

# Business & Transformation Scrutiny Panel

Agenda  
Item:

**A.7**

Meeting Date: 23<sup>rd</sup> July 2020  
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 03 20

## Purpose / Summary:

The City Council's Transformation Board's role is to ensure that there are effective governance arrangements in place for the projects that the Council undertakes. This report provides an update against corporate projects currently being undertaken in the Council.

This report was initially due for consideration by the Business & Transformation Scrutiny Panel at its meeting scheduled for 23<sup>rd</sup> March 2020, which was cancelled owing to the Covid-19 pandemic. As such the narrative contained within the project status report has been updated wherever possible to offer Members with an up to date snapshot.

## 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. Appendix Three is the internal audit report of Project Management, attached for Members' information, as this is referenced within this report.

## **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.

The Corporate Project Status report is now hosted on SharePoint and updates to the report are co-ordinated via this system. The use of this system allows us to access live data; a version history is recorded each time the report is updated; workflows can be configured so that should the status of a project change the Programme Office receive a notification.

A risk-based audit review of Programme & Project Management took place in June 2019 (Appendix Three). The scope of the audit was to provide independent assurance over management's arrangements for ensuring effective governance, risk management and internal controls are in place over the service objectives.

A Management Action Plan has been considered at a recent meeting of the Audit Committee. Audit have contacted the Chief Executive's Office Manager and been provided with an update against each of the actions contained within the action plan.

These actions include the current SharePoint site being enhanced, to act as a central repository for key information relating to individual projects. As well as a revised lessons' learnt report template being approved at a recent meeting of the Transformation Board, which must be completed and reported for all closed projects. Work is underway to ensure that there is a record of "lighter" projects across the authority which will be monitored by the Transformation Board. A full copy of the Audit of Project Management is attached to this report at Appendix Three.

A refresh of the Project Managers' Handbook will be undertaken, templates will be added to include sample risk matrices for projects and lessons' learnt/ project closure forms. Members will be kept updated.

## **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.

There are no additional projects since this report was last considered by the Business & Transformation Scrutiny Panel. Two of the ICT projects have changed in RAG rating since this was last reported, moving from a green RAG status to an amber RAG status.

The Programme Office has received two requests to close projects down, further details are set out below.

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

### **Public Realm Improvements**

The project is currently reporting a green RAG status.

A package of public realm improvement projects for the city centre area have been developed, designed and costed to RIBA 2 stage through the development of the business case for the Future High Street Fund.

The biggest risk to delivery of these projects is their dependency on securing investment from the Future High Street Fund. The final business case is due to be submitted to the Ministry of Housing, Communities & Local Government on 31<sup>st</sup> July 2020. Members will be kept informed.

The City Council continues to work in partnership with Cumbria County Council – in relation to design, costs, delivery and management - as the projects have implications for the highway and County Council assets.

### **E-Purchasing/Ledger Update**

This project is reporting a green RAG status and progress is being made.

Briefing and training sessions for users have been arranged and the importance of attending is pivotal in ensuring the new e-purchasing system achieves its

objectives. Covid-19 has impacted on the extent of the rollout but plans will be put in place by the Summer of 2020 to ensure this rollout is completed

### **Digital Information Services projects**

Appendix Two sets out the current status of individual ICT projects. Two of the projects are showing an amber RAG rating meaning some issues are being experienced which require attention. Further narrative is contained within Appendix Two.

### **Asset Recovery Programme**

This project is progressing and is reporting an amber RAG status, indicating that there are some issues which require attention.

A summary of recent project activity as well as key activities for the next period is set out in Appendix One.

Members will be aware that the Council meeting on 28<sup>th</sup> April 2020 approved the reinstatement of the Ground Floor of the Civic Centre and for works to commence. Contractors are expected on site from mid-July, it is a sixty weeks programme of works and should be completed August 2021. There is budget available to cover the enhanced ground floor reinstatement.

### **European General Data Protection Regulation (GDPR)**

A request has been received from the Project Manager to close this project down. Work is continuing to ensure the implementation of Corporate Governance internal audit recommendations. A lessons' learnt report will be considered at a future meeting of the Transformation Board where approval for its removal from the corporate report will be sought. Members will be kept informed.

### **St Cuthbert's Garden Village**

This project is progressing and is reporting a green RAG status. A summary of recent project activity is set out in Appendix One. Project risks continue to be monitored and reviewed by the Strategic Board and Project Steering Group.

### **Sands Centre Redevelopment**

This project is reporting a green RAG status and is progressing.

The Sands Centre project team continues to meet on a weekly basis where progress, key activities, emerging issues and the projects risk register are discussed and reviewed. The City Council's Deputy Chief Executive is involved in these meetings and ensures updates are received by the Senior Management Team when required.

## **Discover England Fund Year Two**

A request to close this project has been received from the Project Manager. It is felt that project activity has now been delivered. A lessons' learnt report will be considered at a future meeting of the Transformation Board where approval for its removal from the corporate report will be sought. Members will be kept informed.

## **One Public Estate**

This project is reporting a green RAG status. A full summary of recent project activity is set out in Appendix One. Discussions have taken place regarding alternative ways to fund the Programme Management role in order to maintain the momentum of the project. The role is currently being recruited to.

### **3. CONSULTATION**

- 3.1** The Transformation Board will note the version of the Corporate Project Status report at today's scrutiny meeting at its meeting in April.

### **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  
attached to report:** Appendix One: Corporate Project Status report  
Appendix Two: ICT Project Status report  
Appendix Three: Audit of Project Management

**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 JUNE 2020

### 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	Steven Robinson	Economic Development	<p><b>June 2020</b></p> <p>A package of public realm improvement projects for the city centre area have been developed, designed and costed to RIBA 2 stage through the development of the business case for the Future High Street Fund.</p> <p>The City Council continues to work in partnership with Cumbria County Council – in relation to design, costs, delivery and management - as the projects have implications for the highway and County Council assets.</p>		The biggest risk to delivery of these projects is their dependency on securing investment from the Future High Street Fund. The final business case is due to be submitted to the Ministry of Housing, Communities & Local Government on 31 <sup>st</sup> July 2020.	The submission of the final business case is due to be submitted to the Ministry of Housing, Communities & Local Government on 31 <sup>st</sup> July 2020	None
2	E-Purchasing / Ledger upgrade	Steven Tickner	Finance and Resources	<p><b>June 2020</b></p> <p>The project will implement E-purchasing throughout the authority which will streamline the ordering of goods, services and 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 in the future, such as the Civica Fixed Asset module, transparency reporting module and e-budgeting and contract management. Training began prior to COVID-19 for the rollout of the system and plans will be put in place during summer 2020 to finalise the rollout.</p>		Users not booking onto the briefing and training sessions.	Continue roll out to all suppliers. Arrange and provide drop-in sessions to help people get the best from the system and to deal with any issues that arise. Training has begun on the implementation and further rollout will occur between July and November 2020.	None
3	Digital Information Services projects	Christian Lexa	Corporate Support	See separate items detailing individual projects at Appendix Two of this report				
4	Asset Recovery Programme	Darren Crossley	Community Services	<p><b>July 2020</b></p> <p><b>Civic Centre</b></p>		<b>Civic Centre</b> - existing infrastructure issues which may have an impact on the flood reinstatement work;	<b>Civic Centre</b> Support progression of Council report (Council meeting on 28 <sup>th</sup> April) via	None

Corporate Programme Board    Project status report JUNE 2020

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
				<ul style="list-style-type: none"><li>- planning permission for works and demolition granted.</li><li>- Building regulations application submitted.</li><li>- Tender returns and Council report (full Council on 28<sup>th</sup> April 2020) now in circulation</li><li>- Advanced works for Fire Risk assessment, security and access now procured and delivered. Work due to start on site 13/7/20.</li></ul> <p><b>Bitts Park Pavilion and toilet block</b>- now demolished. Awaiting re-connection of meter (COVID-19 issue) in the new kiosk.</p> <p><b>Sheepmount</b> (Upper and Lower buildings). There remains an issue with the pumping equipment and flow rate delivery, on the hot water system. The pumping equipment and non-return valves have been replaced but there still seems to be a concern over water temperature - possibly as a result of lower than anticipated usage. Site currently shut due to COVID-19 restrictions.</p>		Civic Centre - budget available to deal with the enhanced ground floor reinstatement and public realm work; <b>Sheepmount</b> - completion of the reinstatement of the flood damaged areas not covered by the WYG programme of work e.g. stadium earthworks; <b>Sheepmount (Upper and Lower buildings)</b> Continued risks associated with balancing the hot water system.	Executive and Scrutiny. Appoint a contractor and commence the works. <b>Bitts Park Pavilion and toilet block</b> – managed ordered works <b>Sheepmount (Upper and Lower buildings)</b> . Complete the investigation of the hot water system. Engage with GLL to review management practices Deal with outstanding snags	
5	European General Data Protection Regulation (GDPR)	Aaron Linden	Governance and Regulatory Services	<p><b>June 2020</b></p> <p>Attendance at Records Management Course for Information Governance Manager. Close working relationship with ICT to jointly progress records management. Ongoing implementation of Corporate Information Governance internal audit recommendations</p>		Lack of ICT capacity to embed records management across the Council.	See request for change column	Request to close project to then initiate a Records Management Project. Project manager will complete the project closure report and submit to the next meeting of the Transformation Board.



Corporate Programme Board    Project status report JUNE 2020

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
6	St Cuthbert's Garden Village - Carlisle South Masterplan	Jillian Hale/ Helen Jackson	Economic Development	<p><b>June 2020</b></p> <p>Stage 2 Master planning progressing through technical stakeholder consultation towards a final preferred option masterplan framework which is due to be completed by the end of August 2020.</p> <p>Planning application for Carlisle Southern Link Road submitted due to be considered by CuCC in July 2020.. Project specific Grant Determination Agreement for the CSLR Housing Infrastructure Fund grant now received and being reviewed</p> <p>Outline housing delivery strategy agreed with Homes England as part of HIF contracting process. Contact made with MHCLG to register interest in Development Corporation Competition (£10m national pot) to explore the feasibility of different development models and drafting of bid well underway with support from Homes England.</p> <p>Garden Village Local Plan preferred option stage currently being drafted after two rounds of initial consultation. Preferred option consultation due winter 2020.</p> <p>Two supplementary planning documents underway to aid the process should any proposals for early land release in the area come forward in advance of the Local Plan being adopted.</p>		<p>Project risks continue to be monitored and reviewed. A risk register is in place and is actively considered by the Strategic Board and Project Steering Group at their respective meetings.</p> <p>Key risks include:</p> <ul style="list-style-type: none"><li>- the viability of new development with specialist consultants however on-board to assess and ensure viability considerations are influencing the preferred masterplan option.</li><li>- premature development proposals in advance of the completion of master planning and a comprehensive planning framework, with the progression of one or a number of Supplementary Planning Documents identified as a mitigating measure</li><li>- resources available to the project partly mitigated however by the anticipated award of external capacity funding and an increased and recurring MTFP allocation from 2020 onwards.</li></ul>	<ul style="list-style-type: none"><li>- Receipt of draft masterplan framework, infrastructure schedule and design guidance</li><li>- close monitoring of technical assessments including transport modelling and drainage</li><li>- Report to Exec 27<sup>th</sup> May for approval to enter into a Grant Determination agreement with Homes England and CuCC for £102 m of grant funding.</li><li>- outline housing delivery strategy in place drawing on completed interim viability and landowner engagement reports.</li><li>- further, refined understanding of infrastructure needs leading to an updated infrastructure schedule</li><li>- further development of development corporation capacity funding bid including clear programme.</li><li>- Development approach to and programme for preparation and sign of Interim Housing Delivery Strategy to be completed by December 2020.</li></ul>	None

## Corporate Programme Board Project status report JUNE 2020

### 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
7	Sands Centre Redevelopment	Darren Crossley	Community Services	<p><b>July 2020</b> Work has now started on RIBA stage 4B - specialist subcontract design and RIBA Stage 5 - the planning element of the construction phase. The Newman School temporary accommodation has been completed and handed over for a decant. The Events space temporary accommodation is nearing completion.</p> <p>The first phase of the EA flood works (wall strengthening) has also been completed.</p> <p>Asbestos identification and removal in currently taking place in the leisure section of the building. Work is ongoing to de-risk the project price and scope of works. This includes the RAAC plank roof in the main events hall. Planning permission is now in place for all three sites and the Building Regs applications are nearing completion. The F10 notices have been issued for all three sites.</p>		Focus areas include the technical separation of the two halves of the building, asbestos in the existing Sands building, existing services on both sites, archaeological survey on the main site, further survey work on the existing events centre roof structure and completing the contract documentation and lease documents for all areas.	<p>1) Completion of the RIBA Stage 4B design development on the main project. 2) Complete the contract documentation and lease arrangements with the Main Contractor, GLL, NHS, Utilities companies 3) Discharge all pre-construction conditions with the Planning Applications and Building Control Applications 4) Continue dialogue with the Environment Agency to look the impact of their proposals on the Sands Centre construction and occupation phases. 7) Novate the Design Team to the Principal Contractor.</p>	None
8	Discover England Fund Year Two	Debbie Kavanagh	Economic Development	<p>November 2019 (project now complete so no recent update – will be removed from this report once authorised at Transformation Board)</p> <p><b>Outputs / Outcomes achieved as per amplification project plan, grant offer letter and evaluation plan:</b></p> <p><b>Embedding Travel Trade Relationships</b> -we have exceeded our target for trade educationals by 6. In total 5 tour operators are proactively promoting England Originals. AC Tours England Originals product due to launch autumn 2019. We have been advised by all trade partner that the main booking period for US Jan to Mar 2020. <b>Ensuring Trade Readiness</b> –ASTA fam trip postponed to 2020. Over 100 agents have graduated from the England. Originals</p>		The project risk register was reviewed at the last Project Board meeting on 21 October 2019 and closed as the project is now completed.	Final Grant payment received. Project came in in on target with a small surplus which will be utilised as Carlisle City Council's contribution towards round 5 Discover England Fund activity.	Project activity now delivered. Closure of project now requested to be considered at future meeting of Transformation Board.

Corporate Programme Board    Project status report JUNE 2020

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
				<p>academy. Additional promotion of the academy modules to agents is still to be delivered by ASTA. Target of 80 suppliers selling through the platform has been achieved.</p> <p><b>Welcome</b> –<i>text to come from Visit Greenwich</i></p> <p><b>Commencing Consumer Marketing</b> – Facebook and Instagram accounts established</p> <p>6 DMO’s are promoting England Originals via their online presence.</p> <p><b>Press trips</b> –4 journalists have visited (target 3). Coverage is being published on an ongoing basis.</p> <p><b>Influencers</b> –2 influencers have visited and covering (blogs etc) are being published on an ongoing basis.</p> <p>A one day event has been held to showcase England Originals and disseminate information and learning from the project. It was attended by 160 delegates from across the UK and involved case studies from across the country and abroad on the subject of interpretation.</p> <p><b>Project Mgt / Delivery</b> - 1 full partnership meeting was held in June. Two project board meetings have been held.</p>				
9	One Public Estate	Darren Crossley	Community Services	<p><b>June 2020</b></p> <p>The Carlisle City Centre Regeneration Project Strategic Outline Business Case (SOBC) has been approved in principle by MHCLG. A multi-disciplinary consultant has been appointed to develop the OBC with the option for some follow-on work. Digital consultation on the initial options has been completed and the board is now considering the short list of options and addressing some site assembly issues.</p> <p>A Programme Delivery Board has been established to act on behalf of the Cumbria Chief Execs Group to develop, implement and</p>		Current OPE funding has run out but an alternative way to fund the Programme Management role has been secured from the CCEG partners. Recruitment is ongoing to secure a Programme Manager on a 12-month contract through Carlisle City Council.	In addition to the priorities, noted above, key activities for the future OPE programme include: <ul style="list-style-type: none"><li>Engagement with Eden District Council, Cumbria County Council and Cumbria LEP to consider options for Newton Rigg College following the completion of the feasibility study last year.</li><li>Engagement with South Lakeland District Council and the Lake District National Park Authority to provide suitable conference facilities for Lancashire Care and Morecambe Bay NHS Trust in Kendal.</li></ul>	None

Corporate Programme Board    Project status report JUNE 2020

**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
				<p>drive forward all agreed OPE projects. The following OPE projects have been approved as a priority:</p> <ul style="list-style-type: none"><li>• The Co-location of NHS Musculoskeletal (MSK) physios within leisure centres in Penrith and Whitehaven has been postponed due to lockdown and the leisure centres being required as recovery centres. Engagement with the NHS in the south of the county will see the trial of the escape pain programme in Kendal and Ulverston as a first step in building the relationship between GLL and the NHS and a paper has been submitted to the Cabinet Office to consider the roll out of this co-located model on a national level.</li><li>• The development of three acres of land available below the West Cumberland Hospital site for ~50-60 extra care units. NHS have submitted the demolition notice to Copeland and are in the process of dealing with the preparatory issues such as ecology (bats) and services disconnections. They hoped to be starting demolition late summer but that might get pushed back due to the bat activity.</li><li>• The development of 10.2 hectares of adjacent City Council and County Council land available for housing at York Fields in Carlisle. Virtual meetings held separately with Darren and Allan and both agreed that council members and the public would be reluctant to give up this green space used for dog walking etc plus the costs associated with required site remediation may prove prohibitive. Project to be removed from OPE Programme.</li></ul>			<ul style="list-style-type: none"><li>• Engagement with partners in Penrith to consider the development of a Health and Wellbeing campus on the hospital site.</li><li>• Further engagement with partners in Penrith to consider the development of a Welfare hub at Voreda House.</li><li>• Engagement to consider the shared storage requirements for Cumbria Constabulary.</li><li>• Linking in with the bids for the Future High Streets Fund and Town Deals in Allerdale, Barrow, Carlisle and Copeland to inform town centre regeneration in Barrow, Carlisle, Cleator Moor, Maryport, Millom, Whitehaven and Workington.</li><li>• Engagement with Allerdale Borough Council for the development of an office hub in Keswick, community hub in Cockermouth and Discovery Centre in Silloth.</li><li>• Engagement with Carlisle City Council and partners to develop a public service hub following refurbishment of the Civic Centre ground floor.</li><li>• Developing the bid to secure further OPE funding once the next round is announced.</li></ul>	

Corporate Programme Board    Project status report JUNE 2020

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
				<ul style="list-style-type: none"><li>• The development of 5 hectares of land available at Caldew Riverside for some innovative design city living accommodation. This is seen as a high priority and may secure ~£1m in Borderlands funding as the 3<sup>rd</sup> phase of Carlisle City Centre Regeneration.</li><li>• The development of 550-600 new homes in a Marina Village in Barrow. Barrow have been able to value engineer the scheme to around £11.5-12m. They are still in negotiations with Homes England who have hinted that they could offer £7.5m funding towards the project. Barrow have identified potential match funding from both the Town Deal and the LEP. The shortfall may have to come through the phased sale of the plots as they are remediated.</li><li>• The co-location of some NHS back office functions with the County Council at Parkhouse in Carlisle with an expected completion date of the end of July 2020. This will secure £2m in capital receipts and reduce the annual NHS running costs by ~£300k.</li><li>• The development of an early intervention hub at the Town Hall in Barrow is now being included within Barrow’s FHSF SOBC.</li><li>• The relocation of ~2500 people from the Sellafield site in office hubs in Copeland and Allerdale with the potential to develop further co-located “touch down” hubs across the county. Options have been provided and plans are in place for Millom Library and West Cumbria House at Lillyhall. Visit Team Office requirements for a suitable space in Egremont have been shared. Copeland Centre plans are ongoing</li></ul>				

Corporate Programme Board    Project status report JUNE 2020

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
				<div>and space requirements for Voreda House have been discussed.</div> <ul style="list-style-type: none"><li>The relocation of the EA’s flood defence depot from Abbeytown to either Skirsgill at Penrith or Threlkeld. The EA have discussed both flood defence equipment depot options with Cumbria County Council and LDNPA and site visits are required.</li><li>The shared management, maintenance, training and co-location of partners’ green fleet vehicles, which will also consider electric vehicle infrastructure requirements to identify common opportunities and the use of renewable source electricity.</li></ul>				

Corporate Programme Board    ICT Project status report FEBRUARY 2020

**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	<b>Security Incident Event Management (SIEM) Implementation.</b>  Used to monitor/highlight/report all security incidents on servers, client computers, IT infrastructure, office 365.  Identified as a need in Security audits in 2019	David Strong	Resources	<ul style="list-style-type: none"><li>implemented</li></ul>		<ul style="list-style-type: none"><li>None</li></ul>	<ul style="list-style-type: none"><li>Monitored by Softbox</li></ul>	
2	<b>Windows 10 Upgrade from 1709 to 1909</b>  Windows 10 1709 EOL October 2020	David Strong	Resources	<ul style="list-style-type: none"><li>Identifying new features/enhancements of the Windows 10 version and additional security requirements</li><li>Creation of Group policies started for the new version based on NCSC/Microsoft security guidelines</li><li>One Drive migration will be done as part of roll-out</li><li>Upgrade process sequence</li><li>Create Group Policies</li><li>Test</li></ul>		<ul style="list-style-type: none"><li>End of life October 2020. (extended due to Covid19, may be extended further)</li><li>There is a likelihood that Microsoft will still update 1709 beyond this date as older versions are still supported with updates.</li></ul>	<ul style="list-style-type: none"><li>IT Testing of 1909 Enhancements/security</li><li>Upgrade process sequence</li><li>End User testing with Line of Business apps</li><li>Commence roll-out to end users</li></ul>	
3	<b>Remaining Windows 7 clients – 3 remaining clients</b>  Windows 7 EOL 14 <sup>th</sup> January 2020	David Strong	Resources	<ul style="list-style-type: none"><li>Last department (Licensing) migrated to Windows 10 14/3/20</li><li>BACS software transferred to ICT desktops</li><li>Notice given to Community Centres</li></ul>		<ul style="list-style-type: none"><li>Windows 7 is now End of Life (14<sup>th</sup> January) and updates no longer being issued by Microsoft</li><li>Awaiting Mastercard to issue Windows 10 Compliant software before Machines (3) can be upgraded to Windows 10</li></ul>	<ul style="list-style-type: none"><li>Upgrade Chip and Pin Machine (3) dependent on Mastercard</li></ul>	
4	<b>User H Drive to One drive Migration</b>  Move documents newer than 2015 floods to One Drive for access in Office 365. Older documents will be read-only on their H Drive and user can migrate these manually. Once project complete all remaining documents will be archived	David Strong	Resources	<ul style="list-style-type: none"><li>Migration scripts and migration process testing started on ICT Staff</li></ul>		<ul style="list-style-type: none"><li>None</li></ul>	<ul style="list-style-type: none"><li>Continue Testing</li><li>Roll-out to staff will commence as part of Windows 10 Upgrade from 1709 to 1909</li></ul>	
5	<b>Server 2008 Decommission</b>  There are still some corporate systems (9) in operation using Windows Server 2008	David Strong	Resources	<ul style="list-style-type: none"><li>Purchased extended support to cover critical servers</li><li>Revs and Bens migrated to new portal servers</li></ul>		<ul style="list-style-type: none"><li>Server 2008 End of Life 14<sup>th</sup> January 2020 and updates only issued through extended support</li></ul>	<ul style="list-style-type: none"><li>Plans to migrate Corporate Systems to newer servers developed</li><li>Working with Departments/Suppliers on migration plans/costs and ICT Resource requirements</li></ul>	



Corporate Programme Board    ICT Project status report FEBRUARY 2020

**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
--	-------------------------------	-----------------	-------------	-------------------------	------------	---------------------------	--	---------------------

6	<p><b>Intranet move to SharePoint online (office 365) and K Drive document move to SharePoint Sites (Office 365).</b></p> <p>Currently Intranet is on 2008 servers and End of Life.</p> <p>Departmental documents (K Drive) are on 2008 Servers and can't be accessed through Office 365</p>	David Strong	Resources	<ul style="list-style-type: none"><li>Initial meetings held around 2008 Server Decommission as this project is linked and options for way forward</li><li><b>Governance of project moved to Policy and Communications (Feb 2020)</b></li></ul>		<ul style="list-style-type: none"><li>Staff availability in departments to do the migrations</li><li>Lack of Corporate buy-in of Solution</li></ul>	<ul style="list-style-type: none"><li>Corporate buy-in of new solution</li><li>Develop Document classification and retention policies as a base for building the SharePoint/intranet sites</li><li>Identify pilot departments/teams to migrate K drive documents to</li><li>Meeting on Intranet design/proposal – postponed due to Covid</li><li>Pilot document migrations</li></ul>	



# Business & Transformation Scrutiny Panel

Agenda  
Item:

**A.5**

Meeting Date: 26<sup>th</sup> March 2020  
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 03 20

## **Purpose / Summary:**

The City Council's Transformation Board's role is to ensure that there are effective governance arrangements in place for the projects that the Council undertakes. This report provides an update against corporate projects currently being undertaken in the Council.

## **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. Appendix Three is the internal audit report of Project Management, attached for Members' information, as this is referenced within this report.

## **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.

The Corporate Project Status report is now hosted on SharePoint and updates to the report are co-ordinated via this system. The use of this system allows us to access live data; a version history is recorded each time the report is updated; workflows can be configured so that should the status of a project change the Programme Office receive a notification.

A risk-based audit review of Programme & Project Management took place in June 2019 (attached at Appendix Three). The scope of the audit was to provide independent assurance over management's arrangements for ensuring effective governance, risk management and internal controls are in place over the service objectives.

A Management Action Plan has been considered at a recent meeting of the Audit Committee and work is underway to ensure the actions within are addressed within the agreed timescales.

These actions include the current SharePoint site being enhanced, to act as a central repository for key information relating to individual projects. As well as a revised lessons' learnt report template being approved at a recent meeting of the Transformation Board, which must be completed and reported for all closed projects. Work is underway to ensure that there is a record of "lighter" projects across the authority which will be monitored by the Transformation Board. A full copy of the Audit of Project Management is attached to this report at Appendix Three.

A refresh of the Project Managers' Handbook will be undertaken, templates will be added to include sample risk matrices for projects and lessons' learnt/ project closure forms. Members will be kept updated.

## **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.

There are no additional projects since this report was last considered by the Business & Transformation Scrutiny Panel. No projects have changed in RAG rating since this was last reported. The Programme Office has received two requests to close projects down, further details are set out below.

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

#### **Public Realm Improvements**

The project is currently reporting a green RAG status.

A package of city centre public realm improvements have been developed through the business case for the Future High Street Fund.

The biggest risk to the project is that the delivery of the proposed projects is dependent on securing investment from the Future High Street Fund. The draft business case is due to be submitted to the Ministry of Housing, Communities & Local Government on 15<sup>th</sup> March. Members will be kept informed.

The City Council continues to work in partnership with Cumbria County Council regarding concept designs, costings and delivery. Dialogue in this regard remains on-going.

#### **E-Purchasing/Ledger Update**

This project is reporting a green RAG status and progress is being made.

Briefing and training sessions for users have been arranged and the importance of attending is pivotal in ensuring the new e-purchasing system achieves its objectives. There is a planned programme of works to ensure roll out to suppliers continues. Drop in sessions will also be available to all users so that issues can be dealt with and end user testing issues identified and remedied.

### **Digital Information Services projects**

Appendix Two sets out the current status of individual ICT projects. The ICT Management Team meeting weekly with the Chief Executive and any issues being experienced within these priority projects are discussed here.

### **Asset Recovery Programme**

This project is progressing and is reporting an amber RAG status, indicating that there are some issues which require attention.

A summary of recent project activity as well as key activities for the next period is set out in Appendix One.

Members are asked to note that a final report concerning the reinstatement of the Ground Floor of the Civic Centre is due to be considered at a meeting of the full Council on 28<sup>th</sup> April 2020. Advanced works are due to commence in the very near future and should be complete by July 2021. There is budget available to cover the enhanced ground floor reinstatement.

### **European General Data Protection Regulation (GDPR)**

A request has been received from the Project Manager to close this project down. Work is continuing to ensure the implementation of Corporate Governance internal audit recommendations. A lessons' learnt report will be considered at a future meeting of the Transformation Board where approval for its removal from the corporate report will be sought. Members will be kept informed.

### **St Cuthbert's Garden Village**

This project is progressing and is reporting a green RAG status. A summary of recent project activity is set out in Appendix One. Project risks continue to be monitored and reviewed by the Strategic Board and Project Steering Group.

## **Sands Centre Redevelopment**

This project is reporting a green RAG status and is progressing. Work has commenced on the temporary facilities at the former Newman School site and the Sands, these facilities should be in use by May 2020. Demolition and main works are due to start in June 2020.

The Sands Centre project team continues to meet on a weekly basis where progress, key activities, emerging issues and the projects risk register are discussed and reviewed. The City Council's Deputy Chief Executive is involved in these meetings and ensures updates are received by the Senior Management Team when required.

## **Discover England Fund Year Two**

A request to close this project has been received from the Project Manager. It is felt that project activity has now been delivered. A lessons' learnt report will be considered at a future meeting of the Transformation Board where approval for its removal from the corporate report will be sought. Members will be kept informed.

## **One Public Estate**

This project is reporting a green RAG status. A full summary of recent project activity is set out in Appendix One. Discussions have taken place regarding alternative ways to fund the Programme Management role in order to maintain the momentum of the project.

### **3. CONSULTATION**

- 3.1** The Transformation Board will note the version of the Corporate Project Status report at today's scrutiny meeting at its meeting in April.

### **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**

**attached to report:**

Appendix One: Corporate Project Status report

Appendix Two: ICT Project Status report

Appendix Three: Audit of Project Management

**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 FEBRUARY 2020

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	Steven Robinson	Economic Development	February 2020 A package of city centre public realm improvements have been developed through the business case development for the Future High Street Fund. City Council working in partnership with Cumbria County Council regarding concept designs, costings and delivery.		The delivery of the proposed projects is dependent on securing investment from the Future High Street Fund.	The submission of a draft business case to MHCLG on 15th March 2020.	None
2	E-Purchasing / Ledger upgrade	Steven Tickner	Finance and Resources	February 2020 The project will implement E-purchasing throughout the authority which will streamline the ordering of goods, services and 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 in the future, such as the Civica Fixed Asset module, transparency reporting module and e-budgeting and contract management.		Users not booking onto the briefing and training sessions.	Continue roll out to all suppliers. Arrange and provide drop-in sessions to help people get the best from the system and to deal with any issues that arise.	None
3	Digital Information Services projects	Christian Lexa	Corporate Support	See separate items detailing individual projects at Appendix Two of this report				
4	Asset Recovery Programme	Darren Crossley	Community Services	March 2020 <b>Civic Centre</b> <ul style="list-style-type: none"><li>- planning permission for works and demolition granted.</li><li>- Building regulations application submitted.</li><li>- Tender returns and Council report (full Council on 28<sup>th</sup> April 2020) now in circulation</li><li>- Advanced works for Fire Risk assessment, security and access now procured and delivered</li></ul>		<b>Civic Centre</b> - existing infrastructure issues which may have an impact on the flood reinstatement work; Civic Centre - budget available to deal with the enhanced ground floor reinstatement and public realm work; <b>Sheepmount</b> - completion of the reinstatement of the flood damaged areas not covered by the WYG programme of work e.g. the all weather pitch and stadium earthworks; <b>Sheepmount (Upper and Lower buildings)</b>	<b>Civic Centre</b> Support progression of Council report (Council meeting on 28 <sup>th</sup> April) via Executive and Scrutiny. Appoint a contractor and commence the works. <b>Bitts Park Pavilion and toilet block</b> – managed ordered works <b>Sheepmount (Upper and Lower buildings)</b> Complete the investigation of the hot water system. Engage with GLL to review management practices Deal with outstanding snags	None

Corporate Programme Board    Project status report FEBRUARY 2020

**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
				<b>Bitts Park Pavilion and toilet block</b> - orders have been placed to rectify the previously reported electric supply issues <b>Sheepmount</b> (Upper and Lower buildings). The snagging work which forms part of the WYG and TAC work has been completed. There remains an issue with the pumping equipment and flow rate delivery, on the hot water system. The pumping equipment and non-return valves have been replaced but there still seems to be a concern over water temperature - possibly as a result of lower than anticipated usage.		Continued risks associated with balancing the hot water system.		
5	European General Data Protection Regulation (GDPR)	Aaron Linden	Governance and Regulatory Services	February 2020 Attendance at Records Management Course for Information Governance Manager. Close working relationship with ICT to jointly progress records management. Ongoing implementation of Corporate Information Governance internal audit recommendations.		Lack of financial support to procure new system for FOIs and data protection related requests and data breaches. In addition, lack of ICT capacity to embed records management across the Council.	See request for change column	Request to close project to then initiate a Records Management Project. Project manager will complete the project closure report and submit to the next meeting of the Transformation Board.
6	St Cuthbert's Garden Village - Carlisle South Masterplan	Garry Legg	Economic Development	October to December 2019 Stage 2 Master planning progressing well. Engagement on draft options completed with Post Options Report Signed Off. Development of preferred masterplan option commenced and ongoing including a number of technical assessments covering drainage, transport, ecology and visual impact Planning application for Carlisle Southern Link Road submitted oct 2019. Project specific Grant Determination Agreement for the CSLR Housing Infrastructure Fund grant now received and being reviewed Scope of housing delivery strategy agreed with Homes England as part of HIF contracting process. Contact made with MHCLG to		Project risks continue to be monitored and reviewed. A risk register is in place and is actively considered by the Strategic Board and Project Steering Group at their respective meetings. Key risks include: o the viability of new development with specialist consultants however on-board to assess and ensure viability considerations are influencing the preferred masterplan option. o premature development proposals in advance of the completion of master planning and a comprehensive planning framework, with the progression of one or a number of	January – March 2020 · Expected announcement on capacity funding award and agreement on priorities for spending · Stage 2 Master planning preferred option signed off enabling development of a draft masterplan framework for consultation purposes. · Draft outline housing delivery strategy in place drawing on completed interim viability and landowner engagement reports. · Further, refined understanding of infrastructure needs leading to an updated infrastructure schedule.	None



Corporate Programme Board    Project status report FEBRUARY 2020

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
				register interest in Development Corporation Competition (£10m national pot)		Supplementary Planning Documents identified as a mitigating measure o resources available to the project partly mitigated however by the anticipated award of external capacity funding and an increased and recurring MTFP allocation from 2020 onwards.		
7	Sands Centre Redevelopment	Darren Crossley	Community Services	<p>Work has now started on RIBA stage 4B - specialist subcontract design and RIBA Stage 5 - the planning element of the construction phase.</p> <p>The lease on Newman School has now been signed and the contract has been signed.</p> <p>Work is ongoing to de-risk the project price and scope of works.</p> <p>Planning permission is now in place for all three sites and the Building Regs applications are nearing completion. The F10 notices have been issued for all three sites.</p>		Focus areas include the technical separation of the two halves of the building, asbestos in the existing Sands building, existing services on both sites, archaeological survey on the main site, further survey work on the existing events centre roof structure and completing the contract documentation and lease documents for all areas.	1) Completion of the RIBA Stage 4B design development on the main project. 2) Complete the contract documentation and lease arrangements with the Main Contractor, GLL, NHS, Utilities companies 3) Discharge all pre-construction conditions with the Planning Applications and Building Control Applications 4) Continue dialogue with the Environment Agency to look the impact of their proposals on the Sands Centre construction and occupation phases. 7) Novate the Design Team to the Principal Contractor.	None
8	Discover England Fund Year Two	Debbie Kavanagh	Economic Development	<p>November 2019</p> <p><b>Outputs / Outcomes achieved as per amplification project plan, grant offer letter and evaluation plan:</b></p> <p><b>Embedding Travel Trade Relationships</b> -we have exceeded our target for trade educationals by 6. In total 5 tour operators are proactively promoting England Originals. AC Tours England Originals product due to launch autumn 2019. We have been advised by all trade partner that the main booking period for US Jan to Mar 2020.</p>		The project risk register was reviewed at the last Project Board meeting on 21 October 2019 and closed as the project is now completed.	Final Grant payment received. Project came in in on target with a small surplus which will be utilised as Carlisle City Council's contribution towards round 5 Discover England Fund activity.	Project activity now delivered. Closure of project now requested to be considered at future meeting of Transformation Board.

Corporate Programme Board    Project status report FEBRUARY 2020

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
				<p><b>Ensuring Trade Readiness</b> –ASTA fam trip postponed to 2020. Over 100 agents have graduated from the England. Originals academy. Additional promotion of the academy modules to agents is still to be delivered by ASTA. Target of 80 suppliers selling through the platform has been achieved.</p> <p><b>Welcome</b> –<i>text to come from Visit Greenwich</i></p> <p><b>Commencing Consumer Marketing</b> – Facebook and Instagram accounts established 6 DMO’s are promoting England Originals via their online presence.</p> <p><b>Press trips</b> –4 journalists have visited (target 3). Coverage is being published on an ongoing basis.</p> <p><b>Influencers</b> –2 influencers have visited and covering (blogs etc) are being published on an ongoing basis.</p> <p>A one day event has been held to showcase England Originals and disseminate information and learning from the project. It was attended by 160 delegates from across the UK and involved case studies from across the country and abroad on the subject of interpretation.</p> <p><b>Project Mgt / Delivery</b> - 1 full partnership meeting was held in June. Two project board meetings have been held.</p>				
9	One Public Estate	Darren Crossley	Community Services	<p>February 2020</p> <p>The Carlisle City Centre Regeneration Project Strategic Outline Business Case (SOBC) has been approved in principle by MHCLG. A multi-disciplinary consultant has been appointed to develop the OBC with the option for some follow-on work.</p> <p>A Programme Delivery Board has been established to act on behalf of the Cumbria Chief Execs Group to develop, implement and drive forward all agreed OPE projects. The</p>		Current OPE funding may run out before the next round of funding is released. An alternative way to fund the Programme Management role may therefore be required.	In addition to the priorities, noted above, key activities for the future OPE programme include: Engagement with Barrow Borough Council, Cumbria LEP and the University of Cumbria (UoC) to consider the delivery timeline for a UoC campus in Barrow. Engagement with Eden District Council, Cumbria County Council and Cumbria LEP to consider options for Newton Rigg College following the completion of the feasibility study last year. Engagement with South Lakeland District Council and	None

Corporate Programme Board    Project status report FEBRUARY 2020

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
				<p>following OPE projects have been approved as a priority:</p> <p>The Co-location of NHS Musculoskeletal (MSK) physios within leisure centres in Penrith and Whitehaven. Engagement is required to develop this further in the south of the county and a paper has been submitted to the Cabinet Office to consider the roll out of this co-located model on a national level. The development of three acres of land available below the West Cumberland Hospital site for ~50-60 extra care units. The development of 10.2 hectares of adjacent City Council and County Council land available for housing at York Fields in Carlisle. The development of 5 hectares of land available at Caldew Riverside for some innovative design city living accommodation. The development of 450 new homes in a Marina Village in Barrow. The co-location of some NHS back office functions with the County Council at Parkhouse in Carlisle with an expected completion date of March 2020.The development of an early intervention hub at the Town Hall in Barrow. The relocation of ~2500 people from the Sellafield site in office hubs in Copeland and Allerdale with the potential to develop further co-located “touch down” hubs across the county. The relocation of the EA’s flood defence depot from Abbeytown to either Skirsgill at Penrith or Threlkeld. The shared management, maintenance, training and co-location of partners’ green fleet vehicles, which will also consider electric vehicle infrastructure requirements to identify common opportunities and the use of renewable source electricity.</p>			<p>the Lake District National Park Authority to provide suitable conference facilities for Lancashire Care and Morecambe Bay NHS Trust in Kendal. Engagement with partners in Penrith to consider the development of a Health and Wellbeing campus on the hospital site. Further engagement with partners in Penrith to consider the development of a Welfare hub at Voreda House. Engagement to consider the shared storage requirements for Cumbria Constabulary and the NHS. Linking in with the bids for the Future High Streets Fund and Town Deals in Allerdale, Barrow, Carlisle and Copeland to inform town centre regeneration in Barrow, Carlisle, Cleator Moor, Maryport, Millom, Whitehaven and Workington .Engagement with Allerdale Borough Council for the development of an office hub in Keswick, community hub in Cockermouth and Discovery Centre in Silloth. Engagement with Carlisle City Council and partners to develop a public service hub following refurbishment of the Civic Centre ground floor. Developing the bid to secure further OPE funding once the next round is announced.</p>	

Corporate Programme Board    ICT Project status report FEBRUARY 2020

**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	<b>Security Incident Event Management (SIEM) Implementation.</b>  Used to monitor/highlight/report all security incidents on servers, client computers, IT infrastructure, office 365.  Identified as a need in Security audits in 2019	David Strong	Resources	<ul style="list-style-type: none"><li>All servers, Firewall, client computers, server infrastructure, office 365 are now connected and reporting to the solution</li><li>Configuration/Event intelligence learning phase is now underway</li></ul>		<ul style="list-style-type: none"><li>None</li></ul>	<ul style="list-style-type: none"><li>Configuration/Event intelligence learning phase completion by end of March</li><li>Go-live of monitored service in April 2020</li></ul>	
2	<b>Windows 10 Upgrade from 1709 to 1909</b>  Windows 10 1709 EOL 14 <sup>th</sup> April 2020	David Strong	Resources	<ul style="list-style-type: none"><li>Identifying new features/enhancements of the Windows 10 version and additional security requirements</li><li>Creation of Group polices started for the new version based on NCSC/Microsoft security guidelines</li><li>One Drive migration will be done as part of roll-out</li><li>Upgrade process sequence</li></ul>		<ul style="list-style-type: none"><li>Will miss the End of Life deadline with Microsoft of 14<sup>th</sup> April.</li><li>There is a likelihood that Microsoft will still update 1709 beyond this date as older versions are still supported with updates.</li></ul>	<ul style="list-style-type: none"><li>Complete Group Policies</li><li>IT Testing of 1909 Enhancements/security</li><li>Upgrade process sequence</li><li>End User testing with Line of Business apps</li><li>Commence roll-out to end users</li></ul>	
3	<b>Remaining Windows 7 clients – 8 remaining clients</b>  Windows 7 EOL 14 <sup>th</sup> January 2020	David Strong	Resources	<ul style="list-style-type: none"><li>Last department (Licensing) will migrate to Windows 10 14/3/20</li></ul>		<ul style="list-style-type: none"><li>Windows 7 is now End of Life (14<sup>th</sup> January) and updates no longer being issued by Microsoft</li><li>Awaiting Mastercard to issue Windows 10 Compliant software before Machines (3) can be upgraded to Windows 10</li></ul>	<ul style="list-style-type: none"><li>Upgrade Chip and Pin Machine (3) dependent on Mastercard</li><li>Bacs transmission PC upgraded by End of March</li></ul>	
4	<b>User H Drive to One drive Migration</b>  Move documents newer than 2015 floods to One Drive for access in Office 365. Older documents will be read-only on their H Drive and user can migrate these manually. Once project complete all remaining documents will be archived	David Strong	Resources	<ul style="list-style-type: none"><li>Migration scripts and migration process testing started on ICT Staff</li></ul>		<ul style="list-style-type: none"><li>None</li></ul>	<ul style="list-style-type: none"><li>Continue Testing</li><li>Roll-out to staff will commence as part of Windows 10 Upgrade from 1709 to 1909</li></ul>	
5	<b>Server 2008 Decommission</b>  There are still some corporate systems (15) in operation using Windows Server 2008	David Strong	Resources	<ul style="list-style-type: none"><li>Purchased extended support to cover critical servers</li></ul>		<ul style="list-style-type: none"><li>Server 2008 End of Life 14<sup>th</sup> January 2020 and updates only issued through extended support</li></ul>	<ul style="list-style-type: none"><li>Plans to migrate Corporate Systems to newer servers developed</li><li>Working with Departments/Suppliers on migration plans/costs and ICT Resource requirements</li></ul>	

Corporate Programme Board    ICT Project status report FEBRUARY 2020

**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
6	<p><b>Intranet move to SharePoint online (office 365) and K Drive document move to SharePoint Sites (Office 365).</b></p> <p>Currently Intranet is on 2008 servers and End of Life.</p> <p>Departmental documents (K Drive) are on 2008 Servers and can't be accessed through Office 365</p>	David Strong	Resources	<ul style="list-style-type: none"><li>Initial meetings held around 2008 Server Decommission as this project is linked and options for way forward</li></ul>		<ul style="list-style-type: none"><li>Staff availability in departments to do the migrations</li><li>Corporate buy-in of Solution</li></ul>	<ul style="list-style-type: none"><li>Corporate buy-in of new solution</li><li>Develop Document classification and retention policies as a base for building the SharePoint/intranet sites</li><li>Identify pilot departments/teams to migrate K drive documents to</li><li>Meeting on Intranet design/proposal – April 2020</li><li>Pilot document migrations</li></ul>	

# Audit of Project Management

Draft Report Issued: 02 October 2019  
Director Draft Issued: 23 October 2019  
Final Report Issued: 31 October 2019



## Audit Report Distribution

<b>Client Lead:</b>	Chief Executive Office Manager
<b>Chief Officer:</b>	Chief Executive
<b>Others:</b>	Lead ICT Officer
<b>Audit Committee:</b>	The Audit Committee, which is due to be held on 16 September will receive a copy of this report.

*Note: Audit reports should not be circulated wider than the above distribution without the consent of the Designated Head of Internal Audit.*

## 1.0 Background

- 1.1. This report summarises the findings from the audit of Project Management. This was a Council-wide internal audit review included in the 2019/20 risk-based audit plan agreed by the Audit Committee on 18<sup>th</sup> March 2019.
- 1.2 The Council continually participates in various temporary projects (both internal and with partners) designed to either achieve business objectives or improve the delivery of core services.

## 2.0 Audit Approach

### Audit Objectives and Methodology

- 2.1 Compliance with the mandatory Public Sector Internal Audit Standards requires that internal audit activity evaluates the exposures to risks relating to the organisation's governance, operations and information systems.
- 2.2 A risk-based audit approach has been applied which aligns to the five key audit control objectives (see section 4). Detailed findings and recommendations are reported within section 5 of this report.

### Audit Scope and Limitations.

- 2.3 The Client Lead for this review was the Chief Executive Office Manager and the agreed scope was to provide independent assurance over management's arrangements for ensuring effective governance, risk management and internal controls of the following scope areas:
  - The Council enters into unsuitable/unnecessary projects (initiation)
  - Ineffective monitoring of projects due to poor definition and/or failure to establish an effective monitoring framework (monitoring)
  - Council does not achieve continual improvement to project management by failing to measure the success of completed projects (closure)
- 2.4 There were no instances whereby the audit work undertaken was impaired by the availability of information.

## 3.0 Assurance Opinion

- 3.1 Each audit review is given an assurance opinion intended to assist Members and Officers in their assessment of the overall governance, risk management and internal control frameworks in place. There are 4 levels of assurance opinion which may be applied (See **Appendix B** for definitions).
- 3.2 From the areas examined and tested as part of this audit review, we consider the current controls operating within Project Management provide **reasonable assurance**.



*Note: as audit work is restricted by the areas identified in the Audit Scope and is primarily sample based, full coverage of the system and complete assurance cannot be given to an audit area.*

#### 4.0 Summary of Recommendations, Audit Findings and Report Distribution

- 4.1 There are two levels of audit recommendation; the definition for each level is explained in **Appendix C**. Audit recommendations arising from this audit review are summarised below:

Control Objective	High	Medium
<b>1. Management</b> - achievement of the organisation's strategic objectives achieved (see section 5.1)	-	-
<b>2. Regulatory</b> - compliance with laws, regulations, policies, procedures and contracts (see section 5.2)	-	5
<b>3. Information</b> - reliability and integrity of financial and operational information (see section 5.4)		
<b>Total Number of Recommendations</b>	-	5

- 4.2 Management response to the recommendations, including agreed actions, responsible manager and date of implementation are summarised in Appendix A.

#### 4.3 Findings Summary (good practice / areas for improvement):

The Council has strong guidance in place for project management, supported by suitable template documents. An appropriate reporting process is in place to monitor the progress of significant projects.

While the audit identified examples of best practice, there were also a few instances where key documents could not be located, particularly for older projects. It is suggested that the existing SharePoint site is developed to act as a repository for key information – this will provide assurances to senior managers that projects are being delivered in line with policy and will also ensure key documents can be easily located. It would also be beneficial to include a register of smaller projects.

The current process for reporting progress on digital projects should be reviewed to ensure progress reports are more accurate.

#### Comment from the Chief Executive

I thank Audit for this piece of work and look forward to seeing the recommendations implemented.

## **5.0 Audit Findings & Recommendations**

### **5.1 Management – Achievement of the organisation's strategic objectives**

- 5.1.1** The Council has a Project and Programme Management Handbook that provides guidance on how the Council manages projects. The handbook includes a scoring mechanism that dictates the level of scrutiny, documentation and monitoring required, differentiating between minor and significant projects.
- 5.1.2** The handbook specifies the project management process from start to finish and includes template documentation to support project managers, including a Business Case and PID (Project Initiation Document).
- 5.1.3** The guidance is up to date, comprehensive and available to all officers via a dedicated site for Project & Risk Management on the Council's intranet. Additionally, a Projects page has been established as part of the Council's Performance Management SharePoint site.
- 5.1.4** It was noted that the dedicated intranet page also includes out of date documents. It is advised the page is either updated or is wholly replaced by a more developed SharePoint site.
- 5.1.5** Regular training sessions on project management in general is provided on a regular basis as part of the Council's ethical governance training programme.

### **5.2 Regulatory – compliance with laws, regulations, policies, procedures and contracts**

- 5.2.1** A sample of existing projects was reviewed to determine if the process specified in the handbook was being adhered to. It should be noted that the sample was focused on significant projects as there is currently no register of minor projects, making them hard to identify (See below).
- 5.2.2** Adherence to the process was inconsistent, with template documents including business cases, PIDs and risk registers not available for all projects. As a result, it was also not always possible to determine if a suitable scoring and approval process had been adopted for the projects.
- 5.2.3** Project Managers struggled to locate relevant documentation for older projects, particularly when responsibility for the project has changed. It is possible the relevant documentation had been completed at the start of the project, but the lack of availability poses the same risks as if the documents had not been prepared.

- 5.2.4** There were also examples of best practice identified, particularly for newer projects (such as the Low Carbon Carlisle project) and officers interviewed generally showed a strong awareness of the handbook and project management requirements in general.
- 5.2.5** The Council is in the process of developing its use of SharePoint and as previously stated a Projects site has been developed. It would be beneficial to use the site as a central repository for standard project documentation, such as business cases and risk registers.
- 5.2.6** Given the volume of projects undertaken by the Council this would not be onerous and would provide greater assurances that the handbook was being followed. It would also make it easier to locate information should responsibility for the project change.
- 5.2.7** To prevent the site being overcrowded with information, project documentation should be removed from the site and transferred to the responsible service once they have been deemed as complete.

**Recommendation 1 – The Project Management SharePoint site should be enhanced to act as a central repository for key information relating to individual projects.**

- 5.2.8** There is evidence that projects are being suitably monitored; significant projects are managed by dedicated boards, while smaller, internal projects are monitored within individual directorates or teams.
- 5.2.9** The handbook states that a lessons learned report should be completed for all projects once they are closed, to determine what went well and what could be improved. Limited evidence exists that such reports have been completed.

**Recommendation 2 – Lessons learned reports should be completed and reported for all closed projects.**

- 5.2.10** Both Economic Development and ICT Services manage a high volume of projects and have processes in place to monitor progress internally.
- 5.2.11** Economic Development maintain their own register of projects and progress is monitored at Directorate Management Teams and the Economic Growth Board on a regular basis.
- 5.2.12** Projects within ICT Services were initially discussed at a regular projects team meeting. However, due to a combination of absences and vacancies within the team no meeting has taken place since April 2019.

**5.2.13** Projects are still discussed in wider team meetings and monitored using Microsoft Teams, but evidence is limited.

**5.2.14** The ICT Services Manager (subsequently retired) also provided a progress report to the Transformation Board on a quarterly basis. However, the report was discussed with ICT Lead Officers who did not feel the report accurately represented projects being undertaken by the team, with some projects reported as having started not in progress and other ongoing projects not included.

**Recommendation 3 – The reporting process for digital projects should be reviewed to ensure information taken to the Transformation Board is an accurate representation of projects being undertaken.**

**5.2.15** A register of major projects is retained on the Projects SharePoint site, with updates on progress, including any emerging issues

**5.2.16** The Transformation Board also monitors progress of major projects on a quarterly basis, with project managers providing updates on progress, including any emerging issues and key activities going forward. Reports have been issued to the board on a regular and timely basis.

**5.2.17** It was noted that progress for two projects was unchanged for several months; further enquiries identified both projects were currently on hold, though this was not clear in the report.

**Recommendation 4 – Further scrutiny should be applied to projects that have made no progress to determine that they are still active and if they require any additional support.**

**5.2.18** Progress of significant projects is also reported to the Business and Transformation Scrutiny Board on a regular and timely basis.

**5.2.19** The handbook also identifies the Transformation Board should be notified of lighter projects and any issues should be reported to the board by exception. No record is currently maintained of lighter projects, making it difficult to ascertain the extent of projects in place.

**Recommendation 5 – The Transformation Board should be informed of and keep a record of lighter projects**

### **5.3 Information – reliability and integrity of financial and operational information**

**5.3.1** The project handbook was updated following the implementation of GDPR new projects with an impact on personal information are subject to a Data Protection Impact Assessment. No projects were identified in the audit sample that would require this assessment to date.

**5.3.2** There is a risk that this requirement is not considered for all new projects, so it is advised the pro-forma business plan is updated to include consideration of the need for an impact assessment.

## Appendix A – Management Action Plan

Summary of Recommendations and agreed actions					
Recommendations	Priority	Risk Exposure	Agreed Action	Responsible Manager	Implementation Date
Recommendation 1 – The Project Management SharePoint site should be enhanced to act as a central repository for key information relating to individual projects.	Medium	Unavailability of key documentation. Insufficient audit trail of decision-making process.	Links to all key documents relating to corporate level projects to be sourced, uploaded and maintained within the Project Management SharePoint site by the Project Managers  Gaps in availability of key documents to be identified and addressed.	Project Managers	31 March 2020
Recommendation 2 – Lessons learned reports should be completed and reported for all closed projects.	Medium	Failure to apply continuous improvement to future projects.	Requests for projects to be closed will not be considered by the Transformation Board until a lessons learned report is received and noted by the Transformation Board.  Lessons learned report templates will be readily available within the Project Management SharePoint site.	Project Managers.  Consideration at Transformation Board to be facilitated by Chief Executive's Office Manager	31 November 2019

Summary of Recommendations and agreed actions					
Recommendations	Priority	Risk Exposure	Agreed Action	Responsible Manager	Implementation Date
Recommendation 3 – The reporting process for digital projects should be reviewed to ensure information taken to the Transformation Board is an accurate representation of projects being undertaken.	Medium	Decision-making process based on inaccurate information	ICT project status report to be prepared by the ICT Lead Officer responsible for Programme and Project Management.	ICT Lead Officer responsible for Programme & Project Management	31 November 2019
Recommendation 4 – Further scrutiny should be applied to projects that have made no progress to determine that they are still active and if they require any additional support.	Medium	Inadequate progress against achieving projects.	<p>The Transformation Board to review these projects when it considers the Corporate Project status report and determine whether a project is still live based on the narrative contained within.</p> <p>Relevant Project Manager to be notified at this point as to the way forward/ next steps.</p>	Chief Executive's Office Manager	31 November 2019

Summary of Recommendations and agreed actions					
Recommendations	Priority	Risk Exposure	Agreed Action	Responsible Manager	Implementation Date
Recommendation 5 – The Transformation Board should be informed of and keep a record of lighter projects	Medium	Insufficient assurances over project delivery.	<p>The Programme Office (PO) to contact staff asking them to ensure the PO is made aware of those projects across the authority which are live and that have a score of less than 15.</p> <p>The PO will carry out random spot checks of such projects to ensure good governance arrangements are in place and guidance within the Project Managers Handbook is being followed.</p> <p>A list of these “lighter” projects will be hosted and maintained on the Project Management SharePoint site and updated accordingly by the relevant Project Manager.</p> <p>This list of “lighter” projects will be monitored by the Transformation Board and any additions or removals will be reported to this Board.</p> <p>Review and update the Project Manager’s Handbook as required.</p>	Chief Executive’s Office Manager	28 February 2020



## Appendix B - Audit Assurance Opinions

There are four levels of assurance used; these are defined as follows:

	Definition:	Rating Reason
<b>Substantial</b>	There is a sound system of internal control designed to achieve the system objectives and this minimises risk.	<p>The control framework tested are suitable and complete are being consistently applied.</p> <p>Recommendations made relate to minor improvements or tightening of embedded control frameworks.</p>
<b>Reasonable</b>	There is a reasonable system of internal control in place which should ensure system objectives are generally achieved. Some issues have been raised that may result in a degree of unacceptable risk exposure.	<p>Generally good systems of internal control are found to be in place but there are some areas where controls are not effectively applied and/or not sufficiently embedded.</p> <p>Any high graded recommendations would only relate to a limited aspect of the control framework.</p>
<b>Partial</b>	The system of internal control designed to achieve the system objectives is not sufficient. Some areas are satisfactory but there are an unacceptable number of weaknesses that have been identified. The level of non-compliance and / or weaknesses in the system of internal control puts achievement of system objectives at risk.	<p>There is an unsatisfactory level of internal control in place. Controls are not being operated effectively and consistently; this is likely to be evidenced by a significant level of error being identified.</p> <p>High graded recommendations have been made that cover wide ranging aspects of the control environment.</p>
<b>Limited / None</b>	Fundamental weaknesses have been identified in the system of internal control resulting in the control environment being unacceptably weak and this exposes the system objectives to an unacceptable level of risk.	<p>Significant non-existence or non-compliance with basic controls which leaves the system open to error and/or abuse.</p> <p>Control is generally weak/does not exist.</p>

## Appendix C

### Grading of Audit Recommendations

Audit recommendations are graded in terms of their priority and risk exposure if the issue identified was to remain unaddressed. There are two levels of audit recommendations; high and medium, the definitions of which are explained below.

	Definition:
<b>High</b>	Significant risk exposure identified arising from a fundamental weakness in the system of internal control
<b>Medium</b>	Some risk exposure identified from a weakness in the system of internal control

The implementation of agreed actions to Audit recommendations will be followed up at a later date (usually 6 months after the issue of the report).