	Business & Transformation Scrutiny Panel	Agenda Item: A.5
CARLISLE CITY COUNCIL www.carlisle.gov.uk		

Meeting Date:	5th December 2017
Portfolio:	CROSS CUTTING
Key Decision:	No
Within Policy and Budget Framework	YES
Public / Private	Public

Title:	CORPORATE PROJECT STATUS REPORT
Report of:	TOWN CLERK & CHIEF EXECUTIVE
Report Number:	CE 15/17

Purpose / Summary:

Members will be aware that the Transformation Board has now subsumed the work of the Corporate Programme Board.

Its role is to ensure that there are effective governance arrangements in place for the projects that the Council undertakes. This report provides an update on the work of the Transformation Board and projects currently being undertaken in the Council.

Other work currently underway includes the refresh of the Council's Project Managers' Handbook. This sets out the corporate standards and methodology for project management in the Council. It is attached to this report at Appendix Three for comment and input by this Panel before being finalised. This describes how, for example, we wish business cases to be developed, project risk to be managed and set out how project governance and accountability must be addressed.

Recommendations:

The Panel is asked to note and comment on the most recent summary of projects and governance arrangements in place as contained in Appendix One, and the actions being taken to support projects with issues. At Appendix Two is a summary of the standalone IT projects and their current status.

1.   BACKGROUND

1.1   The Transformation Board has a high level advisory and monitoring role in relation to the projects delivered by Carlisle City Council. As requested by the Panel, a six monthly progress update on projects has been provided by the Transformation Board.

2.   PROPOSALS

2.1   Project progress in the last six months

A summary of the status of current projects within the Council is detailed in Appendix 1. This contains a summary of current project status. The majority of Council projects are progressing to schedule. Those that have issues are indicated with an amber rating, indicating that there are some issues which require attention. There are no projects experiencing major issues, which would have required a red rating.

The key achievements and achievements per project in the last six months are set out below:

Local Plan

As reported to Members in June 2017, the Project was considered complete, following adoption of the Local Plan by full Council on 8th November 2016. A project closure notification report was submitted and approved and this is now removed from the Corporate Project Status report.

Public Realm Improvements

The amber rating against this project is owing to delays due to the need for further consultation, which is now complete. It is anticipated that the next period of project activity will see the installation of the phase one signage.

Durranhill Industrial Estate – Environmental Improvements

The onsite works which have resulted in the regeneration of Durranhill Industrial Estate are complete. The only element of the project which remains outstanding is the reconciliation of the final accounts. It is anticipated that this will complete within the next period.

Rethinking Waste

A request was received to close this project. The service changes arising from this project have been implemented, are well embedded across the teams concerned and are now deemed to be business as usual. The request for project closure was approved at the October meeting of the Transformation Board.

E-Purchasing/Ledger Update

This project is rated as amber owing to a delay in the anticipated date of rollout. Some significant progress has been made however, including the update of software installed on servers. It is anticipated that the next period will see the implementation of the E-purchasing system across the authority which will streamline the ordering of goods and services.

Digital Information Services projects

Appendix Two sets out the current status of individual projects.

Public Realm Caldewgate

This project refers to the Section 106 money from Sainsbury's to improve hard landscaping in Caldewgate and the installation of the Cracker Packer statue. This project is progressing to schedule and within budget and the intention is to unveil the statue on International Women's Day on 8th March 2018.

At its October meeting the Transformation Board agreed this would be removed from the Corporate Project Status report.

Crindledyke Cycleway

Phase 1 of this project was completed both within schedule and budget. Some significant progress has been made within Phase 2 of the project including finalisation of design. There is a requirement to resubmit planning permission for

Phase 2 due to alteration in line of the path following a safety audit. Despite this the project has a green RAG rating and there are no significant risks identified at present.

Asset Recovery Programme

The recovery works programme for the Civic Centre, Bitts Park lodge and Adriano's restaurant is on-going. Many of the Council's flood affected property assets are now fully reinstated.

Castleway Crossing

The Castleway Crossing project is now considered complete and a request to close the project was received. This request was approved at the October meeting of the Transformation Board. A project closure notification report was received setting out lessons learnt from the project.

Affordable Housing Programme – this is now classed as business as usual and as such has been removed from the Corporate Project Status report.

European General Data Protection Regulation (GDPR)

This project has been subject to a full risk assessment and these risks are monitored and reviewed via the operational risk register within Governance & Regulatory Services.

Workshops have taken place with managers across the Council to raise awareness of the implications of GDPR for the City Council. The project is progressing to schedule and no significant risks are posed at this time.

Carlisle South Masterplan (now titled Carlisle South Masterplan- St Cuthbert's Garden Village)

It was agreed at the October meeting of the Transformation Board that this project be retitled "Carlisle South Masterplan - St Cuthbert's Garden Village". The project is currently progressing to schedule. Project risks continue to be monitored and reviewed. Work is due to commence on establishing a robust communications plan and a strategy for the delivery of the Garden Village

Community Infrastructure Levy

At the October meeting of the Transformation Board a request to remove the project from the corporate report was received and approved. The rationale for this was that a full assessment is required of the potential movement from the Community Infrastructure Levy to the Local Infrastructure Tariff and how Carlisle City Council can obtain best value from it.

3.   CONSULTATION

3.1   The Transformation Board met on 12th October and considered the Project Status report at this meeting.

4.   CONCLUSION AND REASONS FOR RECOMMENDATIONS

4.1   The Panel is asked to note the most recent summary of projects, as contained within Appendix 1 and 2 and the actions being taken to progress projects.

5.   CONTRIBUTION TO THE CARLISLE PLAN PRIORITIES

The Transformation Board works to ensure quality assurance, alignment to key objectives and sound risk management arrangements in the delivery of the Carlisle Plan**.**

Contact Officer: **Jason Gooding**   **Ext: 7001**

Appendices   Appendix One: Corporate Project Status report
attached to report: Appendix Two: ICT Project Status report
Appendix Three: Draft Project Manager's Handbook

Note: in compliance with section 100d of the Local Government (Access to Information) Act 1985 the report has been prepared in part from the following papers:

Corporate Programme Board   Project status report September 2017

Key to Status
Red   Overdue; Significant issues
Amber Some issues
Green   On schedule; In progress

	Project Title and Description	Project Manager	Directorate	Recent project activity	RAG status	Issues and Emerging risks	Key activities for next period (Inc. mtgs where project is to be considered)	Requests for change
1	**Public Realm Improvements** Develop and deliver a programme of public realm improvements in key areas of the City; Phase 1 Development of a comprehensive signage and interpretation package. Phase 2 - Public Realm interventions including cultural trails.	Zoe Sutton	Economic Development	5th September 2017 • Project delayed due to the need for further consultation which is now complete • Information Hub design signed off • Final amendments to the installation pack being made including installation programme. • Purchase order pending		None	• Install signage Phase 1	
2	**Durranhill Industrial Estate - Environmental improvements** Regeneration of Durranhill Industrial Estate. Funding has been secured from Cumbria LEP (£2m) to improve the road infrastructure on the estate. The Homes & Communities Agency funding (£225,000), will enable environmental improvements to be undertaken to assist with the disposal of the former Border TV site acquired through funding received from the former North West Development Agency (£1.8m).	Zoe Sutton	Economic Development	7th September 2017 • On site works complete • Currently undertaking final account reconciliation		None	• Complete final account reconciliation.	
3	**E-Purchasing / Ledger upgrade** The project will implement E-purchasing throughout the authority which will streamline the ordering of goods and services and streamline with payment of invoices. The web enabled Financials Ledger system front end is required to utilise automatic alerts and process information through system workflow. This will also allow further system enhancements to be undertaken in the future, such as the Civica Fixed Asset module, transparency reporting module and e-budgeting and contract management.	Steven Tickner	Corporate Support and Resources	September 2017 Software installed on servers and system upgraded to latest version. Client software installed on test pc and interface testing in progress. Detailed project plan being developed with assistance from Civica			Testing and interfaces and implementation	
4	**Digital Information Services projects** Standalone projects Security strategy projects IT strategy projects	Michael Scott	Corporate Support and Resources	See separate document detailing individual projects dated May 2017				

5	**Crindledyke Cycleway**
	Construction of part of the proposed Connect2 Kingmoor - Caldew cycleway along the former Waverly line between Kingmoor and Carlisle city centre (Eden Bridge). S106 funding £281,000.
	The planning agreement specifies that the funding must be spent within 5 years of receipt of the money (26/07/2013).
		Luke Leathers	Community Services	30th August 2017
				• Phase 1 (Lowry Hill to Kingmoor Park) was completed on time and to budget
				• Phase 2 (Lowry Hill to Belah):
				   o Design finalised
				   o Cumbria County Council have agreed to adopt the surfacing (but not the lighting – the City currently maintains the lighting for most of the section and the new LED lighting will be cheaper to maintain)
				   o Due to be tendered in September and completed by Christmas
				   o
						13th September 2017
						Requirement to re-submit planning permission for Phase 2 due to alterations in line of path following safety audit and changes to lighting
							• Tender Phase 2	

6	**Asset Recovery Programme**
	To recover the Council's flood-affected services through the reinstatement of property assets, in the most cost effective, resilient, and timely way, having regard to the resources available and identified priorities.
	
	Significant redesign projects will report to CPB.
	Other projects by exception only.
		Darren Crossley	Community Services	November 2017
				• Recovery works programme is ongoing. Completed buildings are:
				   - Old Fire Station
				   - Warwick Street residential properties
				   - Shaddongate Resource Centre
				   - John Street Homelessness Accommodation
				   - Botcherby Community Centre
				   - Stoney Holme Golf Course
						Key issues:
						
						• Issues relating to building completion are being managed via the contract administrator for Adrianos,
						• Design of the Civic Centre is now well underway with final (pre-tender costs) now being calculated to enable a		

Corporate Programme Board   Project status report September 2017

Key to Status
Red   Overdue; Significant issues
Amber   Some issues
Green   On schedule; In progress

	Project Title and Description	Project Manager	Directorate	Recent project activity	RAG status	Issues and Emerging risks	Key activities for next period (Inc. mtgs where project is to be considered)	Requests for change
				• Buildings still under construction: - Sheepmount Athletics and Football (contract awarded to Thomas Armstrong works start delayed to accommodate athletics club request) now in works phase and on schedule for completion early new year. - Adrianos restaurant (delayed opening due to contractor kitchen design issues. Now being rectified with a new contractor) • Buildings in design phase - Civic Centre (insurance settlement agreed and initial design underway) - Bitts Park Lodge, Depot and Pavilion (new design for Lodge extension now being developed)	Amber	• Council decision early 2018 • Design for Bitts Park Lodge is also now close to completion with full pre-tender costs being developed.		
7	**European General Data Protection Regulation (GDPR)** The European General Data Protection Regulation (GDPR) is a major refresh of data protection law which will apply to the UK whether or not it leaves the EU. The council will need to comply with the new law and **be able to evidence** that it complies.	Clare Liddle	Governance and Regulatory Services	1 September 2017 • Initial risk assessment undertaken • Job description drafted for Data Protection Officer/Information Governance Manager • Meetings arranged with managers to go through what GDPR will mean for their service areas	Green	Lack of resources Lack of corporate buy in Inability to recruit Data Protection Officer	• Ongoing information audit • Recruitment process for Data Protection Officer • Portfolio holder briefing/slot at JMT • Discussion with other local councils	
8	**St Cuthbert's Garden Village - Carlisle South Masterplan** Delivery of a Garden Village to meet future housing and employment related development needs in addition to the necessary supporting infrastructure including a new strategic link road.	Garry Legg	Economic Development	13 November 2017 Funding bid for GV 2017/18 capacity funding submitted on 21st Aug. Decision expected in Nov. HIF bid for CSLR submitted. HYAS advisory support role extended until 31st March 2018. Part 1 Masterplanning Procurement no awarded to Gillespies supported by Hemmingway Design. Draft communications strategy shared with Strategic Board and members and subject to ongoing refinement. Aecom appointed to undertake Sustainability Appraisal. New and dedicated website under development. DCLG visited the City and met with officers on 7th November to discuss potential future support around delivery.	Green	Inclusion within the Government's Locally Led Garden Village programme necessitates an adjustment of time scales and scope of the project i.e. now much more than just a 'planning' exercise. Overall however these are positive issues. Project risks continue to be monitored and reviewed. No risk warrants being reported at the current time.	Four emerging strands: Planning; Masterplanning; Southern Link Road; Delivery. Progression of Part 1 Masterplanning will be focus moving forward. Communications Strategy to be finalised and new website launched.	

ICT Services Programme and Project Status Report

Technology Strategy Projects

Programme	Programme Manager	Project	Reference	Sub-Project	Senior Supplier	Project Manager	Progress Status	RAG Status	Description	Comment	Target Completion Date	Predecessor(s)	Dependant(s)
Office 365	MS	Windows and Office Upgrades	P0006	Create Windows 10 deployment environment	DS	CL	In-progress	🟢	Need a Windows 10 deployment environment as new devices no longer supporting Windows 7	Scoping exercise with Risual	Mar.-2018		
		Active Direction Upgrade	P0010	AD Health check and migration to a 2016 Forest	DS	CL	In-progress	🟢	Need to look at upgrading our 2003 Domain to a 2016 AD forest	Scoping exercise with Risual	Sep.-2017		
			P0011	ADFS Environment in Azure	DS	MS	In-progress	🟢	Have a hosted AD server in azure that Office 365 authenticates against so we aren't reliant on datacentre Domain controller	Building and testing underway	Dec.-2017		
		Implement Office 365 Services	P0012	Migrate to OneDrive for Business	DS	CL	In-progress	🟢	Migrate the contents of user's H: and K: drives to Microsoft's hosted file storage service.	Development of technical infrastructure design underway.	Mar.-2018		
			P0013	Implement Yammer	DS	CL	In-progress	🟢	Implement Yammer (internal social network) and Skype for Business (telephone/video calls and conferences.	Development of technical infrastructure design underway.	Mar.-2018		
			P0014	Implement Skype for Business	DS	CL	In-progress	🟢		Development of technical infrastructure design underway.	Mar.-2018		
			P0015	Implement SharePoint Online	DS	CL	In-progress	🟢	Migrate the Intranet and Project Portal to Microsoft's hosted service.	Development of technical infrastructure design underway.	Mar.-2018		
			P0016	Implement Office 365 Tools	DS	CL	In-progress	🟢	Implement Sway, Delve, Flow, PowerApps, etc.	Development of technical infrastructure design underway.	Mar.-2018		
Cloud Services		Document Classification and Control	P0018	Implement Digital Rights Management	DS	CL	Not Started	N/A	Implement a service to control the distribution and management of user's documents.	Development of technical infrastructure design underway.	Mar.-2018		
		User Identification and Authentication	P0019	Dual Factor Authentication	DS	CL	Not Started	N/A	Implement Dual Factor Authentication into office 365		Mar.-2018		
		End Point Security	P0020	Implement Enterprise Mobility Suite	DS	CL	In-progress	🟢	Ensure all devices connected to our network meet a minimum security standard.	Rescheduled to early next year to allow for completion of policy review so as to be able to implement any new requirements.	Mar.-2018		
Cloud Hosting	CL	Application Delivery	P0023	Implement application delivery solution	DS	MS	Not Started	N/A			Dec.-2017		
		Application Hosting	P0024	Personnel/HR Applications	MK	CL	Not Started	N/A	Migrate personnel/HR applications to chosen platform.		May.-2018		
			P0025	Planning Applications	MK	CL	Not Started	N/A	Migrate planning application to chosen platform.		To be agreed		
Salesforce Platform	MS	Implement Core CRM Functions	P0029	Phase 3 of Salesforce Roadmap	MK	CL	In-progress	🟢	Green Spaces and Waste Services are the focus.		Sep.-2017		
			P0030	Garage Database	MK	MS	Not Started	N/A	Develop Salesforce based app for the management of the council garage and fleet of vehicles/equipment.	Business case completed	To be agreed		
Master Data Management	CL	Spatial (GIS)	P0036	Dataset Rationalisation	MS	CL	In-progress	🟢	Rationalise spatial data and introduce processes to manage that data.	options appraised to deliver corporate GIS via cloud services	Oct.-2017		
			P0043	Migrate GIS service to the cloud	CL	CL	Not Started	🟢			Oct.-2017		

Project and Programme Management at Carlisle City Council

Project Managers Handbook

METADATA

Audience	Carlisle City Council
Creator	Policy and Comms
Date Issued	December 2017
Description	Carlisle City Council Project and Programme Management Handbook – provides guidance on project management processes at the City Council
Format	MS Word 2016
Language	English
Publisher	Carlisle City Council www.carlisle.gov.uk
Status	Version 1.2
Subject. Category	Guidance Document
Title	Project and Programme Management Handbook
Contact Officer	Tracey Crilley x7114

www.carlisle.gov.uk

Contents

Part 1: Introduction

Purpose of this handbook

The purpose of this handbook is to advise project managers at the City Council of project management processes to be followed in progressing projects.

It is designed for both new and experienced project managers and also as a reference to project management processes and tools at the City Council.

It contains key questions to ask yourself as project manager when setting up and delivering a project. Templates to use are also available.

Definitions

A **project** as a 'temporary organisation that is created for the purpose of delivering one or more business products according to an agreed business case'.

Project management as the 'planning, delegating, monitoring and control of all aspects of the project, and the motivation of those involved, to achieve the project objectives within the expected performance targets for time, cost, quality, scope, benefits and risks'.

Programme management as the 'temporary, flexible organisation created to coordinate, direct and oversee the implementation of a set of related projects and activities in order to deliver outcomes and benefits related to the organisation's strategic objectives'.

Source: The Cabinet Office

The benefits of project management

The obvious benefit of using project management principles is the delivery of a successful project.   But there are other benefits -

Reducing risk - All projects usually contain a great deal of risk, uncertainty, and complexity that needs to be managed.

Capturing knowledge - Project management techniques can help capture the knowledge that's gained every time a project is completed, enabling you to learn from it.

Scrutiny and audit - Using project management techniques means that your project will stand up to scrutiny and audit.

Peace of mind - As a project manager you have a lot to think of and do. A way of keeping track of everything is needed and this differentiates it from other activities.

Scoring a project

The City Council uses a risk based approach to assess the level of project management required to run a project.

This is shown in the table below and can be downloaded from the Intranet.

All projects will go through a basic lifecycle and project management process.

All project managers will be required to score their project/initiative against each of the criteria on the following page to ascertain the level of project management required.

Criteria	Score 1	Score 2	Score 3	Score 4	Project score
Cost £	<10,000	10,000 – 50,000	50,000 – 250,000	>250,000	
Timescale in months	<6	6 – 12	12 – 18	>18	
Integration with corporate objectives	No dependency	Contributing to other work that is linked	Direct contribution to a corporate objective	Direct contribution to more than one corporate objective	
Impact on City Council including organisational culture	None or very minimal	Some new business processes and possibly some re-training	Significant re-structure of processes and work areas	Transfer of staff or outsourcing	
Project visibility / Council reputation	Minimal eg. one ward	Wider eg. more than one ward	Authority wide visibility and high reputational risk	County wide visibility and high reputational risk	
Stakeholders	Internal and within single service area	Internal across more than one service area	Mainly external	Internal and external	
Contract complexity	No contracts required	Single contract with known supplier	Multiple contracts with known supplier	Contract(s) with new supplier(s)	
Process complexity	Have done this type of project before many times	Have done this type of project before once or twice	Have done a similar type of project before but not exactly the same	Have not done anything like this before	
				Project total score	

Projects that score below 15

Project Manager to notify the Transformation Board (TB) through the Chief Executive's Office Manager.

Project to be managed at service manager level.

Project requires the appropriate level of approval to proceed.

Use of project management principles (application tailored to size of project)

Documentation

> - How the project is contributing to Council priorities
> - Justification of project
> - List of benefits
> - Details of the budget
> - Analysis of risks
> - Data Protection Impact Assessment (DPIA) if appropriate (privacy impact assessment)
> - Key stage dates on Gantt chart

Use of capital monitoring and project management for monitoring performance

Major issues raised to Transformation Board (by exception)

Notify Transformation Board on completion of project.

Significant projects that score 15 or over

Each project to have it's own project board.

Project sponsor is a member of the Senior Management Team.

Project requires the appropriate level of approval to proceed.

Use of project management principles.

Documentation: Detailed planning is required in the form of a detailed business case and PID. The documentation will be reviewed by the Transformation Board.

Project to be closely monitored by Transformation Board through monthly highlight RAG reports through project management.

Clearly defined management stages on Gantt chart.

Project manager to present benefits realisation to Transformation Board at the appropriate time.

Project Organisation

Always define responsibilities and accountabilities.

Project planning and resourcing is administrated through line management and DMTs.

Project monitoring and assurance for projects scoring below 15 will be the responsibility of the relevant Economic Growth, Health & Wellbeing and Business & Management Boards. Smaller projects may not require a formal project board.

Projects scoring 15 or above will also be reported to Transformation Board for project assurance. These projects will form the basis for the reporting of corporate programme to O&S and Audit Cttee.

Project Board

Individual project boards are set up for significant projects. A project board will generally consist of the project sponsor and representatives of those delivering the project and those who will eventually use the project 'product'. The project board will provide direction, approve the plans, authorise the project budget and provide approval for change.

Project sponsor

The project sponsor is responsible for the business case and success of the project. This role is usually performed by a member of the Senior Management Team.

Project manager

The project manager focuses on the day to day management of the project. They will run the project within the constraints of the business case.

Part 2 Project Life Cycle

Carlisle City Council Project Lifecycle

Pre-Project Stage		Approval Stage		Initiation Stage		Delivery Stage		Closure Stage

Proposal from Members or Directorates.

Develop Business Case:
Proj Score <15 Light BC
Proj Score >15 Detailed BC

Consideration by SMT/JMT/LTB

Project sponsor to approve project

Project to be approved by
- SMT?
- Executive?
- Full Council?

Financial approval

Approve project

Planning process:
- Project plan for light BC
- PID for detailed BC
- Prioritisation of project
- Link to Resource Pool and Master Programme Plan

Agree project plan

Delivery of project
Agreed project monitoring

Agree closure

Project review
Lessons learned

Finance Management

Quality Management

Risk Management

Issue and Change Management

Dependency Management

Benefits Management

Stakeholder Management

Project stages

A project will be broken down into stages as described below. Each stage has a specific aim and can be broken down into further, particularly in the case of larger projects.

The first 2 stages involve getting the project right before it starts.

Pre-project stage

This is the start up stage - the initial idea formulation.

- Starting a project
- Having an idea
- Meeting Council objectives
- Delivering the Carlisle Plan
- Identify sustainable funding solutions (Funding Strategy)

At Carlisle City Council there are a number of different projects

> Projects that will deliver the objectives on the Carlisle Plan (The Carlisle Plan is available to view on the Intranet)
> Projects to deliver transformation of the Council eg. Smarter Service Delivery
> Other projects eg. some IT projects

Day to day tasks involved in running operational services are not projects.

- ❖ Does the proposal help to deliver the Council's key objectives?
- ❖ Transform the idea into a business case
- ❖ Score the project – what level of project management is needed?

Business case (light and detailed)

The business case defines the project.

It's the what, why and when of the project

and is the written document against which the project can be gauged.

It focuses on what the objectives of the project are.

It defines the deliverables in quantified terms.

A business case template is available (see the Appendix) and can be downloaded from the Council's Intranet. The level of detail required will depend on the significance of the project (project score). For projects that score less than 15, a light business case is usually sufficient. For projects scoring 15 or over, more detailed information is required (detailed business case template).

Notify the Transformation Board of the project.

The content of the business case includes the following:

- a detailed account of the project objectives
- an appraisal of the options
- the expected benefits of the project
- the impact on corporate priorities and service standards
- the impact on data protection and privacy
- the proposed timetable
- the input required from other teams/external parties
- a financial appraisal
- a risk assessment
- a summary investment appraisal

Project approval

Who needs to approve the project?

For projects NOT within the Budget and Policy Framework

A Director can approve a maximum of £35,000 from any one budget head per annum without the approval of the Executive or Council.

Executive can approve a project in excess of £35,000.

Full Council approval is required for projects in excess of £70,000 and for any additional use of reserves (regardless of the value)

Note that the Council's scheme of virement needs to be adhered to.

For projects within the Budget and Policy Framework (Budget approved)

This will depend on the delegation when the budget was approved.

Officer Decision Notices

Once a project has been formally approved, an officer may have delegated authority to make a decision. In this instance, an Officer Decision Notice must be completed. The delegated authority would be set out in a separate document signed by the officer sub-delegating the authority. This may just be a memo or note.

Initiation stage

Develop all the relevant information to get the project off the ground.

> ➢ Project Initiation Documentation for a detailed project or project plan for a light project.

This phase of the project should define the specific requirements and actions to complete the project including defining tasks, resources and team members.

Refine the scope of the project to meet the required result.

Identify the needs of resources and timescale to meet the required result.

List the tasks and activities that are required to achieve the project goals.

Group the tasks in the best manner to "break the project down" into manageable elements (workstreams).

Sequence the tasks so that they occur in the required relationship and are also phased to complete the project in the best time.

Develop a workable schedule with an associated plan that can be used by the team (on Gantt Chart).

Assign 'staff' resources to the relevant tasks.

Obtain approval from all resources or their managers that they will be available at the required times to carry out the tasks.

Develop a budget for the project.

Get the plan and the associated budget approved and signed off by all appropriate stakeholders.

Get sign up to the plan by the project team.

PID and Project Plan

The Project Initiation Documentation (PID) is the how and when (in detail) and who of the project.

It is the practical solution and contains the detail needed to run the project, providing more detailed information of the Who, When and How of the project.

The PID contains the following:

- outline business case
- project definition
- project plan
- organisation - roles and responsibilities
- project tolerances
- project controls
- resource requirements
- project costs
- project quality
- communication plan
- risk management - this should use the standard risk register template
- Data Protection Impact Assessment

This information does not necessarily need to be provided in one document. It can be contained in a number of documents.

Using a project plan template

Structure the project plan as on the template. This can be varied as appropriate. Some of these tasks can be set as milestones eg. Naming the project manager and project sponsor. The majority of tasks require a duration.

Stage / Task
Project Name
Pre-project
Project lifecycle and handbook
Named project sponsor
Named project manager
Score project
Business case preparation
Project approval
Initiation
Full project plan / PID
Delivery
Dummy stage
Dummy task
Dummy stage
Dummy task
Dummy stage
Dummy task
Dummy stage
Dummy task
Dummy stage
Dummy task
Dummy stage
Dummy task
Closure
Planned closure
Lessons learned report

Delivery stage

Delivery of the project to the agreed project plan.

During this phase the project manager should monitor progress to the plan. It will be up to the project manager to initiate corrective actions within agreed tolerance levels to bring the project back onto plan if and when slippage occurs. Any issues outside of the agreed tolerances will need escalating to the Project Sponsor or as initially agreed.

Any problems need to be identified at the earliest stage possible. This way contingencies can be put in place to minimise the effect of any issues that arise.

During the life of the project frequent and timely reviews need to be built in to monitor progress.

Highlight reports

This is a report used to communicate key pieces of project information, providing at-a-glance status of the project.

Red / Amber / Green (RAG) or traffic lights system immediately signals the current status

> Green status – no issues, project is progressing to project plan

> Amber status – some issues

> Red status – significant issues

Highlight reports can be communicated by varying means depending on the size and significance of the project. How progress is to be reported is decided at the planning stage.

For projects that score below 15 highlight reports may not be required. Any issues would be reported by exception and project progress assumed to be progressing to schedule and budget.

For projects that score 15 or over closer monitoring is required through monthly highlight reports sent to the project sponsor, team manager and Transformation Board. This can be communicated by email. This will provide a summary of the key achievements in that reporting period, RAG rating, any issues and how these are being progressed, emerging risks and any requests for change. Information on how to use the template can be found on the Council's Intranet E-library under Project and Risk Management.

Highlight report is also available in MS Word format (in the appendix). This can be downloaded from the Council's Intranet.

Project closure and lessons learnt report

Closing a project ensures that the project has a distinct endpoint rather than drifting into operational management.

Project closure is when the project's outputs are formally handed over to the support organisation or business-as-usual. The project outputs enable the organisation to realise the benefits that were the reason the project was undertaken in the first place. The process of transforming business-as-usual or implementing the new capability is when the benefits can be realised. The responsibility for benefit realisation should be allocated to those who can actually make the change happen.

Complete a Lessons Learned Report describing the lessons learned (good and bad) during the project

Records management and retention schedule

The records of a project and retention schedule will be managed in accordance with the Records Management Policy. The Chief Executive's Office will advise the Project Manager on the templates available and good practice.

Part 3: Project management processes

Part 3 of the handbook focusses on project management processes that apply to all projects. Use of these should be tailored according to the scale, nature and complexity of the project.

Finance Management

Quality Management

Risk Management

Issue and Change Management

Dependency Management

Benefits Management

Stakeholder Management

Finance Management

Prior to the commencment of any project, the following financial areas should be addressed:

- The purchase/implementation costs of the project should be determined including the split between capital and revenue expenditure.
- Any ongoing revenue implications e.g. additional recurring expenditure requirements or additional income generation should be identified.
- Identify sustainable solutions for the project (Funding Strategy)

Identification of the above will enable the budget requirements to be established for the project initially, and any recurring requirements going forward. This will allow the sources and amount of funding required to be identified and sourced.

To establish the budgets for the project, the Council's scheme of virement will need to be adhered to:

- A maximum of £35,000 from any one budget head per annum can be vired without the approval of the Executive or Council.
- A report to Executive is required where virement in excess of £35,000 is required, or to Council for sums in excess of £70,000.
- Any additional use of reserves (regardless of the value) will require approval by Council.
- For any grant funding, procedures should be set up to ensure the terms and conditions of the grant award can be met, and the Council's Grants and External Funding Procedures should be adhered to.

The financial performance of the project will be monitored on a monthly basis as part of the overall budget monitoring of the Council. It is important that accurate expenditure and income profiles are communicated to Finance to ensure that the monitoring information is relevant and accurate.

Other financial areas to consider:

- VAT implications e.g. will this affect the Council's partial exemption calculation?
- Insurance implications e.g. will the project require additional insurance cover?
- Options analysis e.g. have all other options been exhausted and it is proven that this project & method of financing is the best value for the Council?
- External funding procedures are adhered to

For any queries about finance please contact Financial Services.

Quality Management

The Office of Government Commerce (OGC) defines quality as the totality of features and characteristics of the project products. A project product can also be a person, process, service and / or system. So the focus is on producing products fit for purpose.

Identify the products (the 'outputs') and their purpose.

Create a description for each product with quality criteria and expectations.

Define quality checks and acceptance criteria for each product.

Include tasks to create the products in the project plan (including the resource requirements and quality responsibilities).

Include quality check and review tasks in the project plan.

Manage the timely delivery of products.

Manage quality check and review tasks in the project plan.

Review progress of quality and include in highlight reports.

Obtain customer acceptance of each product with customer sign off.

Risk Management

Every project, regardless of size, will have risks and issues associated with doing the project. It is vital that these are recognised and managed to minimise disasters and maximise the chances of success.

Risk is described by the OGC as an uncertain event, or set of events which, should it occur, will have an effect on the achievement of objectives.

The outcome will be either negative or positive, depending on the actions and events that happen.

Risks are classified by two factors:

the likelihood of something happening

and

the impact on the project if the risk should happen.

Have the risks involved in the project been identified and clarified?

Risks associated with the project should be recorded and managed in line with the Council's Risk Management Policy, this is available on the intranet.

Risks may change as the project progresses. So the assessment will need to be updated regularly and any significant changes to these risks or significant new risks should be communicated to the project sponsor and escalated to the Transformation Board.

Issue and Change Management

A project issue is anything that is currently happening that could have an affect on the project. For example, an issue might be a problem or query raised by someone connected with the project, or a request for something to be changed or done differently. Issues are very often the results of risks that were considered earlier, but have now occurred.

- Keeping control of issues and ensuring they are quickly and appropriately dealt with is an important part of managing any project. Similarly to risks, issues should not simply be ignored. Decide at project initiation stage how issues will be logged / what constitutes an issue in that project / how issues will be dealt with / when an issue would need escalating to the project sponsor / project board and Transformation Board.

Types of issues

- Request for change – this is a request for a significant change to the project baseline eg. for something that wasn't planned to be delivered

- Off-specification – something that should be provided by the project and

currently isn't eg. something that's missing or not meeting it's specification

- Problem / concern – this is any other issue that needs to be resolved or escalated.

If the change can be accommodated within tolerance levels, and will add value to the project, the project manager should plan for the change to be accommodated.

Resolving issues

Capture the issue

Examine the issue and assess the impact on the project

Identify options to deal with the issue

Decide what to do about the issue – this may include escalating the issue to the project sponsor / sub SMT boards/ project board (if appropriate) and / or Transformation Board.

Implement corrective action and update plans update relevant project information to reflect the change, for example, the business case, the PID or other information such as the risk register.

A template is available to record and manage issues.

Dependency Management

Dependencies can be:

Between projects reflecting how the projects depend on each other.

Dependencies external to the project / programme but still within the Council.

Dependencies external to the organisation. These are much harder to control.

Benefits Management

Benefits management is all about ensuring that the hard work and investment that's gone into the project gives the greatest possible business return. Projects tend to change over their lifecycles, and even small shifts can produce different results. That's why it's important to focus on the project's benefits, and not just it's timely completion.

Benefits management helps focus to be maintained on why the project was started. And it doesn't stop after the project ends, like traditional project management – it continues until all the benefits are clearly achieved. The same project planning framework can be used as the rest of the project, building in benefit-specific milestones, as well as establishing accountabilities clearly, and setting up appropriate communications systems.

The Cabinet Office describes a benefit as 'the measurable improvement resulting from an outcome perceived as an advantage by one or more stakeholders, which contributes towards one or more organisational objective(s)'.

So, while the success of project management is to deliver on time and on budget, the success of benefits management takes it one step further – to ensure that the initiative delivers the expected results.

Here are the main phases of benefits management:

Identifying the benefits

Identify the likely benefits, aligning with the Council's corporate objectives. This will be carried out early in the project cycle and involve engaging with key stakeholders.

What precisely is the benefit? Benefits are best titled with a change term at the beginning (such as 'increased', 'faster', 'lower', 'cheaper', 'bigger') accompanied by a measurement (such as percent, monetary value etc). Generic terms like 'better' or 'improved' without further details are best avoided, as these terms are not specific enough for further analysis.

When can the benefits be achieved?

How will the benefit be measured?

Plan the benefit realisation

This is a complete view of all the benefits to track the realisation of benefits and set review controls. This could be incorporated into the project and programme plan. The schedule will show when each benefit (and disbenefit) is to be realised, show milestones for benefits reviews and the reporting schedule.

Deliver the benefits

Delivering the benefits involves the transition from the project outcome/s into the realising the benefits. The key focus is the measurement of these benefits. Benefits should always be quantifiable and measurable. Make sure that a baseline measurement of the performance is taking before the project commences so that the baseline is known against which the performance changes are measured.

Review the benefits

Benefits reviews may be time- or event-driven and may occur after the project has finished to ensure that:

Benefits remain achievable

Check benefits remain aligned to Council objectives

Report progress of benefits realisation

Measure performance

Stakeholder Management

A stakeholder is any individual, group or organisation that

- ✓ Can affect
- ✓ Be affected by
- ✓ Perceive to be affected by the project.

Identify and categorise stakeholders

Define commnunication strategy for each stakeholder

Face to face? Highlight reports? Review meetings? Email?

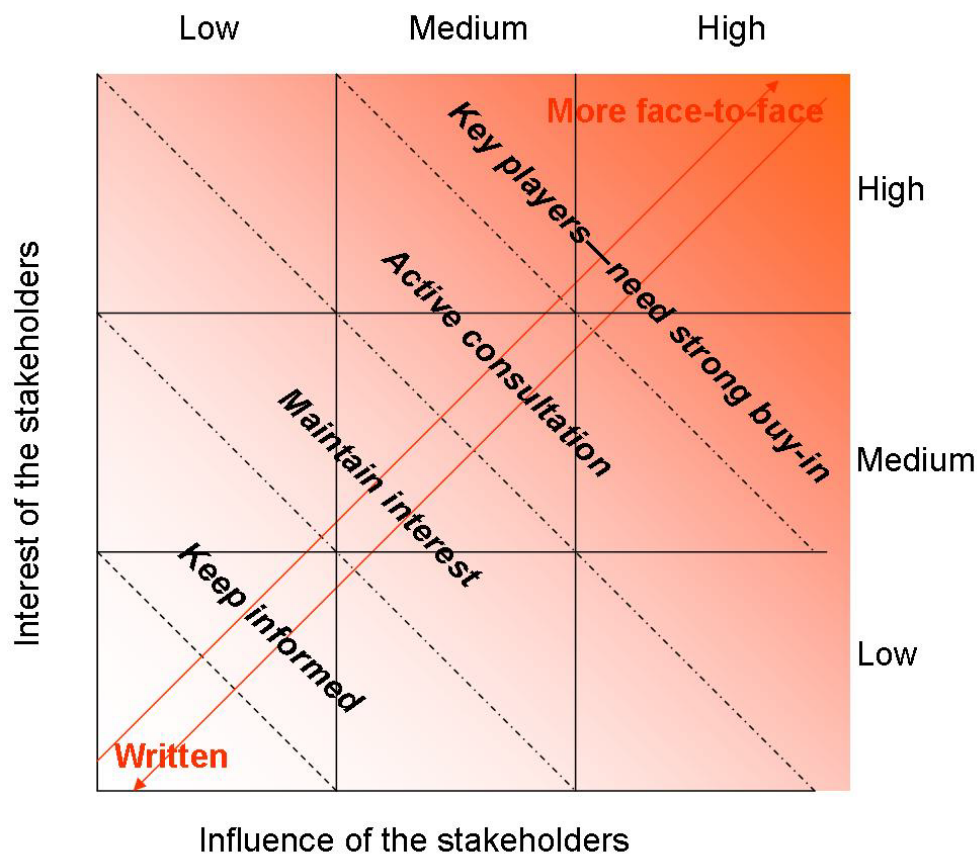### Stakeholder influence / interest matrix

Diagram from Managing Successful Programmes – Best Management Practice

Advise stakeholder of communication strategy

Include communication tasks in the project plan.

Manage the stakeholder engagement tasks in the project plan.

Part 4: Programme Management

Transformation

Chief Executive's Office

Managing programmes

The Transformation (TB) will make decisions regarding the rescheduling / prioritising of projects where bottlenecks are evident and be able to model the impact of new projects on the programme of work. Transformation Board meets 6-8 weekly, is chaired by the Chief Executive, and composed of representatives from each Directorate and supporting services.

The Chief Executive's Office facilitates:

- ➢ Support and training to project managers
- ➢ Regular reports on progress and project issues to TB and BTSP

For more information on Project and Programme Management at the City Council or have any queries, please contact Tracey Crilley, Chief Executive's Office Manager on 01228 817117 or tracey.crilley@carlisle.gov.uk

For more information on Project and Programme Management training opportunities including Microsoft Project, please contact Organisational Development.

Appendix: Templates

Template scoring matrix

Light Business Case

Detailed Business Case

Project Initation Document

Issue Report

Highlight Report

Criteria	Score 1	Score 2	Score 3	Score 4	Project score
Cost £	<10,000	10,000 – 50,000	50,000 – 250,000	>250,000	
Timescale in months	<6	6 – 12	12 – 18	>18	
Integration with corporate objectives	No dependency	Contributing to other work that is linked	Direct contribution to a corporate objective	Direct contribution to more than one corporate objective	
Impact on City Council including organisational culture	None or very minimal	Some new business processes and possibly some re-training	Significant re-structure of processes and work areas	Transfer of staff or outsourcing	
Project visibility / Council reputation	Minimal eg. one ward	Wider eg. more than one ward	Authority wide visibility and high reputational risk	County wide visibility and high reputational risk	
Stakeholders	Internal and within single service area	Internal across more than one service area	Mainly external	Internal and external	
Contract complexity	No contracts required	Single contract with known supplier	Multiple contracts with known supplier	Contract(s) with new supplier(s)	
Process complexity	Have done this type of project before many times	Have done this type of project before once or twice	Have done a similar type of project before but not exactly the same	Have not done anything like this before	
				Project total score	

LIGHT BUSINESS CASE (for projects that score under 15)

[This document is used to inform the Director/SMT and the Transformation Board about the benefits of the project, budget details and analysis of risk. Please attach project score sheet]

Project Name	[What is the name of the project?]
Project Manager	[Who is the Project Manager?]
Directorate / Project Sponsor	[Name of Directorate and Project Sponsor]
Scope of Project	[What are the aims of the project? What will it deliver?]
Justification for the project	[Describe why the project is required/how is it justified?]
How does the project contribute to the Council's key priorities	[Explain how the project enables the achievement of the Council's key objectives?]
Impact on Privacy	[Say whether the project involves information about individuals or would have an impact on their privacy. If so, a Privacy Impact Assessment will be required]
List of benefits	[What are the key benefits of the project? When do you expect them to be realised? How will the benefits be measured?]
Reference to any reports	[Have any reports been circulated regarding this project? Please give report reference number or date of the report]
Proposed Timetable	[Start date, any key stages and anticipated finish date]
Anticipated Budget Required and Funding Source including any grant applications	**Capital** [What are the costs of the project? When are these costs expected to be made? When are invoices expected to be paid? Has Finance been informed?]
	Revenue [Are there any revenue costs in the project?]
	Income generation [Does the project expect to generate income? If so, how much and when is this expected?]
	VAT implications [Are there any VAT implications?]
	Grant and external funding [Has the Council's grant and external funding procedures been adhered to? Specify the Grant/External funding reference number]
Details of possible impact on Council operations or on other project	[Does this project have any impact on the daily operations of the Council or have any implications regarding staff resources? Are there any links/dependencies with any other project that the Council is running?]
Summary of Known Risks	[Give a summary of the key risks associated with the project together with the likely impact and plans should they occur]

Detailed Business Case (for projects that score 15 or over)

The Business Case documents the justification for the undertaking of the project, based on the estimated costs against the anticipated benefits to be gained and offset by any associated risks.

Please delete the text in […] using the information for guidance on completing the form

Project Name	[Insert project name]	
Author of Business Case		
Project Sponsor (Director)		
Project Manager		
Portfolio Holder		
Document/Version Number		Date	

Approvals

Individual or Group	Report number	Date Approved	Comments [Attach additional sheets if necessary]
Service Manager			
Director			
Transformation Board			
SMT			
Executive			
Council			

Executive summary
[Highlight the key points in the Business Case, which should include the benefits and whether the project will be provided by external providers or through in-house arrangements]

Reasons
[Describe the background to the project here. Include any history of events and a brief summary of any current system that is to be replaced. Define the reasons for undertaking the project and explain how the project will enable the achievement of corporate objectives, plans of programmes]

Options
[Provide an analysis of each option considered. Include - Do nothing Do the minimum Do something Explain why the option being presented was chosen]

Expected benefits
[Be specific about the benefits to be gained. When will the benefits be realised? How will they be measured?]

Expected dis-benefits
[What outcomes are perceived as negative?]

Timescale [Indicative timetable for project milestones/ approvals]	Estimated Date & Comments
Earliest/latest feasible start date	
Earliest/latest feasible completion date	
Key dates in implementation programme	
When can Council expect to accrue benefits	

Details of input required from other teams in the Council to deliver the project	
	Involvement Required
Property Services	
Finance	
Procurement	
HR	
ICT	
Legal Services	
Resource Planning	
Other	
Details of Input required from External Bodies e.g. contractors, consultants, service providers, partners	

Impact on Council operations or other project
[Does this project have any impact on the daily operations of the Council or have any implications regarding staff resources? Are there any links/dependencies with any other project that the Council is running?]

Major Risks
[Give a summary of the key risks associated with the project together with the likely impact and plans should they occur]

Impact on Privacy
[Say whether the project involves information about individuals or would have an impact on their privacy. If so a Privacy Impact Assessment will be required]

Investment appraisal
[This part of the business case needs to demonstrate a 'return on investment'. Compare the development, operations and maintenance costs with the value of the benefits over a period of time]

Costs
[Provide a summary of the project costs, the ongoing operations and maintenance costs and their funding arrangements. Add details in columns below]
Grant and external funding
[Has the Council's grant and external funding procedures been adhered to? Specify the Grant/External funding reference number]
VAT implications
[Are there any VAT implications?

Capital Payments	2013/14 £000	2014/15 £000	2015/16 £000	2016/17 £000	2017/18 £000
Total/Gross Capital Cost [A]					
Capital Grants & Contributions					
Total Grants & Contributions [B]					
NET COST TO BE MET FROM CARLISLE RESOURCES [A] – [B]					
Revenue Costs					
Total/Gross Revenue Cost [C]	0 0	0 0			
Income					
Total Revenue Income [D]	0 0	0 0			
NET REVENUE COST TO BE INCLUDED in the BUDGET [C] – [D]					

The purpose of the PID is to define the project, in order to form the basis for its management and an assessment of its overall success. The PID gives the direction and scope of the project.

[PROJECT NAME]

Project Initiation DOCUMENTATION

(PID)

Version:[...eg. Draft, v1.0]
Author: [.....]
Project Manager: [.....]
Project Sponsor: [.....]

Project definition
[Explain what the project needs to achieve. This should include Background Project objectives and desired outcomes Project scope and exclusions Constraints and assumptions The user (s) and any other known interested parties Interfaces]

Project approach
[Define the choice of solution that will be used in the project to deliver the business option selected from the Business Case]

Business Case
[Describe the justification for the project based on estimated costs, risks and benefits]

Project management team structure
[Chart showing who will be involved in the project. What are the roles of the team members]

Quality Management
[What are the quality expectations of the users of the end product of the project? Define any standards or ways of working that need to be met (e.g. ISO standards, quality systems) Who is responsible for delivering and achieving the required quality levels? Who will sign off quality at the end of the project?]

Risk Management
[Describe any known risks, its probability, its potential impact. Explain how each risk will be managed and by

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whom. This should use the standard corporate Risk Register format and can be attached as an appendix.
Please refer to the Council's Risk Management Policy in the Intranet E library for further guidelines]

Communication

[Define the parties interested in the project and the means and frequency of communication between them and the project]

Project controls

[Summarise the project-level controls such as stage boundaries, agreed tolerances, monitoring and reporting]

Project costs

[Please provide a detailed breakdown and description of costs with profile of expenditure – see chart below]
[This should reflect the month or quarter invoices are expected to be paid]
[The breakdown should be realistic and make allowances for agreed time tolerances such as adverse weather conditions]

Description/ Cost code	YEAR	Anticipated Expenditure by Month or Quarter (show multiple years if applicable)											
		Mnth	Mnth	Mnth	Mnth	Mnth	Mnth	Mnth	Mnth	Mnth	Mnth	Mnth	Mnth
		April - June			July – Sept			Oct – Dec			Jan - Mar		

Project plan

[Describe how and when the project's objectives are to be achieved, by showing the major products, activities and resources required on the project. It will provide a baseline against which to monitor the project's progress stage by stage.
The project plan should ideally be kept as a Microsoft Project document]

Issue Report

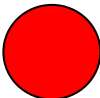| Project Name	
Author	
Date of Report	
Issue type	
Request for change	*What is the type of issue?*
Off-specification	
Problem / concern	
Issue description	*Describe the issue in terms of its cause and details of the impact of the issue on the project / service delivery / resources*
Recommendation	*How should the issue be resolved?* *What are the options?* *What is the preferred option and why?*
Escalation	*Who needs to know about the issue?* *Who is required to make a decision on the issue?*
Issue approved by	*Who made the decision?*
Decision date	*When was the decision made?*

Highlight Report

Please send a copy of report to Project Sponsor, Director and Transformation Board representative.

Project Title	
Project Manager	
Author of Report	
Date of Report	

Reporting period	From		To	

Expenditure Code	
Original Budget	
Remaining Budget	

Key achievements in this period	
Key activities for next period	

RAG rating (to indicate overall status of project) Red (serious issues) Amber (some issues) Green (no issues)	☐ ☐ ☐ Double click on the box and select Checked or Not checked to select rating
What issues, if any, are affecting the project? What options are available / are being taken to progress the project? This includes issues relating to Health and Safety, quality, timescales and finance	
Emerging risks to project success	
Requests for change: Raised, approved / rejected and pending	