Assurance Rating	No.
1 - None	0
2 - Limited	4
3 - Reasonable	18
4 - Substantial	6

Corporate Actions		
Agreed Actions	**Current Position**	**Assurance Rating (1 - 4)**
Action 1: Senior Responsible Officers (SROs) and Programme/Project Managers are responsible for ensuring there are robust controls in place within their projects, including ongoing review of design works, risks and issues.	Training provided to all SROs, and online guidance available via the Council intranet. Specialist advice and guidance can also be sought from the Assurance Team.	3
Action 2: The PMO will deliver training and guidance to promote effective separation of duties, review and sign-off as well as the use of good practice in the delivery of projects. This is included in the PMO forward plan: - Project training covering roles and responsibilities, governance and expected controls. - Project manager network events. - SRO Health Checks supported by the PMO. - Project Reviews by the PMO Board	In Progress. - Updates tools and guidance published on MiDerby, co-produced with PM colleagues and using good practice - PMP development and implementation to strengthen project controls, with IA colleagues engaged in development - PMO review in 2020 with strengthened project pipeline - Redefined project and programme roles and responsibilities - Revised gateway criteria for assurance at key decision points - Project manager network under development - Targeted training completed in 2021, in line with PMO developments - Gateway projects attend PMO reviews - Risk based reviews of complex projects	3
Action 3: All SROs / Programme/Project Managers are expected to provide detailed costings as part of Outline and Final Business cases. For major projects, approval of these documents is required through the PMO Gateway process.	Standard requirement and included in the corporate format project templates. Costs for projects meeting gateway criteria are interrogated by the PMO Board, where there is an appropriate finance representation. Recording of projects on the PMP is enabling risk based monitoring on financial information, as required.	3
Action 4: Specific actions to be undertaken by the PMO: - Launch of the Gateway handbook to guide the evaluation of projects. - Awareness raising of Gateway process / evidence. - PMO Board to review the process for undertaking specific costing exercises during the lifecycle of the project at intervals and implement relevant changes. Four Gateway stages: – Phase 1, Gateway 1, Phase 2 and Gateway 2 include feasibility, funding and procurement and OBC (Outline business case). – Phase 3, Gateway 3 includes investment appraisal, procurement, design works and FBC (Full business case). – Phase 4, Gateway 4 and Phase 5 include financial and project monitoring and reviews.	All actions undertaken and in some instances superseded by improvements: The gateway process has been strengthened and aligned with RIBA stages to allow for the relative degrees of cost accuracy achievable at each stage. Briefing sessions provided through CLT, SLN and the Managers Conference to raise awareness on the PMO and associated tools, guidance and templates (all reviewed and strengthened in 2021). A training plan will be developed for 2022 onwards.	4
Action 5: Senior Responsible Officers (SROs) and Programme/Project Managers are expected to retain appropriate tender documentation.	Work remains ongoing regarding document retention, procurement and contract management. Implementation of the PMP will strengthen controls within this area.	3
Action 6: Training will be undertaken covering the requirements on documentation retention. In addition the PMO will link up with Procurement to ensure there is visibility across the Council.	Work remains ongoing regarding document retention, procurement and contract management. Implementation of the PMP will strengthen controls within this area.	2
Action 7: Senior Responsible Officers (SROs) and Programme/Project Managers are responsible for ensuring a realistic contingency is built into their costings. Boards are expected to have adequate finance officer involvement.	As per SRO training, and major projects receive financial review during PMO gateway stages.	4
Action 8: Contingency will be challenged by PMO Board at Gateway review points. The PMO will reflect this in updated project guidance for financial modelling.	This is a standard part of the Assurance Team and PMO Board's review processes - evidence of oversight is available.	4
Action 9: Senior Responsible Officers (SROs) are responsible for ensuring they are fully conversant with information before they sign off any documents. CLT agreed and signed off the new Gateway Process for projects over £1m or strategically significant. All major projects now go to the PMO Board at each Gateway stage.	SRO training has been provided and update sessions will be arranged periodically Briefing sessions provided through CLT, SLN and the Managers Conference to raise awareness on the PMO and associated tools, guidance and templates (all reviewed and strengthened in 2021). A training plan will be developed for 2022 onwards.	3
Action 10: SROs are expected to keep Councillors, in particular Cabinet Members, informed during the progression of major projects, including key risks and budget position. Scrutiny Boards can request progress updates on major projects as part of their forward plans. Significant risks from projects may be escalated to the strategic risk register, which is reviewed on quarterly basis by Audit & Accounts Committee. This will be reinforced through awareness of roles / responsibilities, training and guidance delivered to project officers and boards	Councillors receive updates on priority projects every quarter through Cabinet Performance Monitoring Reports, which has been a process established since April 2019. Members engaged appropriately and fully briefed on progress of major projects. Audit and Governance Committee have regular oversight of significant project/strategic risks as appropriate. Implementation of a portfolio management approach in 2022 will further strengthen arrangements ensuring appropriate and consistent engagement. Update presented to Audit and Governance on PMO developments in October 2021. Annual updates will be in place going forward to ensure assurance of the project environment and controls / assurance.	3
Action 11: SROs are accountable for ensuring that appropriate governance arrangements are in place for their programmes / projects, including terms of reference. The PMO will introduce a Health Check document to enable SROs to self-assess their project controls, including governance arrangements. This will be issued to all SRO's of key projects to carry out their own Health Check with the support from the PMO. Findings will be shared with Audit	Training provided to all SROs, and online guidance available via the Council intranet. Specialist advice and guidance can also be sought from the Assurance Team. Revised templates issued in 2021. PMP implementation will strengthen oversight of the Assurance Team. Portfolio management implementation in 2022 will also result in complete review. Targeted support provided to key areas - i.e. HRA Capital Board	3
Action 12: SROs and Programme / Project Managers are expected to review risk registers on a regular basis with appropriate escalation as required. Project managers received risk training in December 2018 with wider training offered to all managers in March / April 2019. This included specific guidance on how to escalate risks.	Risk training is ongoing and subject to continual review. There are pockets of excellent practice evident within Council projects and significant efforts are being made to share this with project managers, project staff and the wider Council through targeted training and the Project Manager Network. Risk management training hosted for project personnel in January 2021, facilitated by Zurich. Risk management strategy and handbook updated in 2020/21, which strengthened guidance on risk identification, assessment and escalation. Evidence of projects being escalated available.	3

Action	Status	Rating
Action 13: The PMO will review the risk registers of all major projects and introduce a health check document for SRO's to self- assess their own arrangements. Significant risks from projects may be escalated to the strategic risk register, which is reviewed on quarterly basis by Audit & Accounts Committee.	Major project risk registers are reviewed on a regular basis. Directorate and strategic risks are escalated through the Corporate Risk Management Group and if necessary through direct escalation to the Senior Leadership Team. There is scope to develop a more refined risk escalation process.	3
Action 14: SROs are responsible for making sure councillors are fully appraised of risks.	Standard requirement. SRO training has been provided and update sessions will be arranged periodically	3
Action 15: The PMO will remind SROs of the need to share risk registers with councillors where appropriate. In particular, the PMO will suggest that risk registers are attached to Cabinet reports where they inform decision making. Cabinet and Audit & Accounts Committee received training on risk management (February / April 2019) to aid greater understanding	It is now standard practice for major projects to share risks and issues with the PMO Board, and include significant risks and issues in Cabinet reports.	4
Action 16: SROs and Programme / Project Managers are expected to review contractor risk registers on a regular basis with appropriate escalation as required. Project managers received risk training in December 2018 with wider training offered to all managers in March / April 2019.	Standard requirement and forms a core aspect of project governance. Risk training delivered to project personnel in January 2021, and further risk training will be rolled out during 2022 to ensure that project staff are conversant in risk analysis and documentation.	3
Action 17: The PMO will review the risk registers of all major projects and introduce a health check document for SRO's to self- assess their own arrangements.	Major project risk registers are reviewed on a regular basis. Check lists are now built into the Project Management Platform features and have superseded the SRO health check document.	4
Action 18: SROs are expected to ensure effective team meetings and mitigate the risk of single person dependency in programmes and projects. SROs and Programme / Project Boards are expected to mitigate the risk of single person dependency.	SROs are required to establish the core project team and ensure that adequate resource is available to deliver the project, reducing any instances of single person dependency. This continues to be a risk however due to resource and financial pressures. A review of project capacity has been on-going in 2021, with proposed changes to be implemented in line with the portfolio management approach improving resilience and ensuring capacity is focused in the right areas.	2
Action 19: The relevant SRO takes responsibility for any projects involving traffic management.	Appropriately skilled SROs are assigned to technical/specialist projects.	4
Action 20: SROs and Programme / Project Managers are responsible for keeping Senior Managers and Councillors appraised.	Terms of reference are produced as part of the project initiation documentation and layout membership, meeting frequency, and reporting requirements. Outside of Board meetings the SRO and Project/Programme Manager will brief members as required.	3
Action 21: SROs and Project Managers are expected to ensure that appropriate performance measures are included in Project Initiation Documents, Outline Business Cases and Full Business Cases. CLT agreed and signed off the new Gateway Process for projects over £1m or strategically significant. This includes challenge and approval of PID /OBC /FBC. The Gateway template will be updated to include requirements of performance measures so this can be reinforced.	Previous corporate highlight report template has been superseded by the Project Management Platform status reports. Specific performance measures are not detailed in these reports as the information needs to be tailored to the specific project, however they do include delivery, financial, and overall confidence RAGS. Further work needs to be carried out to develop a range of more specific, detailed performance measures - in line with a wider review of service based performance measures and the implementation of an outcome-based approach.	2
Action 22: All SROs are required to ensure that project officers have the right skills and capabilities for the role specification. SROs will be reminded by the PMO of the need to ensure effective appointment processes are undertaken to ensure sufficiently skilled and qualified individuals are in place.	Standard requirement. Revised guidance on roles and responsibilities is in place to aid consistency and a review of skills will be scheduled for 2022.	3
Action 23: All SROs are required to ensure that supporting documentation is provided at meetings to inform decision making and declare interests where appropriate.	Standard requirement. PMP checklists are now in place, that can allow wider scrutiny of the progress of essential project documentation.	3
Action 24: All SROs are required to use the Council's network to record meetings and decisions. SROs /Project Managers will be reminded of the need to document all key decisions and ensure the Council's standard approach to version control (using OpenText) is adhered to.	Project Management Platform now in use providing centralised document storage and templates. A number of required logs and registers are built into the platform (risk, issue, decision, benefits etc). SharePoint also provides an inbuilt version control history for all document changes. Further work is required to ensure that documentation is suitably named, filed and managed through version control. This training will be provided through the Project Manager Network training sessions. Decision log in place for the PMO Board. Guidance on decision making within project guidance on MiDerby.	2
Action 25: All SROs are required to ensure that they formally review the content of financial documents before passing to Senior Managers and Councillors.	Standard requirement. Ongoing training will be provided through SRO and Project Manager Network sessions.	3
Action 26: The relevant SRO is required to ensure charging systems are robust.	Standard requirement. Ongoing training will be provided through SRO and Project Manager Network sessions.	3
Action 27: The relevant SRO is required to ensure the appropriate financial approvals are in place.	Standard requirement. Ongoing training will be provided through SRO and Project Manager Network sessions.	3
Action 28: The SRO is required to ensure the appropriate controls are in place over the management of contract variations.	Standard requirement. Ongoing training will be provided through SRO and Project Manager Network sessions.	3

Implemented at point of follow up report review

Programme Management Office

The PMO was established by the Chief Executive in October 2018, providing independent oversight directly into CLT. The PMO working group formed in October 2018 to discuss open and honest issues on managing projects.

CLT agreed and signed off the new Gateway Process for projects over £1m or strategically significant in December 2018.

The PMO Board was established in March 2019.

All major projects go to the PMO Board at each Gateway stage for approval to progress (effective from April 2019).

Project monitoring was established in December 2018; the Corporate Project Dashboard reports the top projects to CLT including a DCA rating.

Engagement - PM Network events started in December 2018 – with risk management project training included.

Monthly reporting was introduced in February 2019 for six months, reverting to quarterly in Summer 2019.

Risk training has been offered to all managers in March /April 2019, with specific guidance on escalation of risks and issues.

The PMO has introduced improved monitoring for projects using the Corporate Project Dashboard which includes a Delivery Confidence Assessment designed to reflect emerging risks / issues that may affect project outcomes.

Update 2021

Key achievements over the last nine months, aided by targeted Change Derby support, have included:

• the establishment of a PMO Sounding Board Network, with professionals from across directorates to support project development activities

• a review of project tools and templates, with all key documents being re-drafted incorporating 'best practice' and streamlining to reduce duplication

• the development, and piloting, of a new Project Management Platform for document storage and the management of programmes and projects

• updating programme and project roles and responsibilities, with refreshed guidelines on MiDerby to aid clarity and consistency

• a review of the gateway guidance, including the criteria for projects to be considered by the PMO Board to make sure that the Board has oversight of the 'right projects'

• a desk-top review of project capacity to support the development of the refreshed Project Manager Network and the Project Hub

•A strengthening assurance role for the PMO Board, with an improved focus on learning and sharing good practice

Risk Training

SROs and Programme / Project Managers are expected to use the Council's methodology for risk management. Training on the risk framework, principles of risk management and Derby's approach took place attended by nearly 300 project managers and wider managers from across the Council between December 2018 and April 2019.

Awareness regarding risk management was also raised at Senior Leaders Network in April 2019

Revised strategy and handbook issued in 2020/21

Risk training delivered January 2021

Draft training themes considered by CRMG and plan to be developed for 2022