

# Shadow Dorset Council

Date of Meeting	21 August 2018
<b>Subject of Report</b>	<b>Implementation Plan for Dorset Council</b>
Executive Summary	<p>This report provides the Implementation Plan for Dorset Council and builds upon the High-Level Implementation Plan provided to Shadow Council and Shadow Executive in June 2018.</p> <p>This plan describes the scope, objectives, planning process, governance organisation and resources of the programme, its governance and leadership and also sets out the timeline, estimated budget, reporting process and risks identified. The plan includes provision for a series of Programme controls: a gateway process for key stages and a quality assurance schedule to ensure that final testing of requirements and deliveries is in place.</p> <p>Finally, this paper provides detail of the resources in place, a plan for the further resources required to the end of the programme and provides a series of short summary strategies that contextualise the approaches being taken for Workforce, ICT, Finance and Service Continuity.</p> <p>The nature of the size, complexity and pace of this programme means that the ‘Shaping Dorset Council Implementation Plan’ is a live document and will continue to be updated to reflect the data, information and issues that will be established and arise during the coming months.</p>
Budget Implications	None directly for the Shadow Council.
Recommendation	<p>The Shadow Executive Committee is asked to</p> <ol style="list-style-type: none"> <li>1) Adopt this plan and note that further iterations and updates on progress against this plan will be brought forward and overseen through the Shadow Executive Committee arrangements with updates to the November, January and March meetings.</li> <li>2) Agree the scope statements contained within this document which clarify the current specifics of delivery for vesting day</li> <li>3) Agree the reporting formats set out in section 15</li> </ol>
Appendices	

Report Originator	Name: Keith Cheesman, Programme Director Contact: 01305 221227
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## 1 Introduction

The Future Dorset Proposal set out a clear proposal to radically review and improve public services in Dorset and to deliver cost efficiencies from this. Benefits are expected to be realised throughout public services with more co-ordination strategically and operationally across health and care, infrastructure, housing and education sectors. New councils will be better placed to work with town and parish councils, embracing proposals to set up a new Town Council for Weymouth. 21<sup>st</sup> Century councillors will be digitally capable, strategic and connected with their communities.

The Local Government Reorganisation Programme – “Shaping Dorset Council” is setting out to deliver, as a minimum, the changes required to meet the requirements of the Bournemouth, Dorset and Poole (Structural Changes) Order 2018, inasmuch as the new Dorset Council is created in time to deliver its services safely, legally and without break in continuity from the 1<sup>st</sup> April 2019.

There is little time for the delivery of transformational change in this period and so the delivery profile of the savings will be adjusted, but there is no less ambition to achieve the fully expected savings set out in the original proposal. A plan for the convergence of activity and the transformational change will be prepared during the life of this programme and forms a substantial part of the Phase 3 delivery described in more detail in this plan.

A core team has been recruited to plan and manage the process of understanding the changes required by the act of closing and decommissioning the six preceding councils in order to create a brand-new council. Our collective workforce is providing much of the subject matter expertise to deliver the required programme and are being engaged through a wide range of activities.

## 2 Programme Scope

Local Partnerships was commissioned to review the potential reconfiguration of Local Government in Dorset. This followed the agreement of the nine principal local authorities in Dorset that there was a need to explore the potential financial benefits that could come from creating Unitary Council(s).

The report was delivered in August 2016, published in December 2016 and the main saving opportunities from consolidation were from corporate senior management as well as middle management in predominantly administrative functions. The approach to front line service areas has been more limited and service specific with, for example, Public Health; Adult Social Care; Children’s Services; Education and Housing Services being excluded from consideration. Alongside staffing, consideration of the savings from property, ICT, democratic representation, services around Planning, Cultural and related services, Environmental and Regulatory Services, Highways and Transport Services, Waste and External Audit were considered.

It was projected that there was the potential to save annually circa £13.6 million in the Dorset Area by the creation of two unitary councils (£27.8m across the two areas). This would be achieved by avoiding duplication on the costs of management, accommodation, systems and governance. This figure was reduced by 35% to reflect the savings Councils to be achieved by 2019/20. The transitional costs were estimated at circa £13.2 million (£24.9m for both). The savings from the exercise will therefore pay back these costs in a short period, albeit that the costs would need to be financed ahead of savings accruing. The challenge now is that the savings delivery will be on a different trajectory, given the lengthy delays in getting the final decision of the Secretary of State, eventually received in February ‘18. The scope of the programme has by necessity been reduced to exclude delivery of savings in the current

In Scope for Delivery by 31/3	Not in scope:
<ul style="list-style-type: none"> <li>• “Building Blocks” for the Design Principles, Vision and Operating Model will be in place</li> <li>• Transformation Plan agreed</li> </ul>	Delivery of transformational change
<ul style="list-style-type: none"> <li>• Tier 1 – Chief Executive in post</li> <li>• Tier 2 Management in place / appointed</li> </ul>	Convergence of services or teams
<ul style="list-style-type: none"> <li>• Quick win opportunities to work as virtual teams will be pursued</li> <li>• Single global address lists will be in place</li> </ul>	
<ul style="list-style-type: none"> <li>• New email stem (@dorsetcouncil.gov.uk) will be in use</li> <li>• Single id / access badges will be in place where possible</li> </ul>	
Visual identity (logo) is in scope	New branding
A plan will be in place for property and asset use for 2019 and beyond	Property reduction / consolidation
A new pay and grading structure will be in place for new appointments	Staff terms and conditions harmonisation

financial year and will impact upon the delivery in 2019/20. That delay was exacerbated by the decision by DAJC in January to create a new council, as this added significantly to the work required to understand the contracts, policies and processes and also the preparation for the transfer of a significantly greater number of staff. The scope limits of the current programme are illustrated here.

## 3 Programme Approach

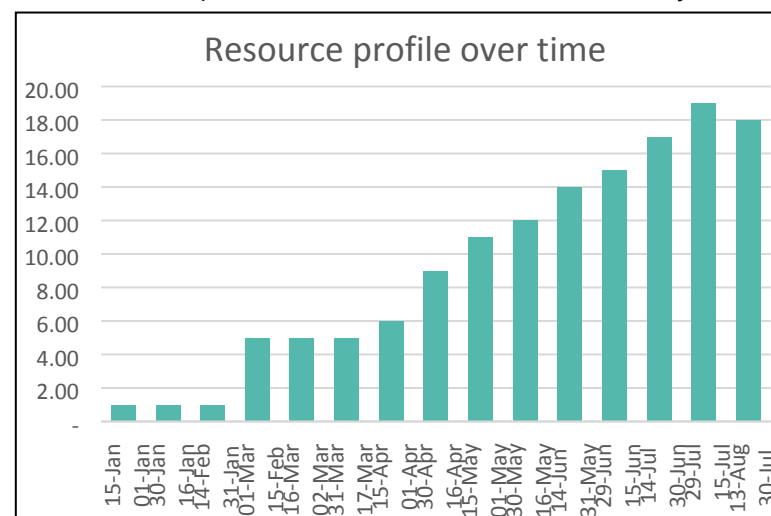
Planning has been organised around the three phases:

1. Legal creation of the new Council
2. Delivery of services on 01 April 2019
3. Designing & building the new Dorset Council

While these are consistent with the Bournemouth, Christchurch and Poole programme approach, the work programme and some of the methodology is slightly different and reflective of the emerging culture and sense of the kind of organisation that the Dorset Council will aim to be, embracing the best of a culture born out of the 21<sup>st</sup> Century Council approach.

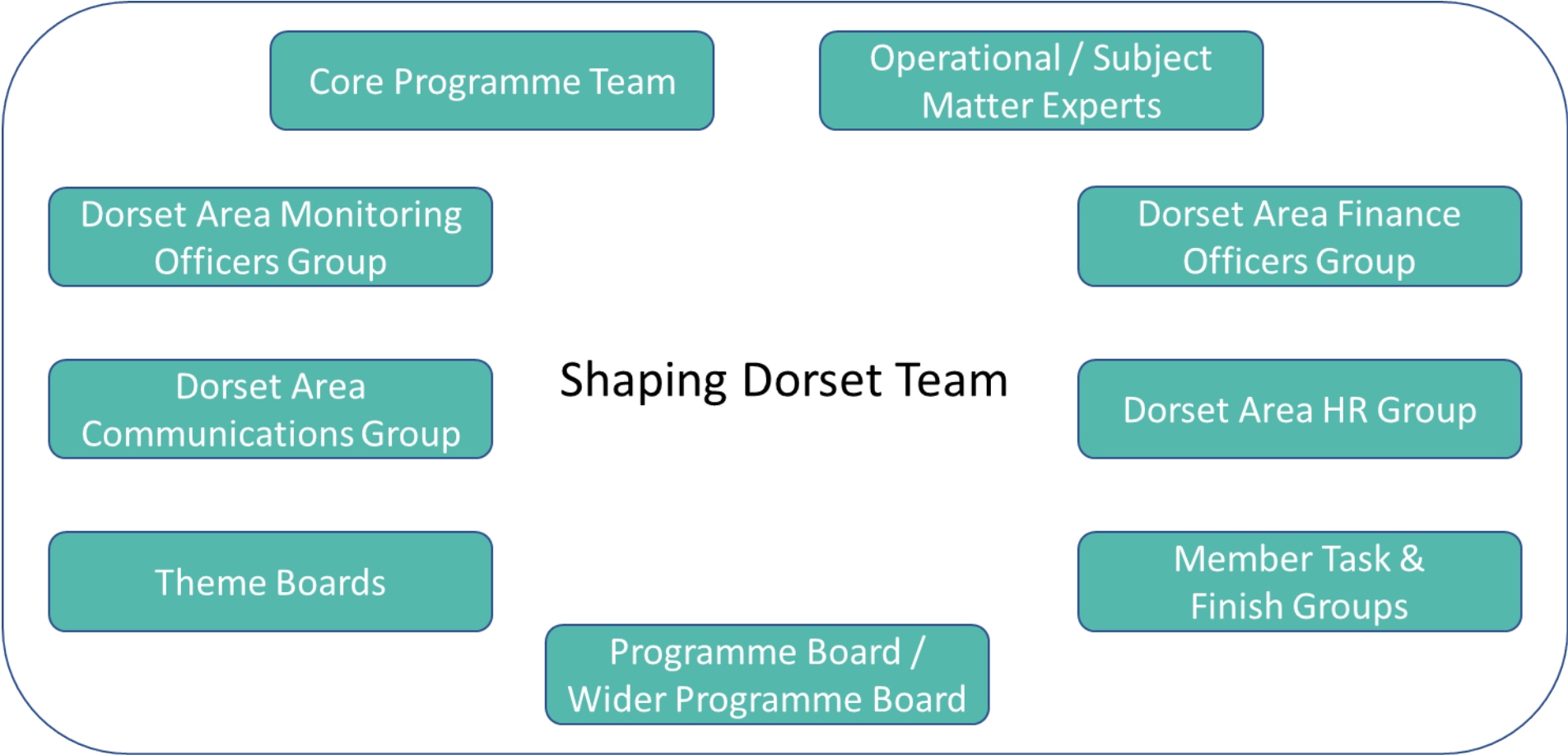
It was decided in 2017 that the programme would be managed as far as possible 'in-house' with specialist resources recruited externally where necessary. The team, drawn wherever possible from inside the preceding councils, has been built up since the current Programme Director started in late January. The recruitment process had started and applications already in for a small number of resources but even with some support to accelerate the release from substantive posts, the ramp-up at the start was slow and the resources insufficient to build the structures and programme products while also trying to work up the programme plan and start the Discovery phase. As demonstrated by the chart, half of the team has started with the programme since the 1st May.

The core team of some 18-20 will in no way be sufficient to deliver the amount of change required to ensure a safe and legal council on vesting day, nor would it be appropriate to expect a major change such as this to exclude the involvement



of the service and corporate support teams. Their involvement, hard work and enthusiasm needs to be harnessed and built in to the overall plan, and significant parts of the programme – most notably the service continuity work - are currently involving around 200 members of staff.

The team is represented as illustrated.



Meetings to progress activity and resolve issues happen on a routine and regular basis for each of these groupings, in their respective areas of expertise and routine responsibilities.

There is no expectation of these groups all meeting together at any point, the role of the core team is to ensure that outputs and activity of these expert groups is brought together.

**3.1 Phase 1** dealt with the 'Creation of the new Council', largely delivered by the Central Programme team on behalf Initially of all Dorset councils to prepare the financial analysis, public consultation and the case for change, as well as the Future Dorset proposal, and more latterly of both unitary areas and includes the work, now reaching an end, to prepare the content for the Parliamentary process, including:

- Structural Change Order / Consequential Orders
- Disaggregation of Dorset Council Council's services in Christchurch
- Preparing the fall-back position ahead of the Boundary Commission Electoral Review
- Council Tax Harmonisation Strategy
- TUPE preparation.

This phase is now substantially complete; the bulk of continuing work has been drawn into the unitary programmes – particularly the implementation of the disaggregation principles and the finalisation of the finance elements of that work.

The remaining work towards the third set of orders – Finance and an Affirmative order covering Civic Functions and other miscellaneous items – is being continued to be managed by a member of the former Central Programme Team on behalf of both programmes.

Programme Board agreed the closure of the phase one on 18 July and other than the above-mentioned project manager there is no further Central Programme activity. The two unitary programmes continue to liaise on areas of common interest, especially on workforce, ICT, Disaggregation and the Orders.

**3.2 Phase 2** concentrates on the 'Delivery of services on 01 April 2019', and deals with the following:

- Create the Shadow Authority and the new Council – the constitution and structures necessary to be operating legally
- Budgets – revenue and capital, Council Tax setting and Harmonisation implementation

- Contracts, Partnerships and Policies
- HR / Workforce / TUPE process (workforce in place with their contracts)
- Tier 1 and 2 appointments
- Service continuity on day 1
- Decommission the preceding councils.

The majority of resources and work effort is focussed on this area and the detail is described in sections 9 and 10.

**3.3 Phase 3** focuses on the 'designing & building the new Dorset Council' and sets out either high level or interim steps towards a series of key components of how the new council will operate, such as:

- Design Principles / Interim Vision
- Interim Target Operating Model
- Culture / Values / Organisational Design
- Transformation Plan development
- Development of a Corporate Plan.

Programme Board has recently agreed a change control to the programme which allows for the planning work required to start delivering convergence of management teams at tier 3 and 4 after vesting day. An assessment of the approach and means of focussing the convergence activity towards the desired transformational operating model will be produced for October 2018. It will be necessary for members to have worked up the vision and operating model to support that work, together with some clarity about the desired future operating principles that give greater depth to the design principles already agreed. This is important to avoid the new council missing its opportunity to operate with a genuinely different model than a simple merger of the authorities would provide.

The structure, content and management of the 2 concurrent running phases is dealt with in more detail below.



## 4 Programme Methodology

The programme is, due to the nature of the pace and complexity, being run in a relatively agile way; parallel work is happening against different timelines and most of the effort and work is focused on Phase 2. Design of the structures and formats are being done in parallel with getting on with the discovery work and this has inevitably led to some inconsistency and some changes along the way. More recently, the programme has been able to catch back up with putting some of those structures into place. The planning approach has been to work through a “Discovery” stage, specifically designed to draw out the detail to be fed into plans. The detailed plans are developed by a process of iteration and progressive build-up of detail from the experience found in the six contributing councils.

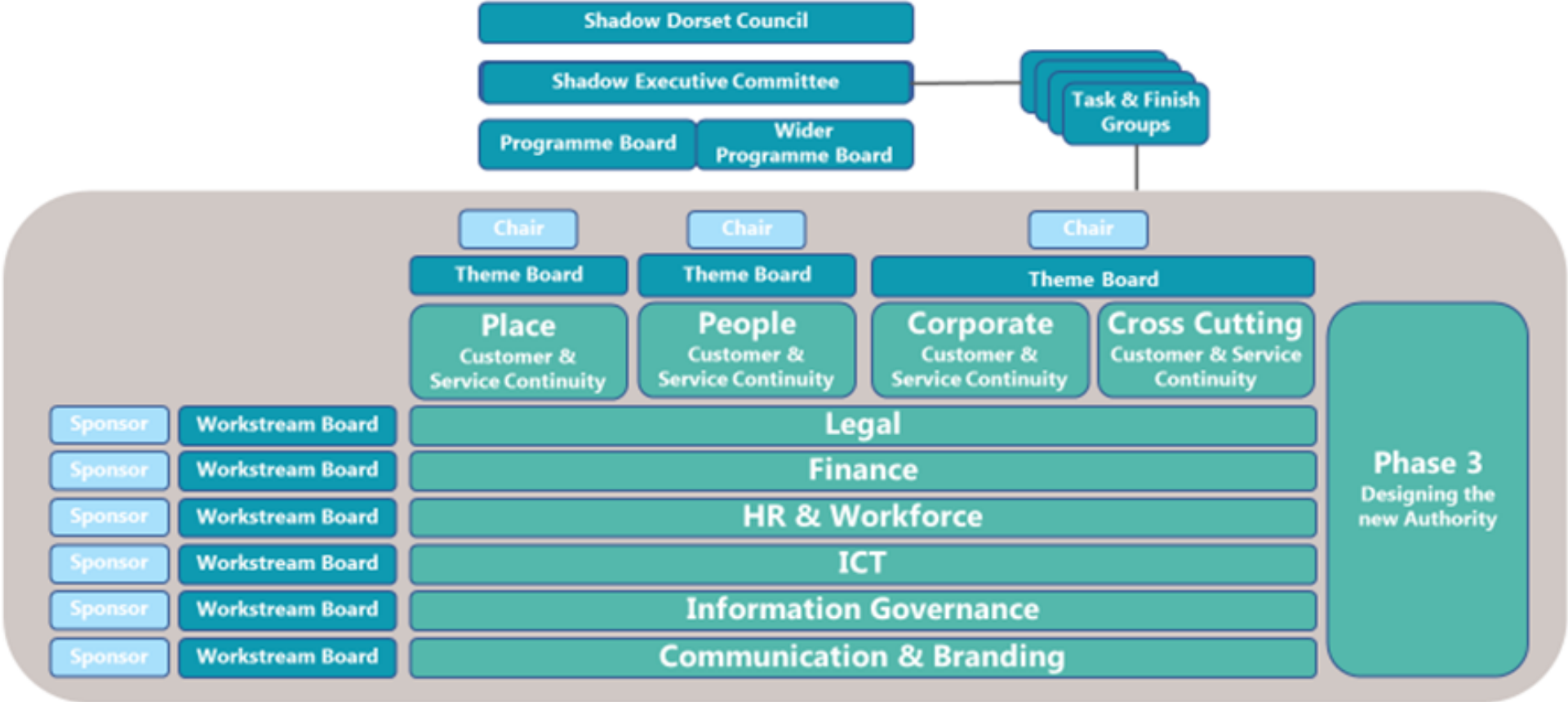
In order to ensure that the plans across the different disciplines are considered together and dependencies and potential conflicts are resolved, the programme will be subject to a ‘gateway’ process at three stages – Post Discovery, Operational Readiness and Post Go-live. Programme Board reviews progress against the plan on a weekly basis as well as considering the Risks & Issues.

The programme is divided into phases; phases are divided into workstreams and these are then subdivided into projects. Each workstream has at least one project manager covering the projects within.

For the Service Continuity and Cross Cutting workstream, three ‘Theme Boards’ have been created, comprising the Tier 2 and 3 senior managers who run the services and who manage the 30-40 implementation teams that will largely be responsible for the delivery of the day-to-day operational changes necessary. These teams will, where appropriate be comprised of staff from across the 6 councils, reporting progress and issues to the Theme Board for resolution or escalation to Programme Board or beyond. This is illustrated in the governance section below.

### 5 Programme Governance

In keeping with the constitution and the requirements of the Structural Change Order, the Shadow Executive Committee has oversight and ownership of the Implementation Plan. Operational decisions are taken by Programme Board and recorded in the central decisions log. Theme Boards, set up to manage the operational implementation planning for service continuity will be making 'low-level' decisions on the practical issues and raising change requirements on the core workstreams as necessary.



## 6 Programme Board Arrangements

The Board now has two formats, each meeting in fortnightly cycles – one week with the chief executives, interim officers and programme director and in the alternate week as a Wider Programme Board which adds tier 2 officers from across the preceding councils. The wider board brings greater ownership of the programme to the senior management layer, ensuring greater visibility of the changes and progress, in readiness for the imminent transition to the new council. This will also provide insight and stability to the service operation and increase knowledge of the preceding councils' arrangements to a wider forum, which will reduce or minimise the risk of a break in service continuity.

## 7 Programme Controls

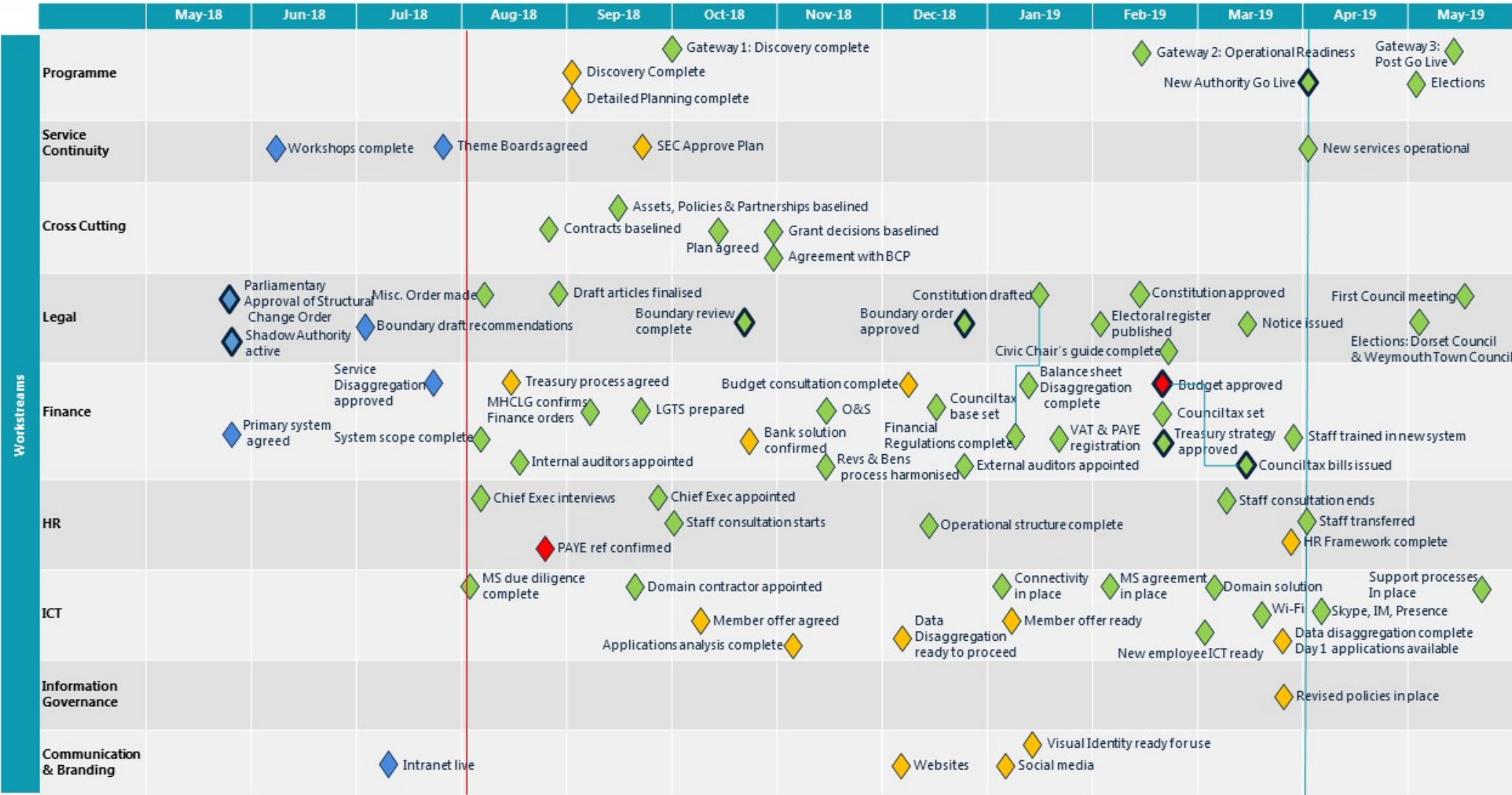
<b>Decision making and recording</b>	Decision making process defined. Decisions being recorded and shared. Historical decisions currently being captured
<b>Risk &amp; Issue management</b>	Risks captured by workstreams and published on SharePoint. Risk review workshop planned to ensure completeness
<b>Dependency management</b>	Cross-workstream dependencies captured in central log and shared across workstreams
<b>Progress review and reporting</b>	Workstreams reports reviewed by Governance bodies. To be enhanced to be driven by milestones & risks post Discovery
<b>Gateway reviews</b>	Three formal Gateway reviews scheduled to take place linked to critical Programme milestones
<b>Audits</b>	SWAP engaged to provide programme Audit. Ameo engaged to review programme plans and governance
<b>Programme Office review and control</b>	Programme Office provide ongoing review and quality assurance throughout the programme

## 8 Key Programme Headline Milestones

The key milestones for the programme are set out as follows.

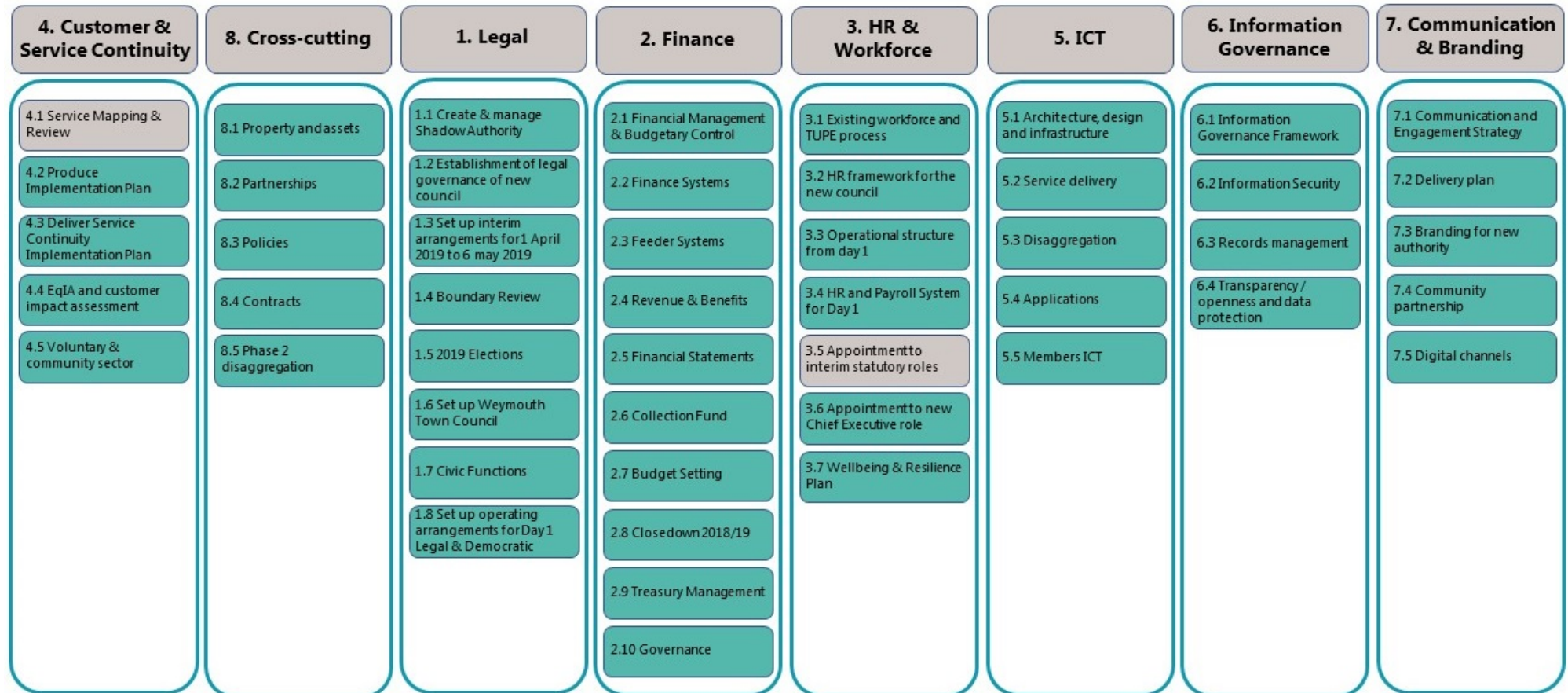
Expected Secretary of State Decision	26 Feb '18	✓
Latest date for 'negative order' to cancel the Weymouth election	6 Mar '18	✓
Structural Change Order Laid before Parliament	29 Mar '18	✓
Parliamentary Approval of Structural Change Order	26 May	✓
Shadow Authority Active	1 - 8 Jun '18	✓
Mandatory appointment of an implementation team and an officer lead	7 Jun '18	✓
Boundary Commission engaged formally	14 Jun '18	✓
Parliamentary Approval of Miscellaneous Order	27 Jul '18	Expected 5 Sept
Draft Budget / Aggregation plan agreed	31 Aug '18	
Gateway 1 – Discovery phase close	Sept '18	
Boundary Review Complete	23 Oct '18	
Finance Order Laid in Parliament	Nov '18	
Boundary Order Approved	21 Dec '18	
New Council Budget finalised	Jan '19	
Affirmative Order Laid in Parliament	Jan '19	
Budget Approved by Shadow Authority	20 Feb '19	
Gateway 2 – Operational Readiness	Feb '19	
Council Tax bills issued	15 Mar '19	
Vesting Date	1 Apr '19	
Gateway 3 – Post Go-live review	May '19	

# Programme Milestone Plan

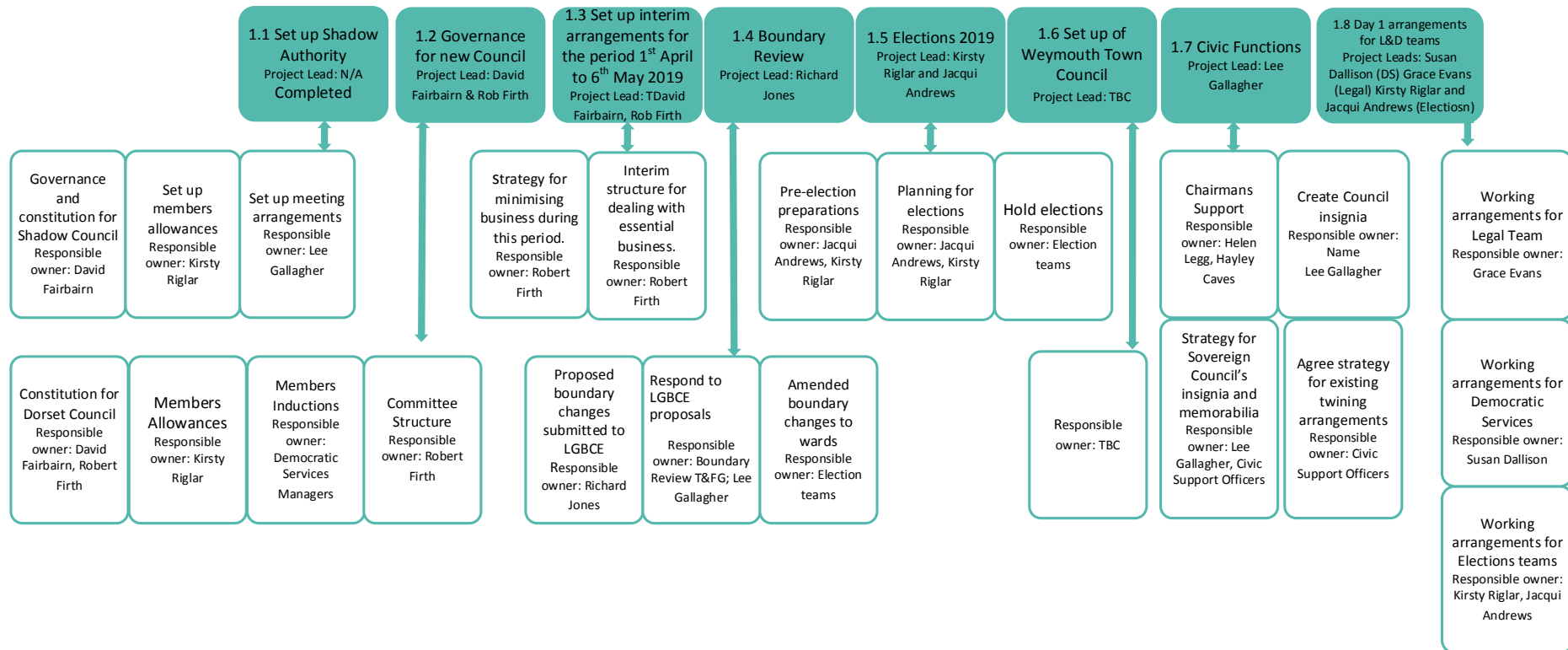


## 9 Phase 2 Workstreams and Projects

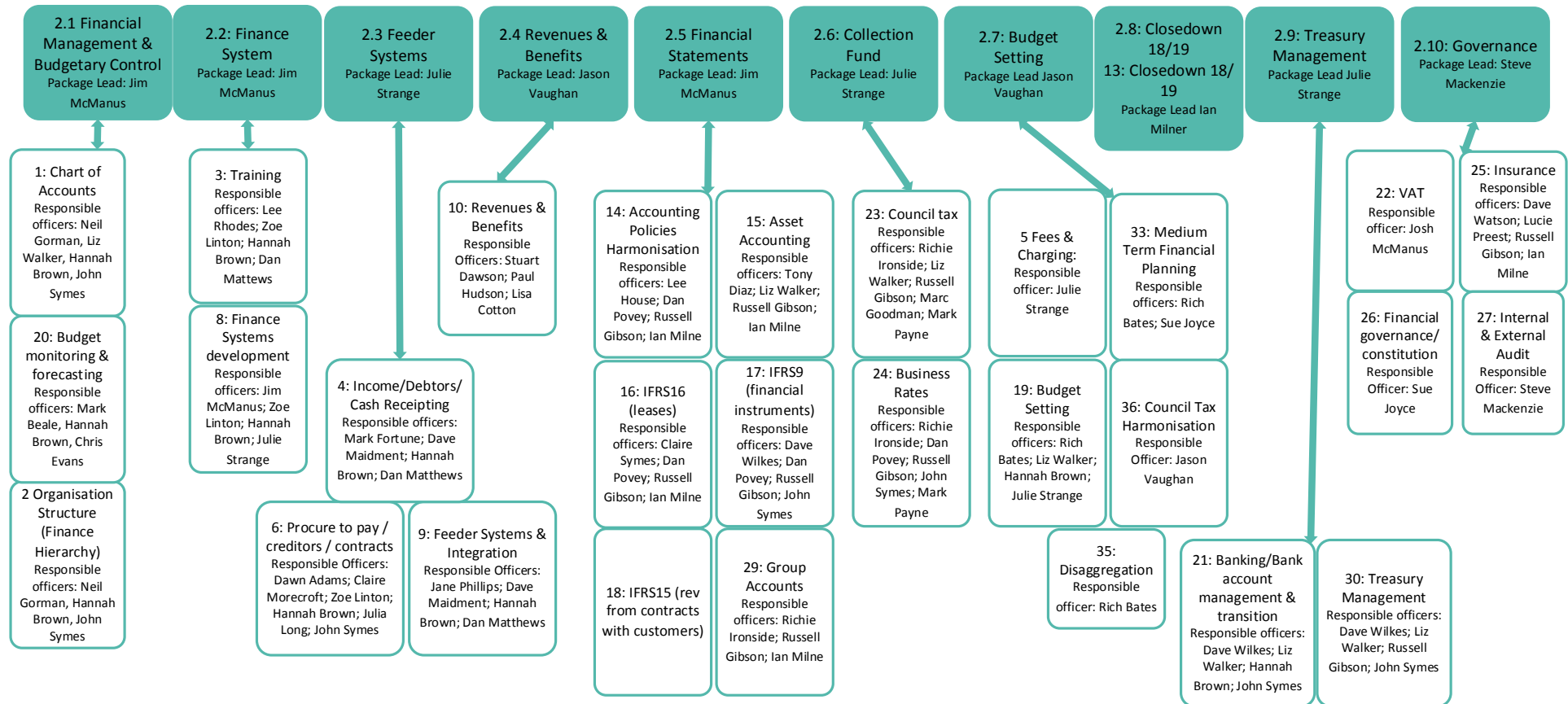
As described above, the Phase Two programme is divided into workstreams, each with projects. This diagram depicts the 8 workstreams and the 49 projects managed through the programme boards. More detailed breakdown of the work packets within the projects is provided in a following section for the core workstreams.



## 9.1 Legal & Democratic

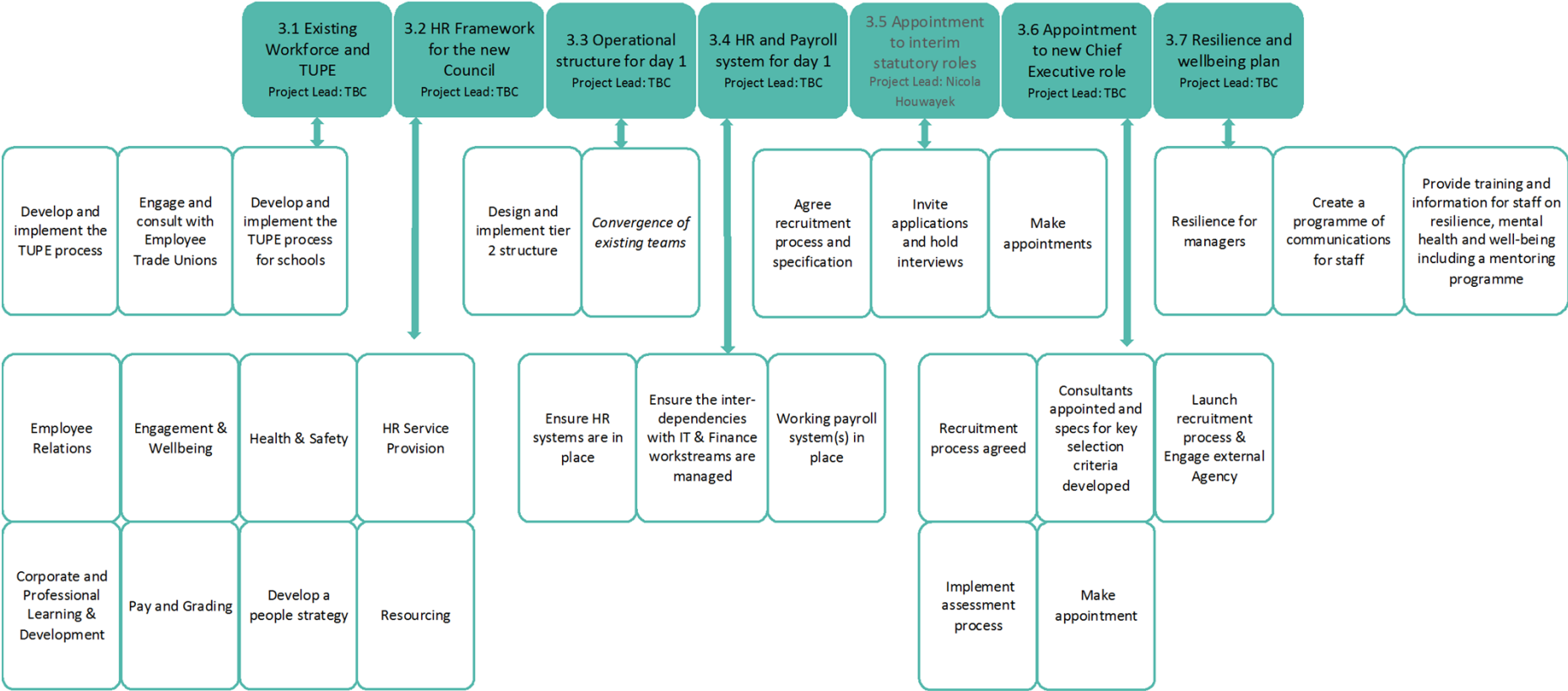


## 9.2 Finance

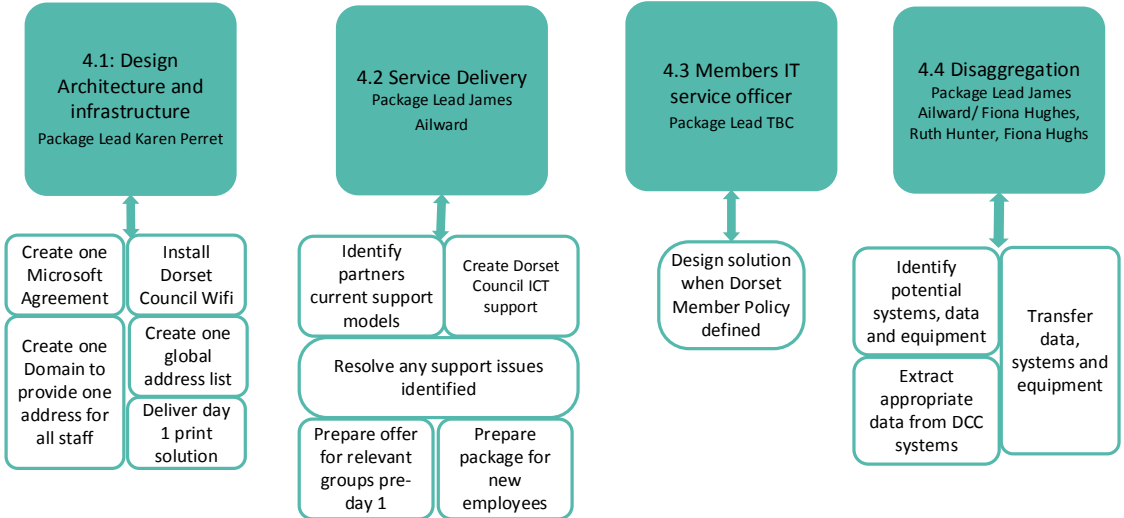




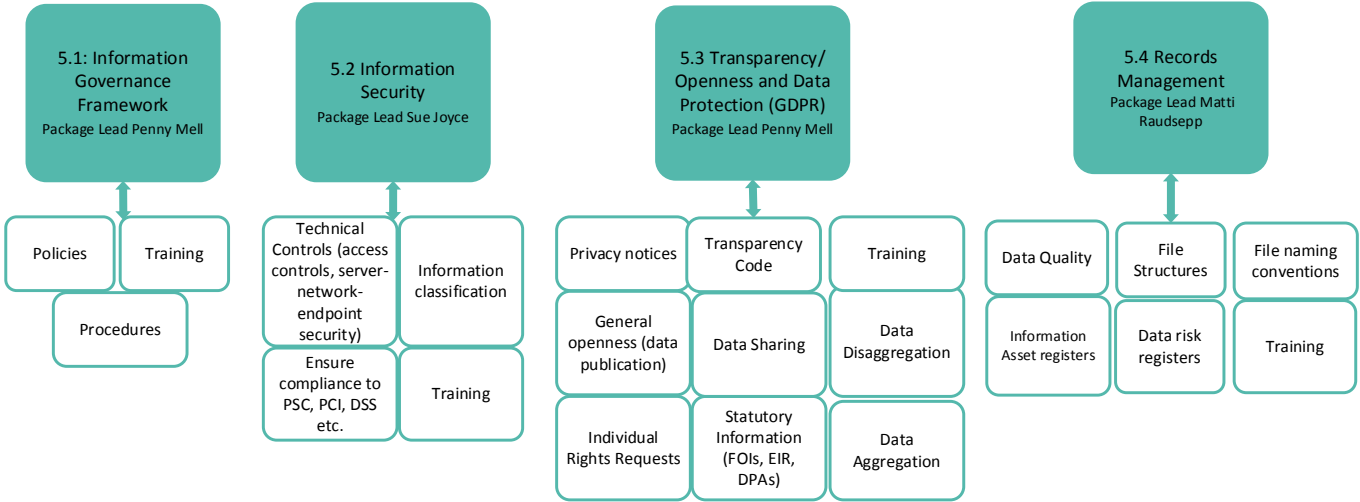
9.3 HR & Workforce



9.4 ICT



9.5 Information Governance



## 9.6 Service Continuity

The service continuity workstream ran a series of workshops with more than 170 employee representatives from across the 6 councils during May and June to capture information about the changes required in each service area for those services to transition to the new Council without interruption. In addition, the Adult and Children's services in the County Council produced similar material from reviews with service managers.

In summary, the outputs from this were:

- More than 460 services were covered in the process and 35 implementation packs were submitted to the programme team setting out critical day 1 requirements and over 1200 questions to be answered through further work and by the programme team
- Significant numbers of the challenges and actions that were identified were confirmed to be covered in the scoped work and plans for the core workstreams, enabling the service based staff to concentrate on the specific changes required for their area.

In order to break down the breadth of further planning and implementation work to manageable and meaningful components, three 'Theme Boards' have been created in order:

- To be responsible for the implementation of activities within that theme
- To receive updates on progress, resolve issues, risks and dependencies from service implementation teams
- To delegate tasks within implementation plans to nominated officers
- To critically analyse, review and quality assure implementation activities
- To review any decision records escalated to that board and quality assure the scope of the decision request
- To be accountable to wider programme board on progress, risks, dependencies and issues

These cover "People", "Place" and "Corporate" themes and the service breakdown that these each cover is set out in the following table.

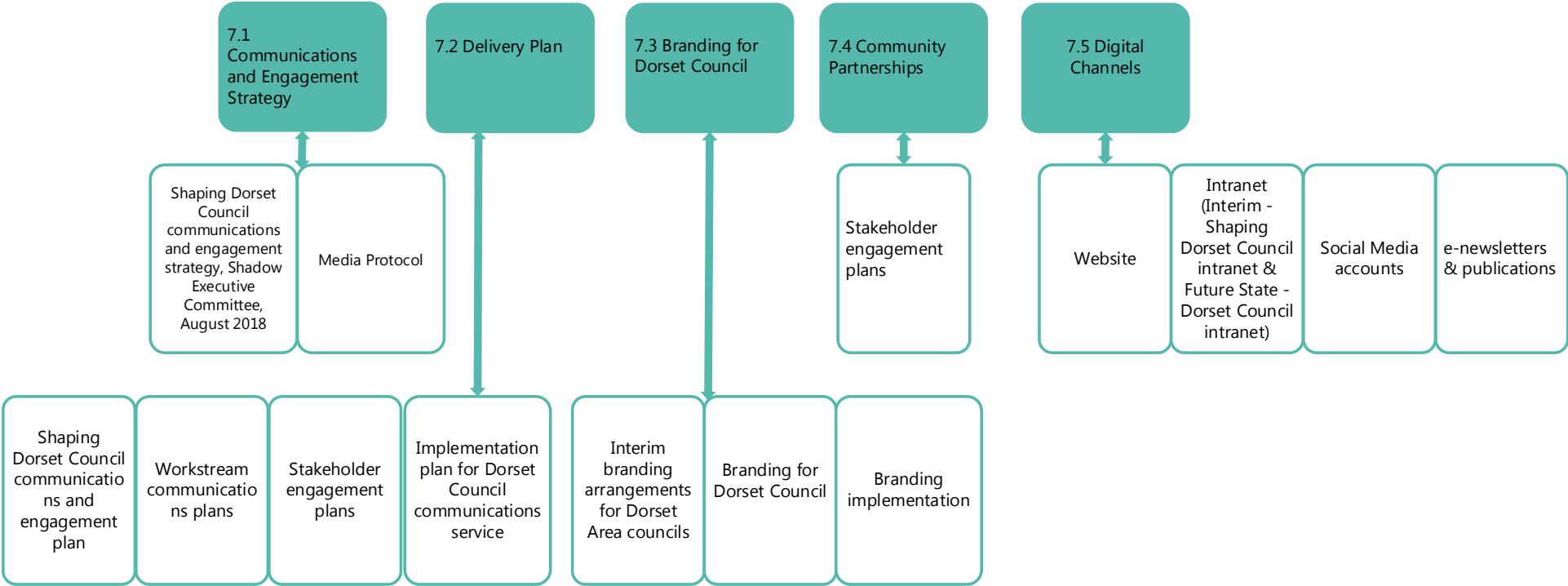
These groupings, while designed to be meaningful and to bring together the services in a logical grouping are not indicative of any future work around the corporate or operational structures.

Theme Board 1: Place	Theme Board 2: People	Theme Board 3: Corporate
<ul style="list-style-type: none"> <li>• Waste and cleansing</li> <li>• Fleet Management</li> <li>• Harbours, beach and seafront, engineering and coastal defences</li> <li>• Economic Development and regeneration</li> <li>• Tourism, heritage and culture including Countryside and rights of way</li> <li>• Planning, building control and land charges and searched</li> <li>• Travel and Transport</li> <li>• Parking</li> <li>• Highways</li> <li>• Property and facilities management</li> <li>• Regulatory</li> </ul>	<ul style="list-style-type: none"> <li>• Community</li> <li>• Housing</li> <li>• Adults and Community (DCC)</li> <li>• Children’s (DCC)</li> <li>• Leisure</li> <li>• Libraries</li> <li>• VCS</li> </ul>	<ul style="list-style-type: none"> <li>• Emergency planning,</li> <li>• Customer Services</li> <li>• Policy and Research</li> <li>• Communications</li> <li>• Performance management</li> <li>• Cross cutting</li> <li>• Service Expert Group</li> </ul> <p>Finance (including procurement), HR, Legal, Democratic services, Elections, ICT (including GIS) and Information Governance are being dealt with under core workstreams</p>

### 9.7 Communications

The role of the communications workstream is to deliver communications activity that meets the objectives in the Shaping Dorset Council programme, based on engagement with a wide range of stakeholders. This work is being progressed through the Communications and Engagement task and finish group and the Dorset Area communications group.

The workstream is set out as follows:



## Stakeholder Engagement

Work to identify, understand and segment stakeholders remains ongoing as the needs of stakeholders vary at particular times throughout the programme. The following mechanisms and channels are in use to ensure stakeholders can access latest news and information. This list which is not exhaustive, has been informed by the Communications and Engagement Task and Finish Group.

Stakeholder	Activity
Elected Members	<ul style="list-style-type: none"> <li>- Briefings as determined by Leaders</li> <li>- Facilitated workshops</li> <li>- Task and finish groups</li> <li>- Member newsletters</li> <li>- ModGov extranet – library facility to hold briefings, newsletters &amp; presentations.</li> <li>- Shaping Dorset Council Intranet where Members can access latest news and information.</li> <li>- Shaping Dorset Council programme drop in sessions</li> </ul>
Employees	<ul style="list-style-type: none"> <li>- Employee briefings</li> <li>- Facilitated workshops</li> <li>- Employee newsletters</li> <li>- Shaping Dorset Council Intranet where employees can access latest news and information</li> <li>- Shaping Dorset Council programme drop in sessions</li> </ul>
Community Groups	<ul style="list-style-type: none"> <li>- Direct correspondence</li> <li>- Partner e-newsletters</li> <li>- Partner channels</li> <li>- Shaping Dorset Council website</li> </ul>

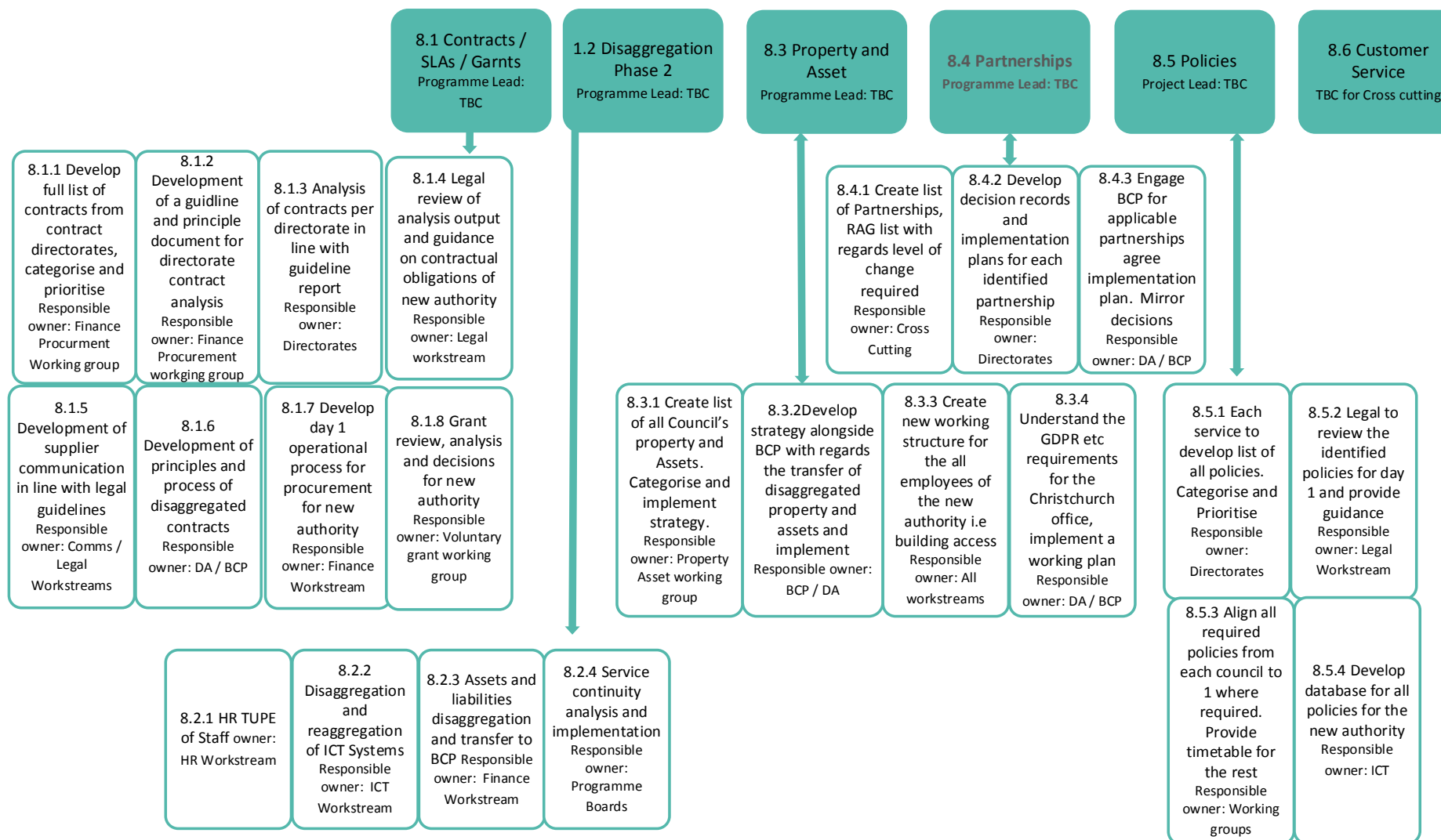
Wider public	<ul style="list-style-type: none"><li>- Website</li><li>- Social media accounts (Shaping Dorset Council, Dorset For You and Dorset Area council accounts)</li><li>- Consultation events</li><li>- E-newsletters</li><li>- Partner channels</li><li>- Shaping Dorset Council website</li></ul>
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## Resources & Budget

The Shaping Dorset Council communications team consists of a Communications and Engagement Manager and two Communications Officers which are full time posts in the programme team. They work closely with the Communications and Engagement task and finish group and the Dorset Area communications group which is made up of communication leads from each Dorset Area council.

Campaign budgets and resources are managed and controlled in line with Dorset County Council procurement rules. Expenditure and costs will be monitored against delivered benefits on an ongoing basis and will ensure money is spent wisely and secures best value.

## 9.8 Cross Cutting





## 10 Phase 2 Outcomes

The overall requirement of the programme is to deliver a safe and legal new unitary council, with no break in continuity in services, with the eligible workforce transferred to their new employer and with clear plans in place for the convergence of services where duplicated. 'Safe & legal' includes having a legal and balanced budget and with appropriate plans in place to deliver the convergence savings outlined in the Local Partnership Business Case from 2019 onwards. On a workstream basis, the deliverables scoped and being planned for are set out as follows:

### 10.1 Legal & Democratic

- Shadow Council and Shadow Executive Committee in place and legally constituted, Member's engagement plan in place, meetings schedule in place for all committees
- Dorset Council – legal governance in place: constitution, meetings schedule, website, committee structure, member induction
- Interim arrangements in place between vesting day and the elections in May '19
- Boundary Commission's Electoral Boundary Review supported
- 2019 elections prepared for
- Set-up of Weymouth Town Council is supported
- Civic functions and arrangements are in place
  - Lord Lieutenants
  - High Sheriff
  - Mayoral roles
- Legal & Democratic Services teams are in place for day 1

### 10.2 Finance

- Dorset Council has an agreed, achievable balanced budget for 19/20
  - Disaggregation costs are understood and agreed between BCP and Dorset Council.
  - Shadow Authority Members agree plans to achieve a balanced budget for 19/20
  - Plans to achieve a balanced budget for 19/20 have been fully consulted upon and recommendations incorporated
  - Plans to achieve a balanced budget for 19/20 have been drawn up, they show clear goals, and work has started on them.

- Financial Systems are clear, understood and available for all relevant Dorset Council officers and suppliers
  - All relevant staff across Dorset Council can and know how to order and pay for externally supplied goods and services
  - All relevant staff across Dorset Council can update and access budget management information for the organisation as a whole
  - Suppliers know how to invoice for their goods and services and are paid in accordance with clear, agreed policies
  - Dorset Council has an approved Treasury Strategy and an approved set of Financial Regulations
- Benefits claimants receive the right benefits at the right time.
- Council tax and Business rates payers receive the right bills with clear payment information at the right time.
- Fees and charges across Dorset Council are clear and customers know who and how to pay.

## 10.3 HR & Workforce

- All the existing workforce is transferred appropriately to their new employer
- HR services are in place for new and existing employees
  - Working policies
  - Trade Union agreements
  - Occupational Health and wellbeing support
  - Health & Safety and HR related policies
  - Learning and development
  - Pay and grading
    - Structures in place to recruit to new terms on day 1
    - Benefits, Terms & Conditions in place
    - NJC pay award in place
  - Recruitment processes
- People strategy in place
  - Values and behaviours
  - Performance management process
- Chief Executive and new Tier 2 in place, with operational structures clear for day 1
- HR and payroll system in place

## 10.4 ICT

- All staff have access to:
  - one email address @dorsetcouncil.gov.uk
  - one Global address list showing all Dorset Council employees
  - Skype IM facility as a minimum
  - access to all Dorset Council's employees' calendars
  - one door entry badge for main offices i.e. County Hall, Purbeck DC, South Walks House, as a minimum
  - access to corporate Wi-Fi across all Dorset Council buildings
  - print facilities across the main offices
  - Collaboration spaces including SharePoint, One Drive for Business and Teams
- One corporate intranet
- One corporate internet website
- One Microsoft agreement for Dorset Council
- IT equipment and service offering for new employees
- All staff will continue to use the same IT equipment on day 1
- Staff will not be relocated on day one and must have access to all their systems and data
- Day One IT Statutory requirements identified by service areas and ratified by the Dorset Area Programme Board
- Pre-day 1 service offering to Shadow Executive and other relevant groups
- Members service offering in place in anticipation of May 2019 Elections.

## 10.5 Information Governance

- IG Framework in place
  - Policies
  - Procedures
  - Training
- Information Security – technical controls in place
- Statutory requirements being fulfilled for transparency / openness guidelines / codes, including GDPR and Data Protection:

- Transparency code
  - FOIs, EIRs, DPAs processes in place
  - Privacy notices
  - Data Sharing
  - Individual Rights Requests
  - Data disaggregation
  - Data aggregation
  - Training
- Records Management – paper and electronic

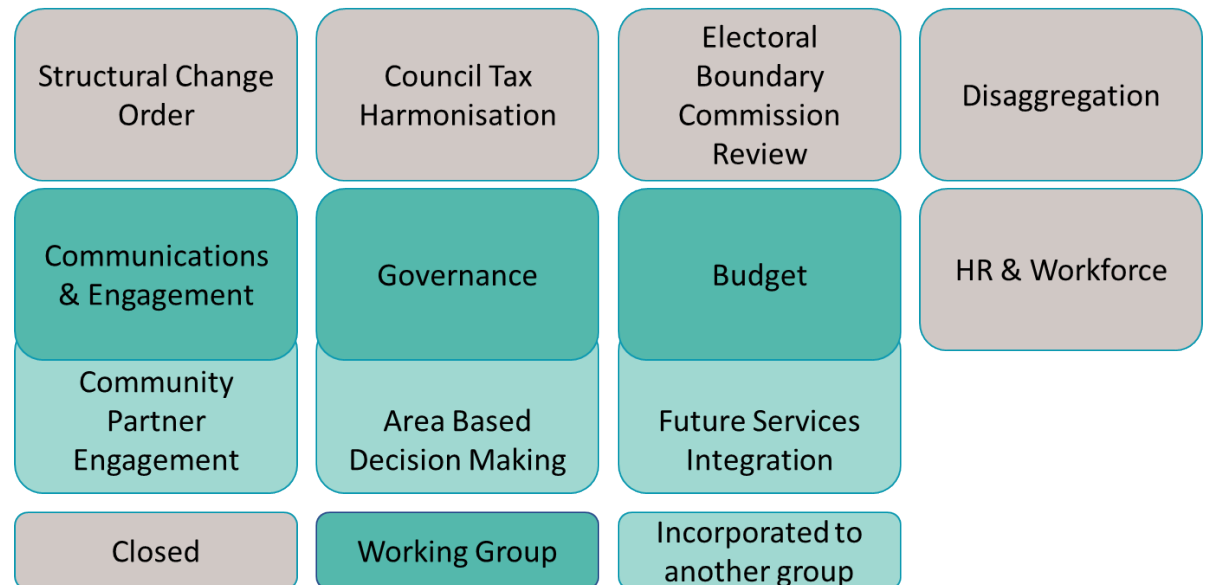
## 11 Task & Finish Groups

A number of Task and Finish Groups were put into place while the Programme Team was forming; their purpose was essentially twofold - to ensure that Members have a clear place to lead the work required in areas of specific detail and to provide a means of engagement, both for elected members and wider partners, alongside the communications and engagement strategy. A review of the work of these groups has been undertaken by the Head of Paid Service and the conclusions are that the three key groups, Finance/budget, Governance and Communications and Engagement should be retained as three working groups. These groups can then commission sub-groups or task and finish on a topic specific basis.

Four of the groups – electoral arrangements, disaggregation, the Structural Change Order and council tax harmonisation – have focused on tangible outputs that have been required by Government to support the Parliamentary process and have now closed following successful completion of their task. In addition, the HR & Workforce group met and agreed that there was no specific task needed to resolve but that the Lead Member for HR & Workforce should be engaged on a regular basis to guide and support the workstream.

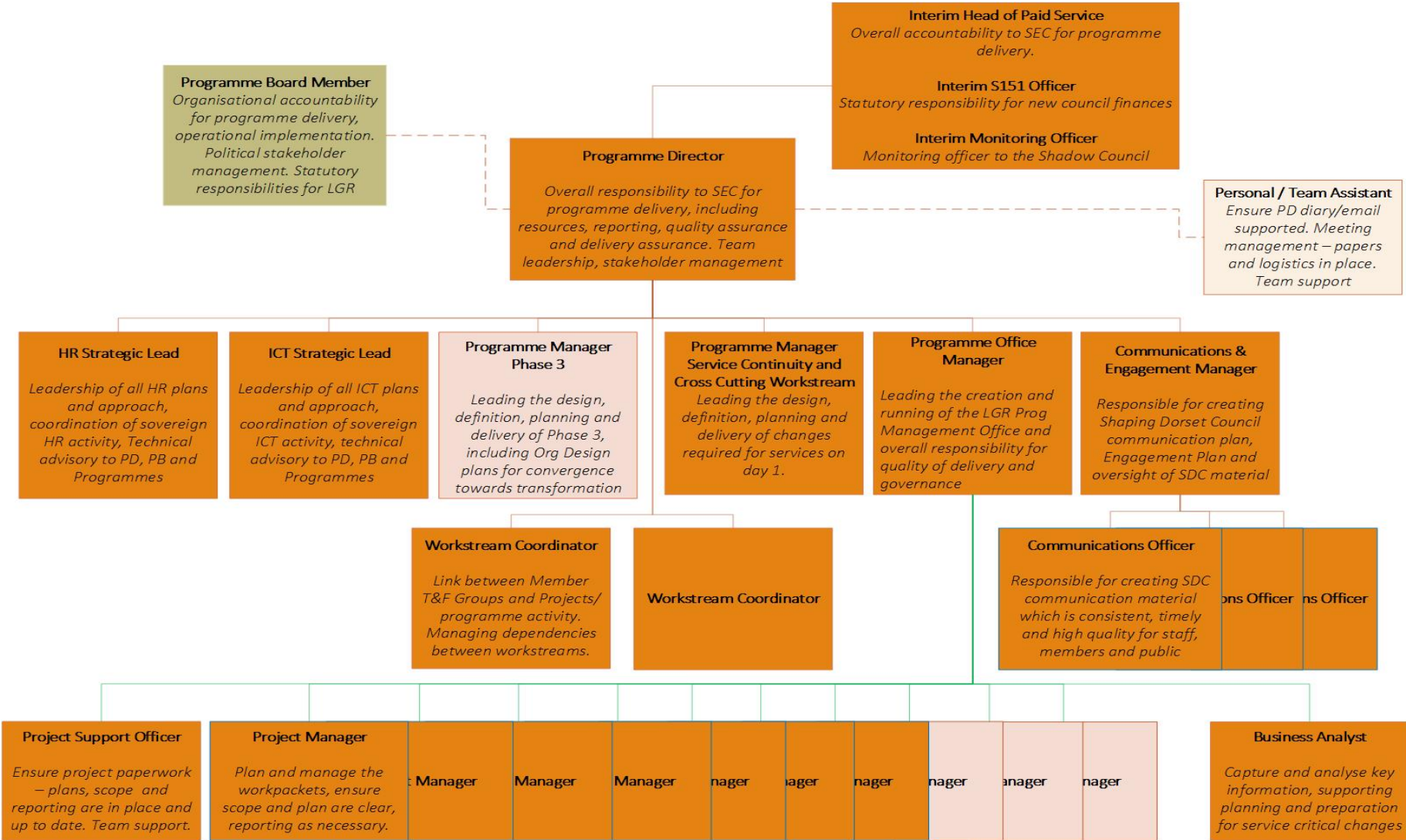
A further three groups – area based decision-making, community partner engagement, future service integration (shared services) were paused to consider their place while some of the phase 3 outputs have been brought into place and on reflection have been deemed to have overlapping remits with the ongoing groups.

They have been merged as illustrated to the three groups that are still running, with ongoing roles in the development of their specialist area – Governance, Budget and Communications & Engagement.



### 12 Resources and core structure

The current 'core' programme team structure, the roles and the respective responsibilities are illustrated as follows:



### 13 Budget

The work undertaken by Local Partnerships envisaged the costs of creating two unitary councils would amount to approximately £25m. The majority of this cost (£22.5m) was expected to be incurred shortly after the new unitary councils are created. The balance of £2.5m represented Local Partnerships' assessment of the programme management costs to be incurred before April 2019. The Dorset Area proportion of this estimated is calculated to be £1.213m. At the May meeting of the DA Joint Committee, it was agreed that a further £2.613m would be made available to the programme.

As the programme has developed, it has become clear that the delayed decisions from Secretary of State has compressed timescale which has implication on the deliverability. Also, the decision by Dorset Area Joint Committee to create a new council, rather than use the Continuing Authority model has, to an extent, also increased the amount of work in the programme needed to understand a greater number of services, processes, policies and contracts than was previously expected.

Therefore, with the vesting date being fixed, limited opportunity to draw resources from the preceding councils and the absolute necessity for continuity of service required, the resource cost required to deliver the programme will be greater than estimated previously. The breakdown of costs currently incurred and estimated as required to reach 31 March 2019 is set out as follows:

	Estimate	Spent / Committed	Balance
<b>Programme</b>			
Staffing	1,959	1,659	300
Staffing - Backfill	110	110	-
Bought in Consultancy / Services	276	166	110
Technical Support	260	160	100
Set Up Costs	4	4	-
	<u>2,609</u>	<u>2,099</u>	<u>510</u>
<b>Non Programme</b>			
Provision for Operational Costs	400		400
Potential duplicate costs	92		92
Legal Support	50	50	-
	<u>542</u>	<u>50</u>	<u>492</u>
Contingency	225		225
<b>Total</b>	<u><b>3,376</b></u>	<u><b>2,149</b></u>	<u><b>1,227</b></u>

In the schedule above, costs or provision for costs are included that are not normally considered to be programme management costs and so these have been presented separately.

There is no provision in the programme budget for the convergence and transformation activity during 2019/20 and beyond. This includes the current team which is mostly retained until 31/5/2019. The current commitment level for the period 1/4/2019 – 31/5/2019 is circa £175,000. This will be provided for within the normal budget setting process for the new Dorset Council.



## 14 Risk Management

A risk workshop was held with the Joint Committee to give some thought to the Committee's appetite for risk taking. An awareness of risk appetite is an essential part of the decision-making process, in ensuring that appropriate risks are escalated, understood and ultimately managed to an acceptable level. A number of questions were posed to Committee members across a range of risk criteria to identify those areas where there was a higher appetite for risk. The output of this session can be viewed in the diagram:

This work highlights a very strong appetite for opportunity risk, and significantly less for compliance type risks (for instance, health and safety and legal). There is also relatively high appetite for reputational risk. From a financial perspective, based on the responses to the questions posed, any risk exposure above £500,000 would be deemed above the usual appetite for risk taking.

The workshop also took some time to consider the key strategic risks to successful delivery of the programme and this is covered below.



### 14.1 Risk Management Methodology

- The Committee approved in principle the risk management methodology at its meeting on 15th November 2017. In prioritising the key focus on risks, it is commonplace to consider both the impact of a risk occurring together with its likelihood. By scoring both factors and multiplying them together, a risk score can be applied. Priority focus should be given to risks that have a significant impact and are considered likely to occur based on current mitigation operated.
- The output from the risk appetite session helps us to refine the methodology to provide some clear escalation criteria for those risks that fall above our appetite for risk taking. In particular, the work informs how we gauge the level of impact. This is set out in the matrix included at Appendix A of this report, and provides a mechanism for scoring not only the threats to programme delivery, but also any opportunities presented.

## 14.2 Risk Landscape for Dorset Council

In addition to the work carried out to date in relation to implementation risks, some preliminary work has been undertaken across the partner authorities to get a view of the current risk landscape for the new Dorset Council, based on the content and scoring within outgoing authority corporate risk registers.

This helps to provide an early indication of key risk exposures, which will develop further as Dorset Council's vision is defined. The Programme Team will map key risks associated with reorganisation to this output, and will report the findings in a future risk management update.

IMPACT - THREATS							IMPACTS - OPPORTUNITIES		
Score	Financial	Legal / Compliance	Strategic	Safety, Wellbeing & Safeguarding	Reputation	Service Delivery	Score	Financial	Service Improvement
5	Over £1 million	Non-compliance with legislation or regulatory breach	Complete failure of a strategic priority	Fatality or life-changing injury / illness; Significant safeguarding breach	Complete failure in confidence (local or national)	Complete failure to deliver critical services (safeguarding; urgent statutory responsibilities etc)	5	Over £1 million	Significant opportunity
4	£500k to £1 million	Significant regulatory impact	Major impact on a strategic priority	Major injury / illness; moderate safeguarding breach	Long term media attention (local or national)	Major impact on delivering critical services (safeguarding; urgent statutory responsibilities etc)	4	£500k to £1 million	
3	£300k to £500k	Moderate regulatory impact	Moderate impact on a strategic priority	Moderate injury / illness	Medium term negative impact on public memory	Serious disruption to less critical services	3	£300k to £500k	Moderate opportunity
2	£100k to £300k	Minimal regulatory impact	Minor impact on a strategic priority	Injury or illness requiring minimal intervention / treatment	Short term negative impact on public memory	Minor disruption to services	2	£100k to £300k	Minor opportunity
1	£100k or less	No legal or regulatory impacts	Negligible impact on a strategic priority	No health and safety impact	Minor complaints or rumours	Negligible disruption to service delivery	1	£100k or less	Negligible opportunity

LIKELIHOOD	
5 Almost Certain	Over 80% chance
4 Likely	61 – 80% chance
3 Possible	41 – 60% chance
2 Unlikely	21 – 40% chance
1 Rare	0 – 20% chance

		LIKELIHOOD				
		(1) Rare	(2) Unlikely	(3) Possible	(4) Likely	(5) Almost Certain
IMPACT	5	5	10	15	20	25
	4	4	8	12	16	20
	3	3	6	9	12	15
	2	2	4	6	8	10
	1	1	2	3	4	5

### 14.3 Risk Log

In keeping with the agreed methodology, the risks in the table below are those which are currently assessed as being of Impact 4 or 5, set out here with the mitigation and control-based score.

ID	Title	Accountable Risk Owner	Workstream	Gross Risk Score	Gross Risk Level	Current Controls	Current Impact (1-5)	Current Risk Score	Current Risk Rating	What Further Actions are Necessary?
13	Failure to integrate systems	Keith Cheesman	ICT	20	High	IT Disaggregation project	4	20	High	
101	Nothing in place for payments over the counter from 1st April 2019 in all offices.	Julie Strange	Finance	20	High	Work with Customer Services & IT to formulate an achievable plan of action	5	20	High	
106	Significant emerging risks around the financial impact of TUPE & disaggregation.	Jason Vaughan	Finance	20	High	There is currently no mitigation plan in place. These risks were identified during mid-July and further discussion is taking place on 31st July to better understand the situation.	5	15	High	
105	Cash receipting. Overlapping reference numbers mean we can't move to one system	Julie Strange	Finance	16	High	North & East	4	16	High	
7	Failure to understand full statutory responsibilities of merging authorities creates an exposure to legal challenge;	MOs	Legal	20	High	Programme contains legal and governance workstream tasked with examining Corporate legal requirements. Service continuity workshops planned to identify service specific legalities The question was raised as to how the legal teams should interface with the Service Continuity teams as there was a perceived lack of clarity as to what the teams were doing and whether or not anyone was checking that their output was legally compliant. The Legal teams have not seen the various implementation plans to confirm that the teams had considered all legal aspects and it was suggested that a mitigating action would be to have a legal officer embedded in these teams.	5	15	High	Service workshops will reduce risk exposure
40	Proposed payroll systems not agreed by HMRC	Keith Cheesman	HR & Workforce	20	High	Consultant engaged (PSTax) to represent both new councils in discussions with HMRC.	5	15	High	PSTax consultant suggesting a HMRC response by end July
3	Opportunity to streamline and modernise services to deliver a new Council vision for a new Authority;	New Chief Executive	Finance	20	High	Agreement to establish Phase 3 of the programme work.	4	12	Medium	Review PwC vision, further visioning sessions to be arranged to develop Corporate vision and priorities
16	Interdependencies with other government bodies causes delays (HMRC Paye Number etc);	Keith Cheesman	Finance	16	High	Appropriate advice agencies being sought	4	12	Medium	Decisions to be taken following receipt of advice
18	Poor budget forecasting and control	New Chief Executive	Finance	12	Medium	DFO's reviewing transition costs as set out in PWC business case and developing MTFP for Dorset Council. Budget Task and Finish group established. DFO's considering options to enable budget monitoring for Dorset Council	4	12	Medium	
34	Banks refuse to change the name on existing account numbers	Julie Strange	Finance	15	High	All orgs discussing with their banks. Lloyds is the only bank (for PDC) which can't change their name. Current mitigation is to open a new account in the name of Dorset Council. Timing to be confirmed	4	12	Medium	
37	Inability to establish most effective permanent management team;	Keith Cheesman	HR & Workforce	12	Medium	Recruitment process for Chief Exec agreed.	4	12	Medium	Recruitment of Chief Exec by end Sept. Decisions re timings for Tier 1 SLT

ID	Title	Accountable Risk Owner	Workstream	Gross Risk Score	Gross Risk Level	Current Controls	Current Impact (1-5)	Current Risk Score	Current Risk Rating	What Further Actions are Necessary?
39	Failure to develop clear policies for new employees from day 1	Keith Cheesman	HR & Workforce	12	Medium	Day 1 planning workshop (21st June)	4	12	Medium	Development of Implementation Plan
45	Failure to agree terms and conditions for the new council	Keith Cheesman	HR & Workforce	15	High	Included in Implementation Plan	4	12	Medium	
50	Different redundancy multipliers in existing councils	Nicola Houwayek	HR & Workforce	16	High	Included in Implementation Plan	4	12	Medium	
100	Unable to access information held by outgoing authorities (for statutory returns and evidence bases)	Board	Information Governance	16	High	Clear policy on retention/destruction; clear Information Asset Registers	4	12	Medium	
5	Insufficient capacity/resources to deliver the programme within timescales (project slippage)	Keith Cheesman	Programme Level	25	High	Programme team posts appointed into, include Programme Director. Project Management roles appointed. Support roles to be appointed to. Scoping workshops will identify further resource requirements. Programme Board monitor weekly.	5	10	Medium	Further project managers and additional HR roles to be appointed.
8	The Parliamentary approval process is further delayed, restricting the time to deliver the new Council;	CLG	Legal	5	Medium	Daily working with MHCLG, meetings with Senior Advisers and progressing the Judicial Review.	5	10	Medium	Central team progressing Consequential orders
10	Failure to ensure due diligence during restructuring / staff transfer process;	Keith Cheesman	HR & Workforce	15	High	HR workstream co-ordinating	5	10	Medium	Legal advice sought where appropriate
17	Insufficient transformation to achieve the financial benefits set out in the business case;	Programme Board	Finance	15	High	DFO's reviewing transition costs as set out in PWC business case and developing MTFP for Dorset Council. Budget Task and Finish group established	5	10	Medium	
22	Existing Councils have structural problems with their base budgets which are not addressed and then adversely impact upon the new authority - see Jason Vaughan 'protocol on spending & commitments' 3/5/18	SM and then Interim S151 Officer	Finance	15	High	S151 Officer in each council to produce a paper outlining where their individual authority is in relation to these items and to provide an affirmative statement on them. This will ensure that the interim S151 Officer has a clear understanding of the overall financial picture and associated risks. Key areas covered are purchase, disposal & transfer of assets, new large contracts, new capital schemes, use of reserves	5	10	Medium	Budget T&F have discussed this information which was given them on 20th July. They will interrogate Service Directors on their financial strategies at their next meeting on 1st August.
41	Payroll system not in place for EDDC on day 1 (contract expires 31 May 2019)	Keith Cheesman	HR & Workforce	20	High	Consultant engaged (PSTax) to represent both new councils in discussions with HMRC. ED staff would migrate to another sovereign council if existing payroll systems retained	5	10	Medium	PSTax consultant suggesting a HMRC response by end July
46	Failure to agree a scheme of delegation for the new council	Keith Cheesman	HR & Workforce	15	High	Included in Implementation Plan	5	10	Medium	
52	Competency based increments - deadline Jan 2019	Nicola Houwayek	HR & Workforce	15	High	Green book' ramifications included in Implementation Plan	5	10	Medium	
80	Snap General Election or Referendum	Elections teams	Legal	10	Medium		5	10	Medium	
89	Failure to achieve compliance with PSN Remedial Action Plan, NHS Data Compliance Protocol, and PCI)	Sue Joyce	Information Governance	15	High	This will be addressed in the Information Security work package	5	10	Medium	
91	Unable to migrate data i.e. stored in non-shared locations	ICT Workstream	Information Governance	15	High	This will be addressed in the Data Disaggregation work package in the ICT Workstream	5	10	Medium	

ID	Title	Accountable Risk Owner	Workstream	Gross Risk Score	Gross Risk Level	Current Controls	Current Impact (1-5)	Current Risk Score	Current Risk Rating	What Further Actions are Necessary?
92	Migrated data is incorrect (wrong; out-of-date etc)	ICT Workstream	Information Governance	15	High	This will be addressed in the Data Disaggregation work package in the ICT Workstream	5	10	Medium	
116	Email phishing	ICT Strategic Board	Programme Level	20	High	Staff awareness; access/privilege controls; email/DNS/web filtering to block suspicious emails or malicious sites; robust malware protection; adequate logging and alerting for IT systems; clear reporting methods for users if they think they have clicked something	5	10	Medium	Ensure current controls are in place
6	Failure to establish early decision-making processes for Dorset Council.	New Chief Executive	Legal	20	High	It was agreed that this applied to both the Shadow and Dorset Councils. That for the Shadow had been resolved by the adoption of the constitution. The consequences of not having a clear process would be that Dorset Council would be unable to operate. The title needed to refer to Dorset Council. Risk levels remained the same and current controls were agreed as L&D Steering Group, Governance Task and Finish Group, appointment of an accountable interim MO, and a programme plan being in place.	4	8	Medium	Future consideration for Change Authority Board
14	Delays in disaggregation work;	Debbie Ward	Finance	12	Medium	Disaggregation work underway and monitored	4	8	Medium	
15	Disaggregation of management / staffing / budget structures across Shared Service arrangements (East / Christchurch);	Debbie Ward	Finance	12	Medium	Disaggregation work underway and monitored	4	8	Medium	
20	Drop in services levels during transition	Programme Board	Customer & Service Continuity	16	High	Service Continuity Workshops held to map functions delivered by services. Answers sought to questions raised by service areas. Implementation planning has commenced. Resource will soon be available to support each board in managing and delivering service implementation plans.	4	8	Medium	
38	Failure to develop clear policies for existing employees from day 1	Keith Cheesman	HR & Workforce	12	Medium	T&Cs listed and analysed across all councils. Proposed TUPE 'measures' I/Dd.	4	8	Medium	Policies across all councils to be incorporated into T&Cs list end June
43	Legal advice required around the status of our existing Collective Agreements	Keith Cheesman	HR & Workforce	12	Medium	Included in Implementation Plan	4	8	Medium	
44	Legal advice around the process/mechanism for agreeing a new set of T&Cs for the new Council	Keith Cheesman	HR & Workforce	16	High	Included in Implementation Plan	4	8	Medium	
65	Inconsistency of process, licences and fees across outgoing authorities	Matt Prosser	Customer & Service Continuity	12	Medium	Project set up within Finance workstream for fees and charges in relation to budget. The legal workstream are identifying the requirements of harmonised fees and charges for day 1. Cross-cutting workstream is identifying the policy requirements in terms of leases and licensing for the new authority. The themed boards will be notified through the service experts on the progress of this to be fed into implementation planning.	4	8	Medium	
70	Dorset Council is constrained by decision making of legacy authorities		Legal	8	Medium	Thresholds set by 151s and Shadow Executive either being consulted upon or agreeing to schemes promulgated by sovereign councils.	4	8	Medium	Process being clarified by IMO which will be issued to sovereign councils.

ID	Title	Accountable Risk Owner	Workstream	Gross Risk Score	Gross Risk Level	Current Controls	Current Impact (1-5)	Current Risk Score	Current Risk Rating	What Further Actions are Necessary?
75	Failure to identify the impact of service change on our staff and communities	Matt Prosser	Customer & Service Continuity	8	Medium	Workpackage identified to support the requirements for impact assessments to be drawn up.	4	8	Medium	Further scoping of 4.4 workpackage required following first iteration of implementation plan to shadow exec.
95	Failure to ensure the correct skills and capacity for information governance within the new Dorset Council	Board	Information Governance	16	High	i) skills audit; ensure that resourcing needs assessment is undertaken  ii) Commitment from Las to provide necessary support/input from professional officers	4	8	Medium	
9	Change of political will / loss of 'buy-in'	Programme Board	Programme Level	5	Medium	Joint Area Committee; cross-authority support, Task and Finish groups	5	5	Medium	
23	Existing Councils make decisions during this financial year which adversely affect the future budget for Dorset Council	Interim S151	Finance	15	High	Protocol agreed at 23/5/18. Budget setting process continues throughout the year.	5	5	Medium	
27	Unable to agree a single set of asset accounting policies, strategies, methods etc in time for the new council to implement a common approach across all assets.	Interim S151	Finance	5	Medium	All strategies, policies, approaches, methods should be well documented. Workstream leads will share and attempt to agree common principles for 1/4/19 implementation.	5	5	Medium	
28	Capacity of trainers to deliver SAP project manager training to PMs to enable capital budgets to be managed in SAP.	Jim McManus	Finance	8	Medium	Capital budget/project management training already in place but there may be capacity issues in the new council, depending on training demand.	5	5	Medium	
63	Unable to respond to a significant event (civil contingencies act responsibilities as a category 1 responder)	Matt Prosser	Customer & Service Continuity	15	High	Emergency Planning policy is required for the new authority from day 1. Service implementation team established and draft implementation plan scoped. Core workstream service experts will attend the place themed board to provide guidance and oversight to the development of a single emergency planning policy and response system.	5	5	Medium	
74	Elected members on statutory committees do not have appropriate skills/knowledge	Monitoring Officers and DSMs	Legal	10	Medium	As part of the Legal and Democratic Workstream develop an induction package for new members	5	5	Medium	

## 15 Reporting Pack

A revised highlight report pack will be brought into place from September to better reflect the nature of the programme and the component parts of it. With the greater level of detail now provided by this plan, it is now possible to track the upcoming milestones in greater detail and with greater visibility. Also, the workstreams are now scoped and can be tracked with greater understanding of the future milestones and progress and current challenges.

The pack divides into three components:

- 1) Programme Status Overview
- 2) Programme Milestones
- 3) Workstream / Theme status updates

Reporting will be completed weekly, with the reports being filed in the Shaping Dorset Programme intranet site for members and employees to be able to review in real time between monthly meetings.

The following three tables set out the templates / formats to be used.

## OVERALL PROGRAMME STATUS - DATE

Overall status	↔	Scope	↔	Budget	↓	Time	↑	Resource	↓	Stakeholder	↔	Risk & Issue	↔
<i>Brief description of overall programme status, significant achievements, major concerns or imminent major events</i>													
<b>Return to Green</b>	↔	<i>Describe key actions to return overall programme RAG status from Red or Amber to Green</i>											
<b>Change Requests</b>	↓	<i>Describe any significant, proposed or in progress change requests to the Programme Scope</i>											
<b>Resources</b>	↓	<i>Describe significant resource gaps, actions e.g. recruitment, and key events e.g. new or exiting team members</i>											
<b>Plan</b>	↑	<i>Describe readiness of plans and tracking against it, with description of any significant exceptions</i>											
<b>Benefits</b>	↔	<i>Describe whether programme is on track to deliver benefits and any significant exceptions or risks</i>											
<b>This week</b>		<b>Issue/Risk</b>						<b>Mitigation</b>					
<b>Top Issue</b>	↔	<i>Describe highest programme level risk</i>						<i>Describe mitigation plan to address</i>					
<b>Top Risk</b>	↓	<i>Describe highest programme level issue</i>						<i>Describe mitigation plan to address</i>					



# Programme Milestone Plan



# WORKSTREAM NAME - STATUS UPDATE

Workstream Sponsor:  
Project Manager:

Date:

Workstream RAG

**Overall Workstream Summary**

*Brief description of overall workstream status, significant achievements, major concerns or imminent major events*

**Key Initiative Achievements (This Week)** **Next milestones**

	Milestone	RAG	Due Date	Target Date
<i>Describe key achievements this week</i>	Milestone name			

**Key Initiative Activities (Planned Next Week)**

<i>Describe key achievements for next week</i>				

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

			<i>Describe the top risk for the workstream</i>		4	4	16			
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ID	Raised By	Date Raised	Issue Description	Impact Statement	S	Resolution Plan	Owner	Due Date
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Top Issue

			<i>Describe the top issue for the workstream</i>		H			
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## 16 Gateway Review Process

### 16.1 Introduction

To assure the Programme Board and Shadow Executive Committee that the Shaping Dorset Council programme is on course to deliver the new Authority on 1<sup>st</sup> April, it is proposed that we conduct a series of Gateway Reviews linked to critical Programme Milestones.

### 16.2 Rationale

The proposed Gateway reviews are a best practice approach as defined by MSP (Managing Successful Programmes) and Government standards. The three proposed Gateways are closely aligned to OGC 3 (Investment Decision), OGC 4 (Ready for Service) and OGC 5 (Operational Review & Benefits Realisation).

The reviews are designed to assure that:

- there is confidence that the programme can progress to the next stage of implementation
- the best available skills and experience are deployed on the programme
- all the stakeholders fully understand the programme status and the issues involved
- time and cost targets can be achieved

#### Gateway 1: Discovery Phase Close – September 2018

This review confirms that the Discovery phase has been satisfactorily completed and that the delivery plan is appropriate before going ahead with the main implementation phase. It assesses whether the defined outcomes are likely to be met; that the organisation can implement and manage the programme as intended; and that the necessary processes and resources are in place to achieve a successful outcome.

#### Gateway 2: Operational Readiness – February 2019

This review focuses on whether the plans and preparations are robust before implementation; how ready the organisation is to implement the business changes that occur before and after delivery; and whether there is a basis for evaluating ongoing performance.

## **Gateway 3: Post Implementation Review – May 2019**

This review takes place after the programme has delivered its agreed outputs. It concentrates on the delivery of the planned outcomes and how well arrangements have been set up for ongoing service delivery. It will identify any outstanding issues as well as any lessons learnt which should be taken forward to next phase.

### **Methodology**

The Gateway Review is a 'peer review', in which independent practitioners from outside the programme use their experience and expertise to examine the progress and likelihood of successful delivery. They will provide additional perspective on the issues facing the internal team, and an external challenge to the robustness of plans and processes.

The reviews will take the following approach:

1. Review of key programme documentation
2. Interviews with key stakeholders and programme team
3. Workshops where appropriate, for example a Post Implementation Review workshop
4. Report and presentation documenting key findings and recommendations

### **Detailed Gateway Review Scope**

#### **Gateway 1: Discovery Phase Close – September 2018**

- Confirm that all activities in the Discovery phase are complete and that any outstanding tasks or issues are captured with appropriate actions documented to close them during the implementation phase
- Confirm that the implementation plans are sound and achievable with an appropriate level of resources allocated
- Confirm that the objectives and desired outcomes of the programme are likely to be realised through the implementation plan
- Ensure that management controls are in place to manage the programme through to completion
- Ensure there is continuing sponsorship and stakeholder support for the programme
- Check that the organisation has prepared for the implementation, transition and operation of new services, and that all relevant staff will be prepared ahead of go live

- Confirm that there are plans for risk management, issue management and change management
- Evaluate actions taken to implement recommendations made in any earlier audits and reports

## **Gateway 2: Operational Readiness – February 2019**

- Confirm that all necessary testing and validation has been completed and that governance bodies are ready to approve implementation
- Check that there are feasible contingency arrangements in place
- Ensure that all ongoing risks and issues are being managed effectively and do not threaten implementation. Evaluate the risk of proceeding where there are any unresolved issues
- Check that the planned outcomes are likely to be achieved
- Ensure that there are processes and procedures in place to ensure ongoing management of the new organisation and services
- Confirm that the necessary resources are in place to implement the business change
- Confirm that the implementation plans are still achievable
- Confirm that there are management and organisational controls to manage the programme through implementation and operation
- Confirm arrangements for handover of the project from the SRO to the operational business owner
- Confirm that all parties have agreed plans for training, communication, cutover and support as required
- Confirm that all parties have agreed plans for managing risk
- Confirm that all issues and outstanding tasks are identified and recorded
- Evaluate actions taken to implement recommendations made in any earlier reviews and audits

## **Gateway 3: Post Implementation Review – May 2019**

- Assess whether the planned outcomes expected at this stage are actually being delivered. Where changes have been agreed, check that they do not compromise the original strategy
- Confirm that the necessary structures and resources for ongoing delivery of services are in place
- Identify any outstanding issues and activities and make sure there are plans in place to ensure they are resolved in a timely manner

- Identify any lessons learnt for following phases of the programme and confirm actions are in place to implement any changes in approach
- Confirm plans, resources and governance are in place for the next phase of the programme
- Evaluate actions taken to implement recommendations made in any earlier reviews and audits