

**Independent Assurance
Review
Summary Recommendations
Action Plan**



Dear Chris,

SSSC – Future Proofing Programme

An Independent Assurance Review Gate 0 (Strategic Assessment) was carried out on your behalf on 25th to 27th July 2022. I hope the review added value and supports your decision making process.

I have set out below the things you must do now. The Major Investment section of the Scottish Public Finance Manual sets out your responsibilities as the Senior Responsible Owner (SRO); please take time to review this and consider whether there are other actions you need to take at this time.

You must within three weeks of the final Report update Annex A with your intended actions for addressing each recommendation. You should then send it to [the Portfolio, Programme And Project Assurance](#) and copy it to the relevant SG Accountable Officer. Thereafter you are responsible for implementing the actions in response to the recommendations and for further circulation of the report as necessary. If the review has identified serious deficiencies or difficulties (including probable failure to meet the planned budget) within the project the Accountable Officer should inform the relevant Minister/s.

You may wish to take a copy of the completed action plan along to the planning meeting for any subsequent review to inform the Review Team of the actions taken to address the recommendations from any previous review. I note that the next suggested review is Gate 4 (Readiness for Service) in December 2022.

Also attached is a short feedback form that I would be grateful if you would complete and return to the [Portfolio, Programme And Project Assurance](#). Your feedback will help ensure the Independent Assurance Review process, and the way we manage it, continues to support successful delivery.

Sharon Fairweather
Director of Internal Audit and Assurance
1 August 2022

**INDEPENDENT ASSURANCE REVIEW
DELIVERY CONFIDENCE ASSESSMENT & SUMMARY OF RECOMMENDATIONS
ACTION PLAN**

Programme: SSSC – Future Proofing

Senior Responsible Owner: Chris Weir

Review: Gate 0 – Strategic Assessment

Review Dates: 25th to 27th July 2022

Delivery Confidence Assessment: Amber

Summary of Recommendations and Action Plan :

Ref No.	Report Section	Recommendation	Status (C.E.R.)	Aligns with SG PPM Principle No.(s)	Summary Action Plan	Who is responsible	By When
R1	1.3	The fees consultation should have a specific stakeholder engagement and communication strategy and plan that clearly separates the consultation for the Future Proofing Programme. This work should be presented as a 'business as usual' activity.	Essential	Justification / Business Case	1. Develop communication plan 2. Review the risk scoring relating to this. Update 16.09.2022 – Scottish government has withdrawn authority to consult on fees. This has been postponed to 2023. It doesn't form part of this programme.	1. Head of Communications. 2. Programme Manager	1. 25 August 2022 2. Completed on 4 August 2022
R2	2.1	The Programme Team should produce a Outline Business Case (OBC) to	Essential	Justification / Business Case	1. Complete an outline business case to ensure consistency and set out the	Programme Manager	Completed on 16 August 2022

		formally set out the agreement from Council to justify the need for funding and the benefits that it will deliver.			<p>previous decision made at Council. This will set out the agreed position and the intended customer, staff and financial benefits.</p> <p>2. Present to the Future Proofing Programme Board along with the overall action plan on 16 August 2022.</p>		
R3	2.1	The SRO should secure SSSC funding commitments for the Programme for 2023/24 and 2024/25.	Critical	Justification / Business Case	<p>1. Raise with Sponsor Team and continue to press for commitment to carry forward funding for programme</p> <p>2. Present systems business case to Sponsor group</p> <p>3. Ensure Future Proofing Programme included in SSSC business plans and budget setting process</p>	Senior Responsible Officer	<p>1. Completed 18 August 2022</p> <p>2. Completed 7 September 2022</p> <p>3. 31 March 2023</p>
R4	2.2	The Programme Team should continue to improve the articulation of intended benefits and to develop robust baseline measures to demonstrate success being achieved. In addition, the Programme Team should also ensure that dis-benefits of unintended consequences are captured, monitored and reported.	Essential	Benefits	<p>1. Review intended benefits and associated measures and baselines to include identification of specific baseline information, steps required to collect missing information and expected dates for the realisation of these benefits.</p> <p>2. Continue to capture and monitor dis-benefits via RAID logging and discuss these monthly at project leads meetings and highlight, where required, to Programme Board.</p>	Programme Manager	<p>1. Completed 31 August 2022</p> <p>2. Monthly meetings</p>

R5	4	The SRO should confirm the mechanism to achieve timely escalation and decision making by the Council when there is not a 'quorum' at the Programme Board meeting.	Recommended	Planning	<ol style="list-style-type: none"> 1. Review Terms of Reference. 2. Include mechanism to get agreement via email/teams when not quorate. 3. Present to Sponsor Group for approval 	Senior Responsible Officer	Completed 7 September 2022
R6	5	The SRO (with support from the Council) should continue to work closely with its Scottish Government Sponsor to press for timely laying of the supporting amendments.	Critical	Planning	<ol style="list-style-type: none"> 1. Standing item on monthly update meetings with Sponsor. 2. Sponsor represented on Programme Sponsor Group 3. Continue to report through Assurance report to the Council 	Senior Responsible Officer	<ol style="list-style-type: none"> 1. Monthly 2. Quarterly 3. Quarterly
R7	6	The Programme should critically review and prioritise work into the areas it has direct control and those that need legislative changes. A phased delivery approach should be adopted. This would initially focus on what can be achieved this financial year and what needs to wait until next year.	Critical	Planning	<ol style="list-style-type: none"> 1. Review Project plan in Microsoft Project Application to ensure deliverables and dates are up to date. 2. Review the plan to ensure that workstreams requiring legislative change are clearly identified. 3. Identify those which can be achieved without legislative change and ensure work carried out this financial year. 	Programme Manager	<ol style="list-style-type: none"> 1. Weekly 2. Completed 6 September 2022. 3. Completed 6 September 2022

R8	6	The Programme Team should further develop the current programme plans to detail resources required for each task and identify the critical paths of the Programme to successful completion.	Essential	Planning	1. Update the project plan with required resources and identify critical paths.	Programme Manager	31 August 2022
R9	9	A full review of the risks and their scoring would be beneficial at this stage.	Essential	Risk	<ol style="list-style-type: none"> 1. Full review of risk register and critically challenge initial and residual scoring. 2. Continue as standing item on monthly project lead meetings. 3. Standing item in regular Programme Board Meetings. 4. Standing item in Sponsor Group meetings. 5. Standalone meeting to have a wider review of risk register every 2 months. 	<ol style="list-style-type: none"> 1. Senior Responsible Officer 2. Programme Manager 3. Senior Responsible Officer 4. Senior Responsible Officer 5. Programme Manager 	<ol style="list-style-type: none"> 1. Completed 4 August 2022 2. Monthly 3. Bi-monthly 4. Quarterly 5. Bi-monthly

Delivery Confidence Assessment and Report Recommendations Explained

Delivery Confidence Assessment

The criteria description for each of the Delivery Confidence Assessment levels is listed below.

RAG	Criteria Description
Green	Successful delivery of the project/programme to time, cost and quality appears highly likely and there are no major outstanding issues that at this stage appear to threaten delivery significantly
Amber/ Green	Successful delivery appears probable however constant attention will be needed to ensure risks do not materialise into major issues threatening delivery
Amber	Successful delivery appears feasible but significant issues already exist requiring management attention. These appear resolvable at this stage and if addressed promptly, should not present a cost/schedule overrun
Amber/ Red	Successful delivery of the project/programme is in doubt with major risks or issues apparent in a number of key areas. Urgent action is needed to ensure these are addressed, and whether resolution is feasible
Red	Successful delivery of the project/programme appears to be unachievable. There are major issues on project/programme definition, schedule, budget required quality or benefits delivery, which at this stage do not appear to be manageable or resolvable. The project/programme may need re-baselining and/or overall viability re-assessed

Recommendations

Each recommendation has been given a Critical, Essential or Recommended status. The definition of each status is as follows:

	Recommendation – Status Definition
Critical	Critical for immediate action, i.e. to achieve success the project should take action immediately to address the following recommendations.
Essential	Critical before next Review, i.e. the project should go forward with actions on the following recommendations to be carried out before the next Gateway Review of the project.
Recommended	Potential Improvements, i.e. the project is on target to succeed but may benefit from uptake of the following recommendations.

Each recommendation has been aligned with one (or more) of the Scottish Government's PPM Principles (Annex C lists the principles)

Scottish Government - Programme and Project Management Principles

Alignment	We align our programmes and projects to corporate priorities to ensure we deliver for the people of Scotland
Leadership	We lead from the start by clearly communicating the vision, agreeing approaches, providing resource, collaborating across teams and setting a delivery culture.
Justification / BC	We secure a mandate for our work and ensure an ongoing justification is made by the benefits for the cost, or, stop any unjustified work.
Sustainability	We understand our impacts on people place and value and ensure whole life value and whole life cost are central to decision making.
Knowledge & Data	We ensure our projects are learning organisations from day one, we seek and use information & data for the benefit of our work.
Flexibility & Capability	Our multidiscipline teams contain flexible and skilled people who focus on required identified capabilities and outcomes, not positions.
Roles and Responsibilities	We assign and delegate roles and responsibilities within our projects flowing from the SRO's appointment letter/delegation/mandate
Stakeholders	We identify, assess and then manage our stakeholders to leverage maximum chance of success.
Benefits	We start with the end in mind, formally focussing on the intended outcomes of our investment.
Planning	We consider all aspects of our projects and continuously plan; managing dependencies, agreeing and refining evidence-based assumptions and reporting on progress against milestones throughout
Risk	We identify, communicate and act upon the threats or opportunities to and for our outcomes.
Transition	We provide focus and resource to understand the end needs from the supplier side and a commitment and capability to learn, manage and own the benefits/outcomes from the customer side.