to the SDC programme governance, where possible we have placed reliance on the recent and relevant findings from our previous work.

4. Delivery Confidence Assessment

As highlighted above, due to the fact that the Discovery Phase of the programme remains ongoing (although is now nearing completion), it has been challenging to provide an overall Delivery Confidence Assessment at this stage. As such we have spilt out our Delivery Confidence Assessments for each respective area within the scope of this review (see Section 6).

The full Delivery Confidence Assessment criteria has been set out in Appendix C, but from our gateway review, our assessments fell into one of the following two criteria:

Assessment		Criteria Description
		Successful delivery appears probable. However, constant attention will be needed to ensure risks do not materialise into major issues threatening delivery.
		Successful delivery appears feasible but important issues exist requiring management attention. These appear resolvable at this stage and, if addressed promptly, should not present overruns.

5. Headline Conclusions

The overall headline conclusions of our gateway review were as follows:

- Whilst we have evidenced that the majority of discovery phase activity has either been completed or drafted, the final work within this phase remains ongoing and therefore our report, while originally intended to provide assurance that the discovery phase is effectively closed, is not fully able to do so.

- However, from the evidence that we have seen, as well as confirmations from the programme team, it is intended that the vast majority of the substance of this phase will be completed within the next two/three weeks, and we have verified that plans and resources are in place to address the areas requiring action.

- At this stage, the delays to finalising discovery phase activities do not appear likely to have a significant impact on the overall programme delivery timescales. Tasks to deliver operational readiness are underway and are being implemented alongside discovery phase activities being finalised.

- From our review and dip-testing of discovery phase activities, we were broadly able to confirm that the programme dashboard status (included at Appendix A) provided an accurate and realistic assessment of the current programme status and activities (as at 22.10.18). It was clear that a significant amount of activity and tasks had come together and/ or been signed off in the last few weeks.

- As highlighted on the programme dashboard (Appendix A), the majority of work still to complete within the discovery phase is in relation to coordination activities once all service implementation plans have been signed off i.e. coordinating and summarising key decisions required in advance of 1st April, as well as effectively capturing and assessing dependencies identified by service areas, along with the necessary actions required.

- The responses from our survey of officers involved in the SDC programme generally demonstrated a positive level of confidence that the programme will be able to deliver a safe and legal Council from 1st April, and that service implementation plans had adequately and thoroughly captured the necessary actions, and were achievable by 1st April.

- Our detailed testing of implementation plans has, in some cases, highlighted concerns with the robustness/ completeness of the plans; this may impact on the successful implementation and monitoring of these plans in the next phase.

- However, we appreciate that with the fast-paced nature of the SDC programme there may need to be a higher risk appetite in relation to some of the detail and qualitative aspects of the plans being put together.

6. Delivery Confidence Assessments and Findings

Below are the key areas of our review, along with the individual assessments and respective key findings:

Assessment		Gateway Review Area
		All Discovery Phase activities are complete, with any outstanding tasks captured and with actions to close them

At the time of our gateway review, the discovery phase of the programme remains ongoing, although as highlighted above, the vast majority of the substance of this phase is planned to be completed within the next two/three weeks, and we have verified that plans and resources are in place to address the areas requiring action. This is likely to mean that the discovery phase will effectively be completed six weeks after the original programme deadline for this phase, although at this stage this is unlikely to significantly impact the overall programme delivery timescales.

The programme dashboard (attached at Appendix A) highlights the key areas left to complete for this phase (as at 22.10.18), and through our testing we could confirm the majority of statuses as reflective of the current position. As highlighted in the programme dashboard, the key areas of focus remaining of this phase, is work in relation to effectively capturing the dependencies within the respective service plans, as well as robustly capturing and scheduling key decisions required in advance of 1st April.

Our survey of programme stakeholders demonstrated a spread of views in relation to whether they believed discovery phase activities were broadly complete, although the majority indicated relatively strong agreement to this (*see Appendix B, Q.14*).

Assessment		Gateway Review Area
		The process of producing implementation plans has been undertaken using a robust methodology

Due to the tight timescales of this gateway review, we have not been able to carry out a detailed review of the process undertaken to produce implementation plans, for example speaking with service coordinators and evidencing the full engagement and sign-off process. However, we have liaised with project managers across the three themes responsible for coordinating service implementation plans and looked to evidence the plan sign-off process where possible.

From this assessment, it appears that the process used to produce service implementation plans was practical and involved adequate involvement from relevant stakeholders, including coordinators, working groups and subject matter experts.

Whilst our detailed testing of service implementation plans highlighted inconsistencies in some of the approaches used in documenting plans, these inconsistencies are unlikely to significantly affect the coordination and use of these plans in the next phase of the programme.

However, our testing did identify a range of issues that raised concerns regarding the quality control of certain aspects of the plans. Details of the issues identified have been included in the section relating to confidence in implementation plans below.

Assessment		Gateway Review Area
		Plans appear achievable with an appropriate allocation of resources

Due to the fact that certain implementation plans were still being finalised at the time of our review, along with the fact that dependencies and decisions had not yet been fully captured, SWAP has not been able to provide an assessment at this stage. Instead we have placed reliance on the results of our survey of programme stakeholders, reflecting their views.

Our survey demonstrated a high level of confidence in relation to the ability to achieve the drafted plans within the timescales (*see Appendix B, Q.4*).

Our survey also demonstrated a reasonably good level of confidence from programme stakeholders in colleagues' ability to deliver plans (*see Appendix B, Q.7*).

Assessment		Gateway Review Area
		There is confidence that implementation plans will adequately allow for the transition and operation of services from day 1

From our discussions with key programme stakeholders, there was relatively strong confidence that the plans and processes being developed and finalised would adequately allow for the transition and operation of services from day 1.

This view was broadly supported within our survey of wider programme stakeholders, where there was relatively strong agreement to the following three questions:

- You are confident that the Shaping Dorset Council (SDC) programme will be able to deliver a safe and legal Council from 1st April (*see Appendix B, Q.1*)
- Your service / workstream implementation plan (or one you have been involved in) has adequately and thoroughly captured the necessary actions required in advance of 1st April (*see Appendix B, Q.5*)
- You are confident in your colleagues' ability to deliver operational readiness for 1st April (*see Appendix B, Q.7*)

Our high-level assessment of the process of producing implementation plans (see above) noted that this appeared practical I.e involved relevant stakeholders, including coordinators, working groups and subject matter experts, with an intended robust sigh-off process, which we were able to evidence in certain cases. All of the above would contribute to a strong confidence that implementation plans will adequately allow for the transition and operation of services from day 1.

However, our testing undertaken as part of this review, sampled approximately 20% of the overall service implementation plans, including assessing the content and completeness of these plans. From this testing we identified a range of issues with the quality of the plans; a significant proportion of these that had already been through the final sign-off process.

Whilst we appreciate that a programme of this magnitude and pace of the SDC programme, is such that there is an increased likelihood of quality and completeness issues, and to an extent may be part of the overall programme's risk appetite, we felt it important to highlight certain issues that we identified:

- Anomalies were identified in the priorities attached to tasks within the implementation plans. A number of P2-P4 actions appeared to be day 1 critical; and although their implementation date supported this, their priority rating did not
- We noted some P1 tasks within implementation plans that had target dates after April 2019 i.e. June 19, November 19
- A range of P1 tasks were identified within implementation plans with target dates of March 2019 where, in our opinion, actions could or should be taken before this
- Certain tasks within implementation plans did not have target dates attached to them
- The process for compilation of the theme milestone planners was not clear and some anomalies across the three themes was identified - a populated milestone plan was in place for both the people and place themes but was not fully in place for the corporate theme
- We could not obtain clarity that the milestone planner was a summary of the key day one critical tasks for each service – there did not appear to be a robust and consistent methodology for which actions constituted milestones and how these were captured
- There is an inconsistent approach to the level of sign off of the implementation plans with some themes (Place) the sign off being evidenced from Theme Board whereas the People theme is signed off by the co-ordinator
- The template for the implementation plan requires a record of formal sign off. Some plans that have been signed off shows no formal sign off

It should be noted that whilst the quality issues we identified were not necessarily significant on their own, given that these are the plans that will be used to deliver a safe and legal council from day 1, it does raise the risk of certain areas being overlooked, not completed on time, or not adequately implemented.

Assessment	Gateway Review Area
	There is confidence that the programme can progress to the next stage of implementation based on current plans

Our survey of officers demonstrated that there was relatively strong agreement from stakeholders that they felt informed, prepared and confident about moving into Phase 2 Implementation (*see Appendix B, Q.13*).

However, as highlighted in the section above, from our detailed testing of implementation plans, we identified a range of issues in relation to quality, consistency and completeness of plans. Therefore, we would recommend that as part of the closure of discovery phase, it would be prudent to quality check certain aspects of plans, to provide greater confidence that the programme will effectively progress throughout the next stage of implementation.

Assessment	Gateway Review Area
	There is on-going sponsorship and stakeholder support for the programme

Our survey demonstrated that in the majority of questions, there appears to be ongoing stakeholder support and reasonably good confidence for the programme (*see Appendix B for a full list of questions and results of the survey*).

As covered in previous SWAP assurance reports, there is now more established and embedded programme governance arrangements, including clear sponsorship and reporting lines of the programme.

With the acceleration of convergence within the programme, the level of stakeholder support will need to be continually monitored and assessed, to ensure potential risks in relation to staff leaving do not affect operational readiness.

Assessment	Gateway Review Area
	Stakeholders fully understand the programme status and the issues involved

Our survey of programme stakeholders demonstrated generally more agreement that disagreement in relation to understanding of the current status of the SDC Programme and the issues involved (*see Appendix B, Q.2*).

The same applied to stakeholders understanding of the process of escalating an issue for a decision or action, with generally positive agreement (*see Appendix B, Q.9*).

However, lots of comments from the free-text question in the survey indicated that they felt like communication in relation to the programme could be improved.

Assessment	Gateway Review Area
	The necessary skills, experience and resources are deployed on the programme

Through our discussions with programme stakeholders, there were no significant issues raised in relation to skills, experience and resources deployed on the programme. The core programme team is now adequately resourced (*note:- we have not assessed resourcing for convergence activity*). Whilst there has been recent turnover of certain project managers within the programme team, new staff are now in post to address the remaining actions required within the discovery phase.

Our survey of programme stakeholders also demonstrated generally high level of agreement that the necessary skills, experience and resources are deployed on the SDC programme (*see Appendix B, Q.3*).

Similarly, there was also reasonably high levels of agreement with the SDC Programme Team having the ability to facilitate and coordinate operational readiness for 1st April (*see Appendix B, Q.8*).

There was a slightly lower average level of agreement with the confident of stakeholders in the programme having the resilience to overcome any current delays, gaps or issues in advance of 1st April, although again, agreement was overall stronger than disagreement (*see Appendix B, Q.14*).

Assessment	Gateway Review Area
	That there are processes in place to adequately manage risks, dependencies and decisions

Our previous SWAP assurance work has assessed the processes in place to manage risk, dependencies and decisions from a programme perspective. However, this review looked at these areas specifically in relation to the collation and production of service implementation plans.

From this perspective, the processes in place to adequately manage risks, dependencies and decisions are a work in progress and remain to be finalised (*as highlighted in the Programme Dashboard at Appendix A*). Risk management is the most advanced of the three processes, with dependency mapping appearing the least advanced.

Whilst draft documents/ processes exist for all three of the areas, our detailed testing of service implementation plans highlighted inconsistencies between the three themes and incomplete records. From our discussions with the programme team, addressing these areas is likely to be a focus over the next two/three weeks, when further confidence is likely to be available that the processes are robust and complete.

Our survey, however, demonstrated strong agreement regarding stakeholder's clarity of the risks that could impede progress and that the steps necessary to mitigate or reduce these risks were included in the implementation plans (*see Appendix B, Q.10*). Similarly, our survey indicated that there was reasonably good confidence that the relevant dependencies had been captured, and that these could be effectively managed to ensure the delivery of plans (*see Appendix B, Q11*).

Assessment	Gateway Review Area
	Target timescales and programme budgets are on track and can be achieved

As highlighted above, the discovery phase section of the programme remains ongoing, although indications are that it is likely to be completed over the next two/three weeks. The original timescales for the completion of this phase was the 30th September. It is therefore well documented that the programme is behind target timescales, although from our conversations with key programme stakeholders, they were confident that this would not significantly impact on the timescales for the next phase of the programme, or the ability to deliver a safe and legal council by 1st April.

The view was also shared in our survey of programme stakeholders, where there was generally a high level of confidence that the programme would be able to deliver a safe and legal Council from 1st April, and that implementation plans were achievable within the set timescales (*see Appendix B, Q.1 & Q 4*).

As part of our review, we briefly reviewed the programme budget arrangements. Whilst we confirmed that the programme budget is currently underspent in terms of spent/ committed amounts, formal programme budget monitoring and estimated year end outturn positions have yet to be undertaken. This is due to commence within the next two weeks, when it will be possible to provide further assurance that the programme budget is on track.

In relation to specific implementation costs contained within the service implementation plans, our detailed testing of plans highlighted that this was sparsely completed, with certain areas identified but costs not yet known. Therefore there is likely to be further work needed to bring together estimated implementation costs across service areas, and ensure that this has been adequately provisioned for within the programme budget.

Assessment		Gateway Review Area
		That actions have been taken to implement the recommendations of earlier programme assurance reports

As part of this review, we briefly assessed whether actions have been taken to implement the recommendations of our previous SWAP programme assurance reports (actions from any other assurance sources have not been assessed).

From our knowledge of the programme, we were aware the majority of actions from our first assurance report have been adequately taken forward.

The recommended actions from our second, most recent assurance report have either been taken forward or are in the process of being addressed. We would recommend that these are further considered to ensure that risks do not materialise into issues impacting on delivery.

7. Recommendations

- Check back over Priority levels/ target dates contained within implementation plans to ensure they accurately reflect the tasks required for day 1

- Confirm the agreed milestones for operational readiness for each Theme/ Workstream, as well as ensuring/ checking that these accurately reflect a summary of the key tasks within each Theme/ Workstream

- Finalise the work on dependencies, ensuring that all necessary dependencies are captured and agreed, as well as ensuring that these dependencies are clearly communicated/ accessible to programme stakeholders

- Capture all decisions needed, ensuring that these are programmed into the forward plan or a mechanism for ensuring that these will be picked up at the appropriate time

- Ensure service implementation plans are revisited where necessary to fully capture information required, such as relevant policies, or details of implementation costs

- Re-visit/ re-confirm the previous programme assumptions to ensure that these remain relevant and stakeholders are still committed to delivering these within their service implementation plans

- Determine how milestones/ service implementation plans will be managed and monitored going forwards

8. Further Assurance Work Recommended

- Due to the fact that not all discovery phase activities had been completed at the time of this review, as well as time constraints for this review, SWAP has not undertaken an exercise to sense-check whether all areas of service continuity have been considered. We would recommend an exercise is undertaken aimed at providing assurance around completeness.

- Once the upcoming work on capturing and mapping programme dependencies has been completed, we would recommend a more detailed assurance piece around the ongoing understanding, monitoring and actions taken in relation to the dependencies mapped.

- Once is has been determined how tasks within individual service implementation plans as well as Theme milestones will be monitored and reported, we would recommend a more detailed assurance piece in relation to reporting and progress being made with implementation.

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		Scope	Work Breakdown	Detailed plan	Milestones	Risks & Issues	Dependencies	Decisions	Outcomes & Indicators	Governance body in place	Resources in Place
Service Continuity	WS4 Place	Yes	Yes	By 26/10/2018 - final 2 implementation plans will be signed off by Matt Piles	Yes	Yes	Drafted - to be added to log Date TBC	Added to Programme Decision Log by 31/10/18	Yes	Yes	Yes
	WS4 People	Incomplete draft	By 25/10/18	By 25/10/18	Yes	By 25/10/18	Drafted - to be added to log Date TBC	By 25/10/18	Drafted – further work required	Yes	Yes
	WS4 Corporate	Incomplete draft	Yes	By 19/10/18	By 16/10/18	Drafted – for sign-off 25/10/18	Drafted - to be added to log Date TBC	By 19/10/18	Drafted – further work required	Yes	Yes
	WS4 Disaggregation & Assets	Incomplete draft	Yes	Yes	Yes	Yes	Yes	By 17/10/18	Drafted – need sign off	Yes	Yes
	WS4 Partnerships, Contracts, Grants, SLAs	Draft for approval	Yes	High Level Plan	Yes	Draft for review 17/10/2018	To be reviewed (18/10/18)	Yes	Drafted – need sign off	Yes	Yes
	WS4 Customer Access	Yes	Yes	Yes	Yes	Drafted – for sign-off 25/10/18	Drafted - to be added to log Date TBC	Yes	Drafted – further work required	Yes	Yes
	WS4 Communication & Branding	Yes	Yes	Yes	Yes	Drafted – for sign-off 25/10/18	Drafted - to be added to log Date TBC	Yes	Drafted – needs sign off	Yes	Yes
Core Workstreams	WS1 Legal	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
	WS2 Finance	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
	WS3 HR & Workforce	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Drafted – needs sign off	Yes	Yes
	WS5 ICT	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
	WS6 Information Governance	Yes	Yes	High level plan	Yes	Yes	Yes	Yes	Yes	Yes	Yes
	WS7 Policies	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes – sponsor agreed	Yes

Q1. You are confident that the Shaping Dorset Council (SDC) programme will be able to deliver a safe and legal Council from 1st April
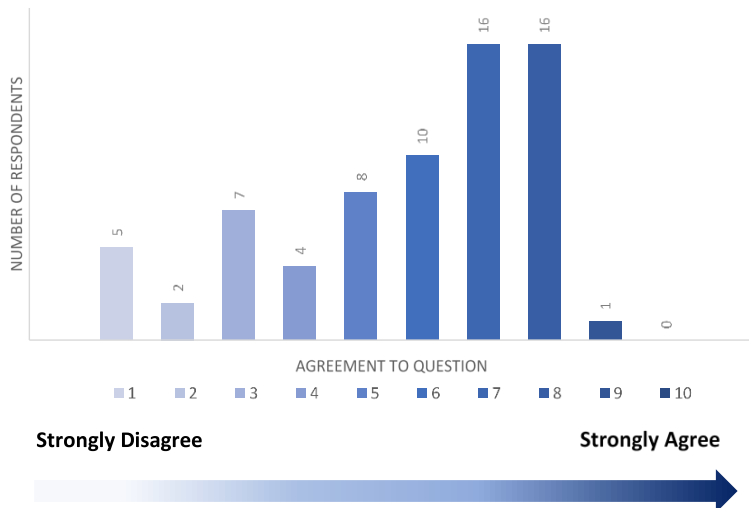

Strongly Disagree   Strongly Agree
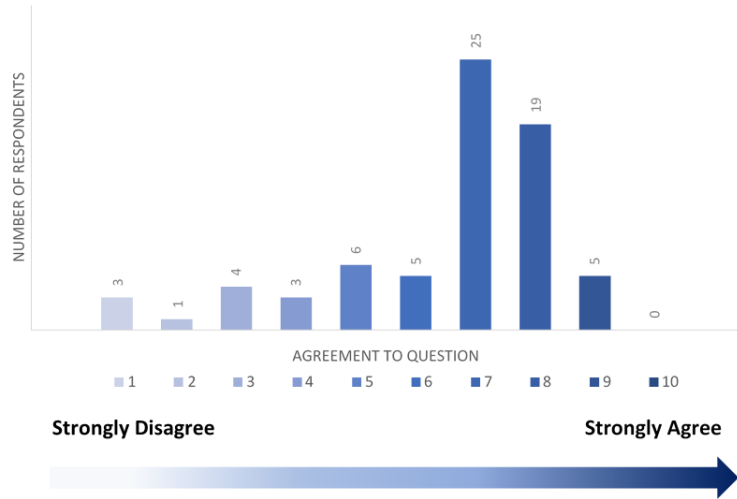
Q2. You feel like you understand the current status of the SDC Programme and the issues involved
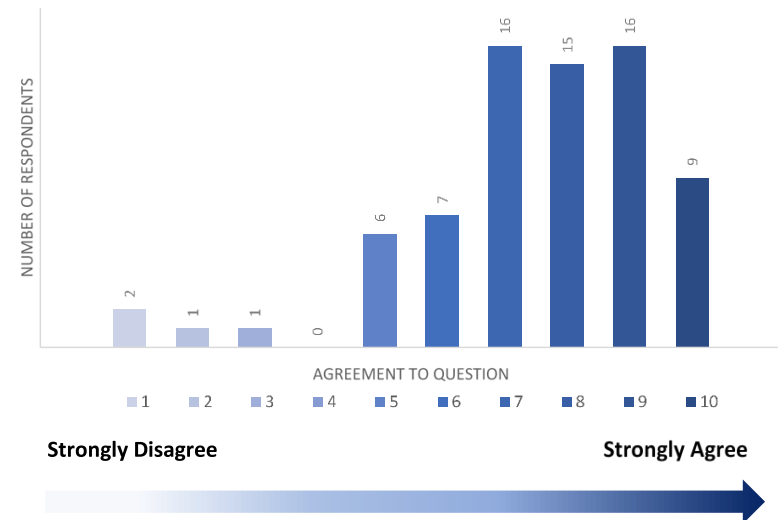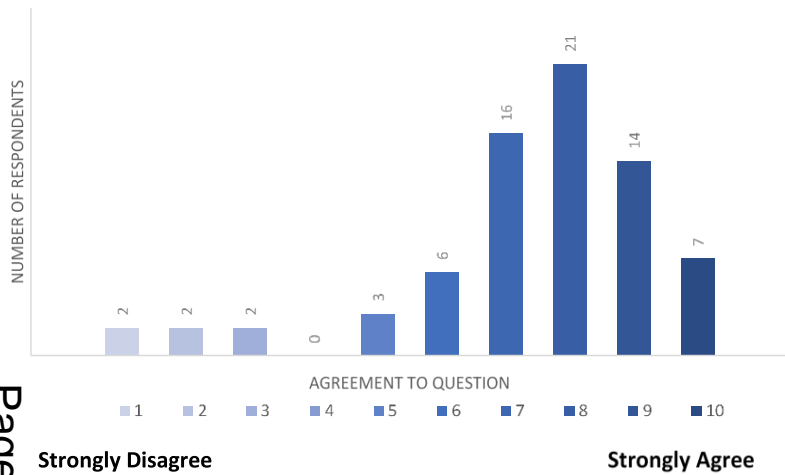

Strongly Disagree   Strongly Agree
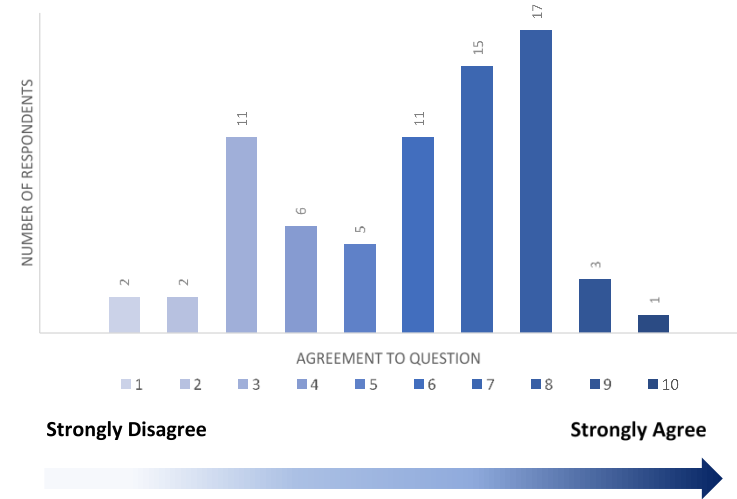
Q3. You feel like the necessary skills, experience and resources are deployed on the SDC programme

Strongly Disagree   Strongly Agree

Q4. Your service / workstream implementation plan (or one you have been involved in) is achievable, within the set timescales

Strongly Disagree   Strongly Agree

Q5. Your service / workstream implementation plan (or one you have been involved in) has adequately and thoroughly captured the necessary actions required in advance of 1st April

Strongly Disagree   Strongly Agree

Q6. Any assumptions used in the implementation plans within your area of the programme are documented, realistic and achievable
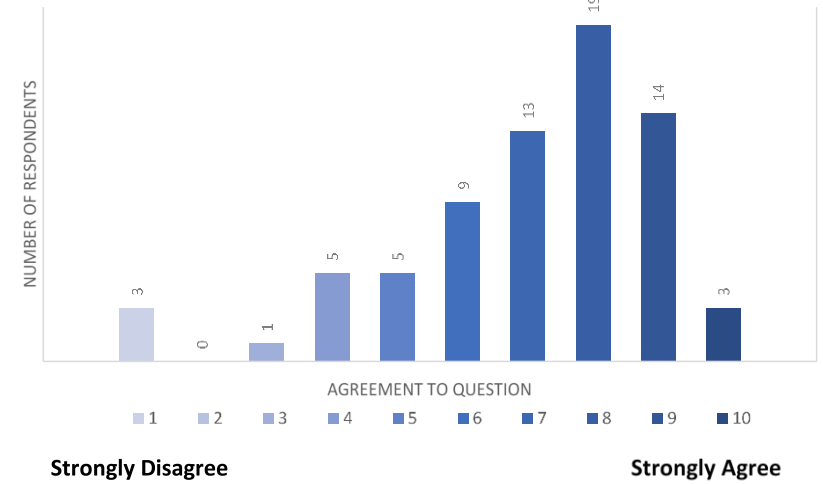
Strongly Disagree   Strongly Agree

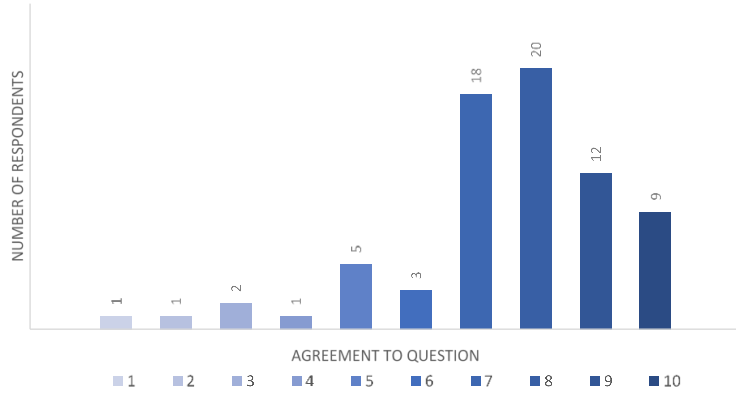**Q7. You are confident in your colleagues' ability to deliver operational readiness for 1st April**
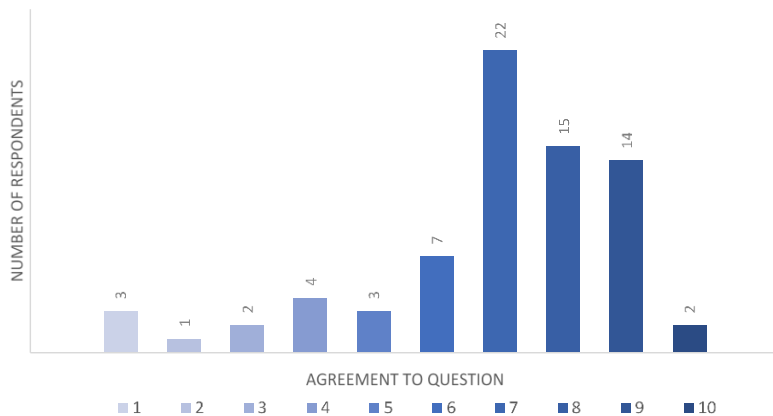
Strongly Disagree   Strongly Agree

Q8. The SDC Programme Team have the ability to facilitate and coordinate operational readiness for 1st April
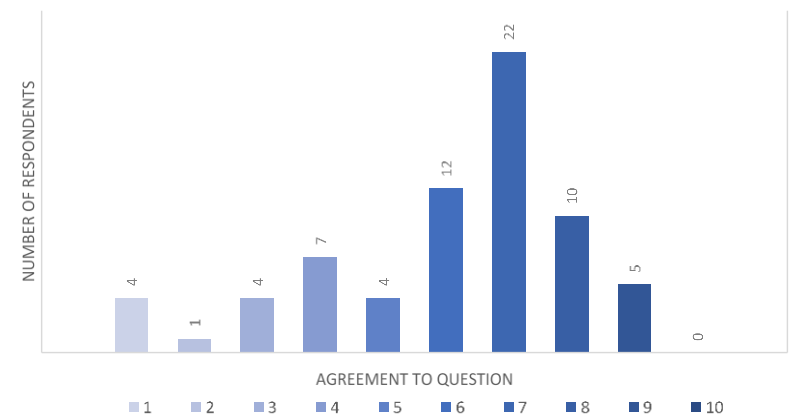
Strongly Disagree   Strongly Agree

Q9. Within your own area of the programme, you are aware of the process of escalating an issue for a decision or action
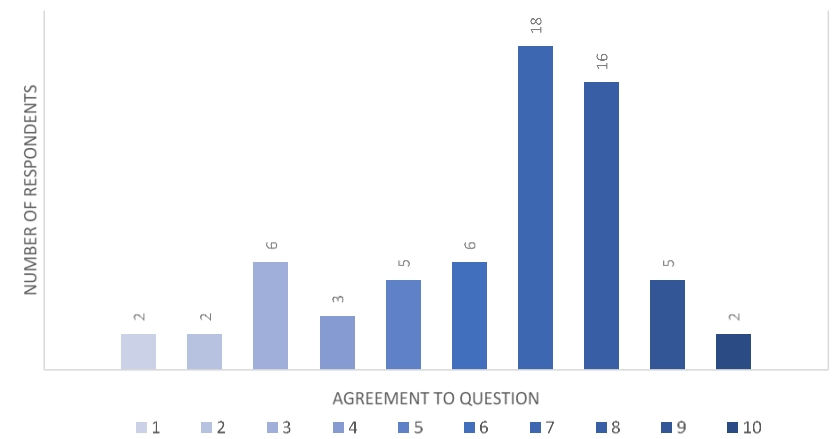

Strongly Disagree → Strongly Agree

Q11. Within your own area of the programme, you are confident you have mapped the relevant dependencies, and that these can be effectively managed to ensure the delivery of plans

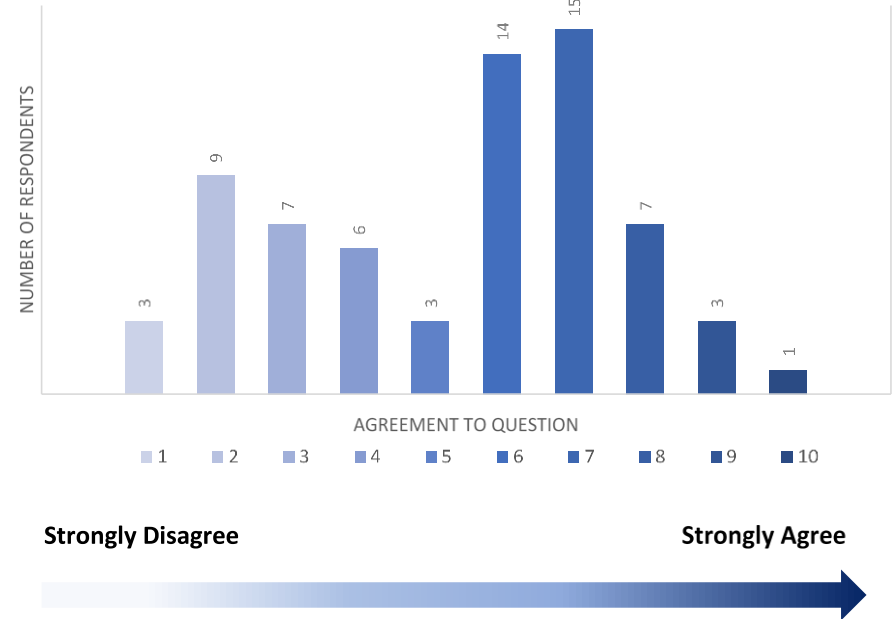
Strongly Disagree → Strongly Agree

Q10. Within your own area of the programme you are clear about the risks that could impede progress and the steps necessary to mitigate or reduce these risks in the implementation plans
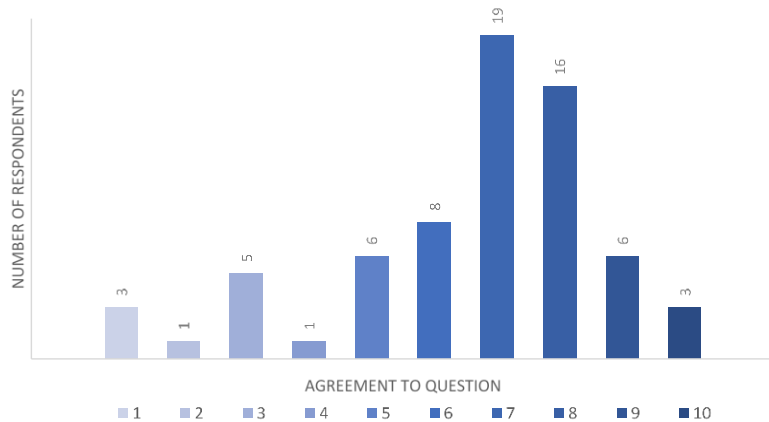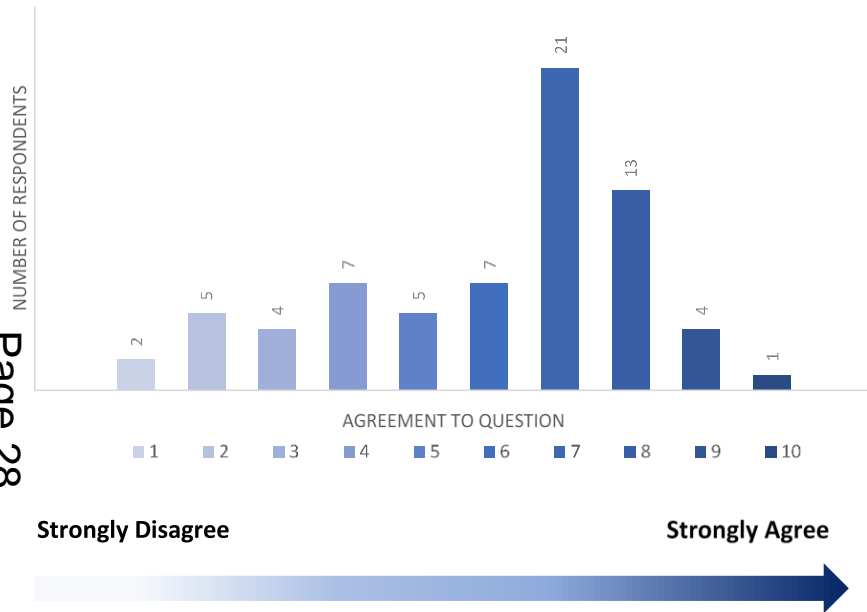

Strongly Disagree → Strongly Agree

Q12. You are confident that Discovery Phase activities are broadly complete, with any outstanding tasks captured and with actions to close them
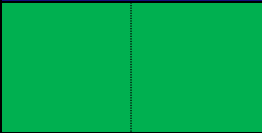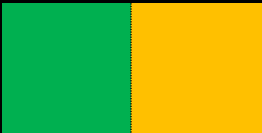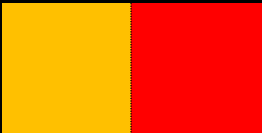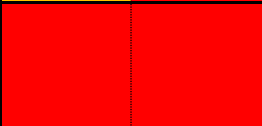

Strongly Disagree → Strongly Agree

Q13. As Discovery Phase 1 of the programme ends you feel informed, prepared and confident about moving into Phase 2 Implementation

Q14. You are confident the programme has the resilience to overcome any current delays, gaps or issues in advance of 1st April

NUMBER OF RESPONDENTS

AGREEMENT TO QUESTION

■ 1 ■ 2 ■ 3 ■ 4 ■ 5 ■ 6 ■ 7 ■ 8 ■ 9 ■ 10

2, 5, 4, 7, 5, 7, 21, 13, 4, 1

Strongly Disagree   **Strongly Agree**

NUMBER OF RESPONDENTS

AGREEMENT TO QUESTION

■ 1 ■ 2 ■ 3 ■ 4 ■ 5 ■ 6 ■ 7 ■ 8 ■ 9 ■ 10

3, 9, 7, 6, 3, 14, 15, 7, 3, 1

Strongly Disagree   **Strongly Agree**

Assessment		Criteria Description
		Successful delivery of the programme to time, quality and cost appears highly likely and there are no notable outstanding issues at this stage that appear to threaten delivery.
		Successful delivery appears probable. However, constant attention will be needed to ensure risks do not materialise into major issues threatening delivery.
		Successful delivery appears feasible but important issues exist requiring management attention. These appear resolvable at this stage and, if addressed promptly, should not present overruns.
		Successful delivery of the programme is in doubt with major risks or issues apparent in a number of key areas. Urgent action is needed to ensure these are addressed, and establish whether resolution is feasible.
		Successful delivery of the programme appears to be unachievable. There are major issues which at this stage do not appear to be manageable or resolvable. The programme may need to be redefined and the impacts of non-delivery in certain areas assessed.

SWAP's Delivery Confidence Assessments in Sections 4. and 6. above reflect:

- Evidence of specific programme issues or risks that threaten delivery to time and/or quality, and jeopardise the delivery of successful outcomes

- Results from the programme survey coordinated (75 completed surveys returned out of a total of 211, representing a response rate of 36%)

- SWAP's professional judgement of the likelihood of the programme succeeding if there is no definitively clear evidence either way

When providing our Delivery Confidence Assessments, SWAP has not considered every scenario that might affect the programme's progress and outcomes, but has looked to reasonably extrapolate from the programme's past progress, current status and documented plans as to whether a successful outcome will be achieved.

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