# Appendix G – Local Authority/SYPTE Delivery Mechanisms

BARNSLEY

Robust project management techniques will cover all stages of the TCF programme, to include:

- Execution of delivery
- Monitoring and controlling
- Risk management and mitigations
- Continuous review – checks and controls
- Escalation of issues at the appropriate time
- Board meetings at appropriate levels of management.

Well established Council governance arrangements are in place for existing SCR-funded transport schemes at Junctions 36 and 37 of the M1 and Goldthorpe as shown below.
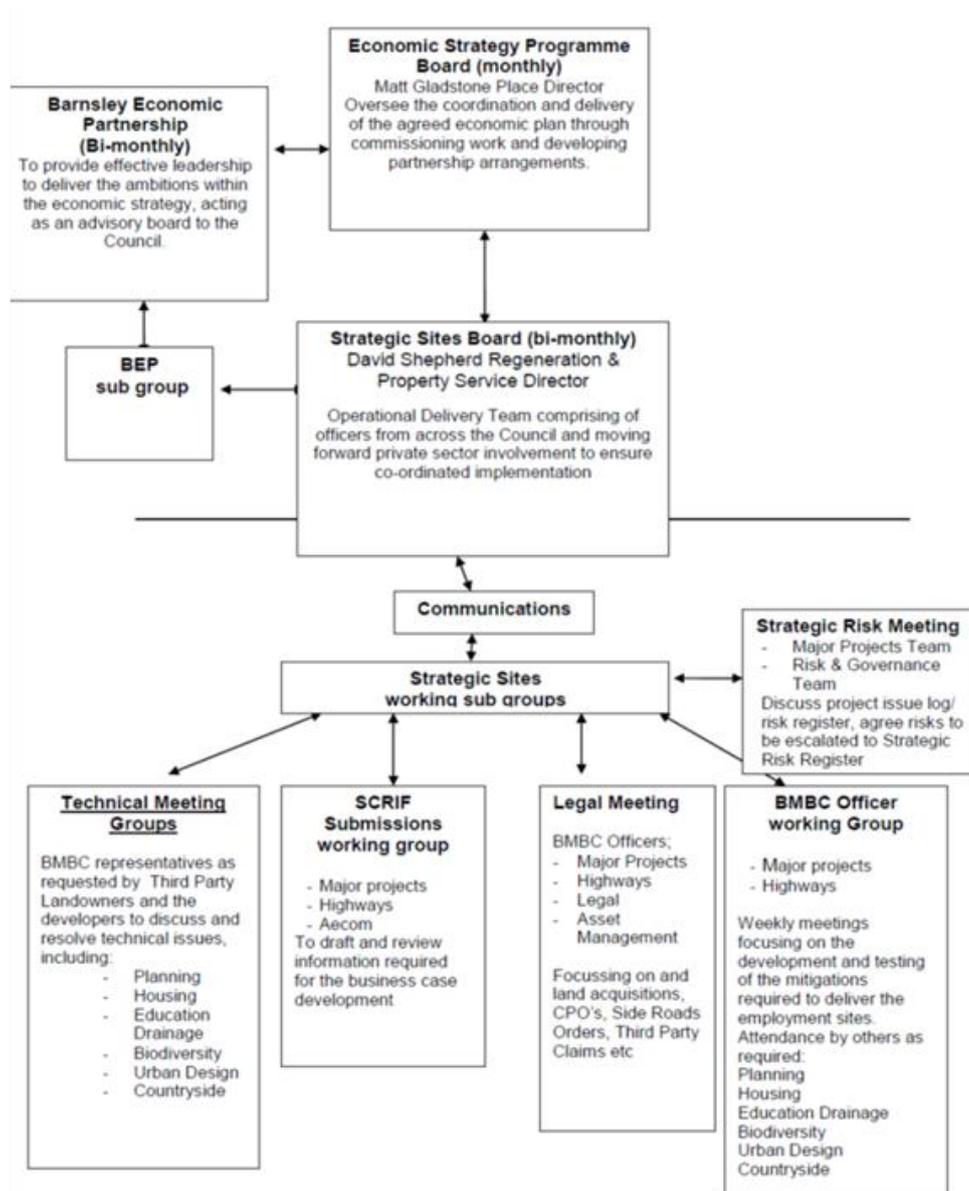
DONCASTER

It is anticipated that the SRO will delegate responsibility to Doncaster Council's Head of Service for Major Projects and Investment to deliver this project in the role of Project Director to the scope outlined within the bid and based on agreed baseline programme, budget and tolerance levels.

The Project Director in turn nominates the Transportation Team at Doncaster Council to manage the day to day delivery with overall responsibility for the successful initiation, planning, design, execution, monitoring, tracking, controlling and closure of the schemes. The Transportation Team will manage the project team of in-house multi-disciplinary staff and by procuring specialist support as deemed necessary.

The organisation structure has clear lines of communication (reporting) and enables management and coordination of all aspects of the TCF programme, throughout its lifecycle.

Doncaster Council has an excellent track record of successfully delivering infrastructure projects. It has achieved that by working to a Corporate Plan and within a constitutionally established framework of organisational management and decision-making procedures. That framework ensures highly effective governance not only of the services that it provides on a daily basis, but also of the management of its one-off projects.

The Council has a strong team ethic with clear roles and responsibilities for decision making set in a hierarchical structure. It is led by an elected Mayor (with priorities aligned to the Corporate Plan) that works within guidelines set by the 55 elected Members of the Council. The Mayor chairs a Cabinet made up of a small select group of Members, each with a specific area of responsibility. The Cabinet is responsible for key decisions that have the greatest potential impact (for example, cost commitments greater than £250,000).

Decisions below that, but which are still significant, are made by senior Doncaster Council Officers at Chief Executive, Director and Assistant Director level whilst the day to day decisions are made by the various Heads of Service, each informed by their respective teams. There are open channels of communication between all levels of management so information can flow quickly, when necessary, and to promote a co-operative approach to team working and project ownership.

The Head of Service for Major Projects and Investment is directly responsible for the Council's programme of Major Capital Projects and was central to the delivery of major projects such as the Doncaster Southern Gateway White Rose Way Improvement Scheme. He is supported by the Strategic Infrastructure Manager, in turn supported by the Major Projects Manager and a dedicated team of Project Managers who collectively have a wealth of experience and have delivered or are currently involved in delivering a diverse range of major infrastructure projects.

Over the lifetime of the TCF programme, the Head of Service will again be the focal point of governance and will be responsible for:

- Directing the project and instructing the Project Manager(s)
- Ensuring there is a coherent organisational structure and logical plan for the delivery of the project and managing changes to that plan
- Ensuring risks are being managed and reported
- Ensuring compliance with Doncaster Council's Constitution, procedures and relevant legal and financial requirements

- Ensuring the desired outcome of the project is specified and promoting and maintaining focus on the desired outcome
- Providing the necessary resources and resolving any conflicting priorities
- Ensuring all stakeholder interests are properly represented.

Strategic direction is given to the Head of Service by the Council's Major Project Board.

ROTHERHAM

The internal governance for the programme of interventions associated with the TCF programme will be managed through existing boards and delivery groups within the Regeneration and Environment Directorate of the Council. Delivery will be co-ordinated through the monthly Transportation Capital Programme Meeting, where progress, risks and issues for the delivery of each specific project is discussed and appropriate action agreed. This proposed management approach will ensure that delivery is focused on both cost and project target delivery dates. In addition, project and programme related internal and external risks will also be assessed and addressed.

The monthly Capital Programme Meeting provides a highlight report into the monthly Major Schemes Project Board (MSPB), raising issues for escalation and action. The MSPB is chaired by the Acting Strategic Director Regeneration and Environment and consists of senior individuals from Finance, Transportation, Drainage, Structures, Landscapes and other internal and external specialists as required. Collectively, the MSPB will monitor and control progress against financial targets and construction milestones. The Project Board will provide regular updates and report to the Cabinet Members responsible for the TCF programme.

This structure and process of decision making is consistent with the approach adopted on all other major infrastructure construction schemes.

The Council adopts a PRINCE2 approach to project management and operates under the Managing Successful Programmes philosophy to ensure the successful delivery of transformational change. At critical stages, key stakeholders will be informed of progress to maximise stakeholder benefit and ensure constructive feedback and endorsement. The benefits will be regularly communicated to ensure interest and involvement is maintained. An active approach to consultation with interested parties will be accomplished through the existing boards and key groups throughout the development and delivery of the TCF programme.

SHEFFIELD

The Capital Delivery Service (CDS) is the Council's Centre of Excellence for the Delivery of Capital Projects. The service consists of multi-disciplinary professionally qualified staff and delivers all capital construction projects on behalf of the Council.

Examples of the types of projects undertaken include school expansions, new schools, improvements to parks and recreational facilities, leisure centres, shop front improvements, improvements to roads and cycle paths and construction of flood defences. The schemes range in value from £100,000 to £30 million. Sheffield City Council (SCC) has a capital

programme in the region of £200 million per annum and the Service therefore has considerable experience in the delivery of large scale capital projects.

CDS employs 70 staff across the full range of technical disciplines for the delivery of capital projects. These include architects, civil/structural engineers, cost managers, mechanical and electrical engineers, project managers and clerks of works. The Programme Management Office (PMO) provides support across the whole service and takes a lead on quality assurance in respect of project delivery and compliance. The service operates an ISO 9001 Service Management System (SMS) to maintain the quality and consistency of project delivery. In order to maintain the ISO9001 accreditation the service is subject to annual external audit and inspections.

The Capital Gateways Approvals Process was introduced to ensure that all capital projects delivered by SCC align to strategic priorities, represent value for money and ultimately deliver the best possible outcomes for the people of Sheffield.

The gateways have been developed around a project lifecycle model and are centred on the development of a business case. They are designed to promote best practise project delivery through a structured approach that allows early draw down of funding for feasibility and planning and has predefined review and, if necessary, hold points within the project lifecycle. This early planning work ensures that a project is sufficiently developed before proceeding to the next phase. This approach gives increased certainty in terms of cost, programme, benefits, design and risk and provides SCC with an appropriate level of assurance that the right work has been done, at the right time, prior to making any major investment decisions.

All projects are governed by a Programme Group and by the Capital Programme Group (CPG). Each project will have a Project Board and/or Steering Group who will be responsible for making key decisions throughout the life of the TCF programme.

The CDS lead on programme and project management and delivery across SCC as shown below.
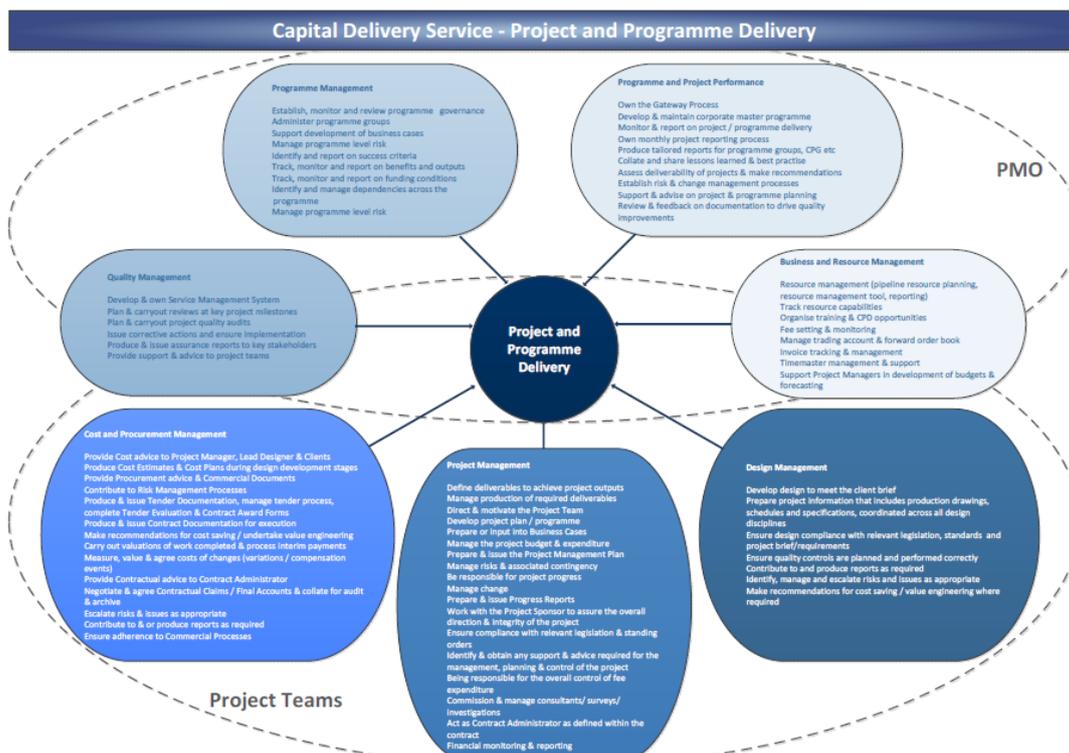
Within CDS there is an established PMO that have ownership of the SMS, best practise and quality assurance. The PMO also administer the flow of projects to programme groups and CPG for approval, organise technical reviews for projects, own the monthly performance reporting process and the production of programme dashboards.

The SMS incorporates four types of internal audit/review for quality assurance purposes:

- Service audits – service wide procedures are selected for audit on the basis of their level of risk, prior history of issues or management concerns; all procedures will be audited at least once within a three year period
- SMS health checks – projects will be reviewed for compliance with the SMS at key stages / milestones throughout the project lifecycle; the Service Management Team may ask the Best Practise and Standard Manager to organise health checks of individual projects or activities for any other purpose at any time
- Technical reviews – projects will be reviewed at key stages throughout the project lifecycle as standard, including prior to gateway submissions, however these are scalable dependant on the complexity of the project; the number of technical reviews will be agreed with the Service Delivery Manager at the project kick off
- Project audits (by exception) – projects will be selected for a full audit against the SMS by exception; projects will be selected on the basis of their level of risk, prior history of issues or management concerns.

The proposed SCC governance structure for the TCF programme aligns to the SCC Gateways process and Place portfolio governance and is outlined below.
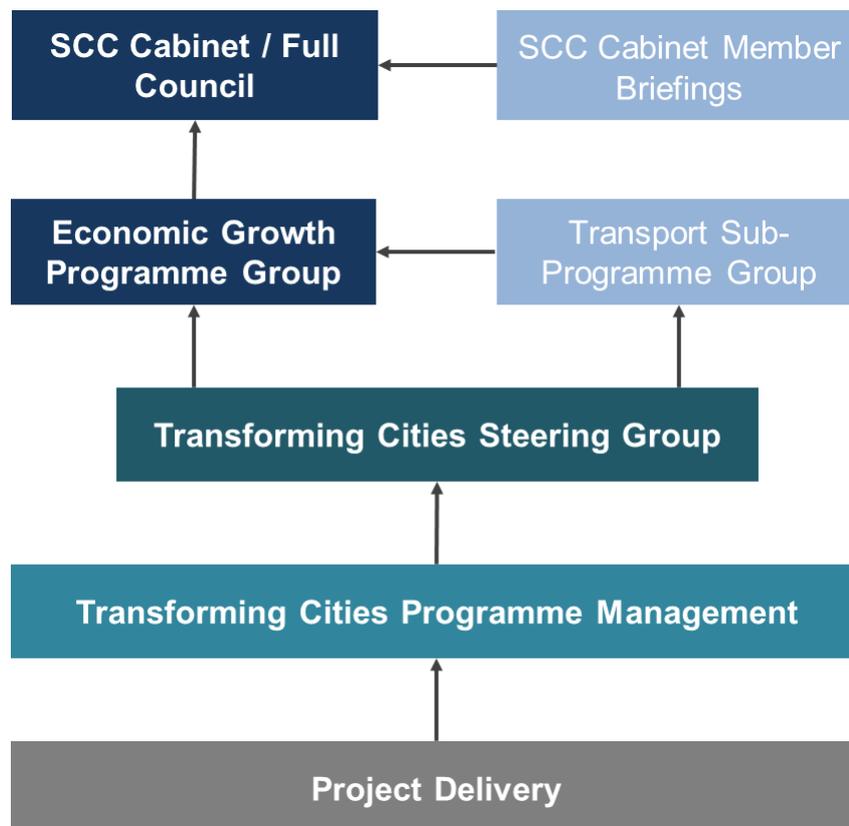
The Economic Growth Programme Group is an established board that is responsible and accountable for the delivery of the Economic Growth Programme of which transport is a sub-programme. The board is responsible for approvals in line with the Council's gateways

process and has the authority to take decisions regarding the progression of projects. The board's remit is as follows:

- Take a strategic view ensuring links between projects are identified and efficiencies maximised through delivery
- Commission projects and programmes of work
- Monitor the programmes progress and financial position
- Ensure appropriate Project Sponsors are in place for each project as it is commissioned
- Receive and review commissions from Project Sponsors where funding opportunities are identified
- Approve Project Mandates, establish the governance for project approvals and budget setting
- Identify appropriate funding sources and opportunities
- Manage programme level risks and issues and deal with escalated risk and issues from project teams
- Take ownership of Gateway approvals.

The Transforming Cities Steering Group will be chaired by the Project Sponsor and include representatives from each of the project teams, the SCR, SYPTE and RMBC. The Steering Group will help to shape the development of projects within the programme, take key decisions and manage programme wide risk. It will also ensure that activities between SCC, SYPTE and RMBC are co-ordinated.

A Programme Manager will oversee the SCC TCF programme with dedicated project teams established for each individual project within the programme. Programme Management will follow SCC methods and processes. A Programme Execution Plan will be established that will be a working document used to support the management of programme wide risks, issues, budget, stakeholders and governance.

Each project will have a dedicated Client Lead from within the Strategic Transport and Infrastructure team and a Project Manager from the CDS.

Contract administration will be undertaken by the Project Manager. A contract administration log will be established for each project and updated throughout the delivery of the project.

A change control log is established for each project within the Project Management Plan (PMP). Tolerances will be agreed that will set definitions and parameters for the Project Manager's decision making authority, these will be set out in the PMP. It is the responsibility of the Project Manager to update this and to issue change request forms to the client to agree scope and impact any changes and allow a decision to be taken.

Project Managers will be responsible for establishing the budgets for their allocated projects and the day to day budget management of them. The Programme Manager will be responsible for overseeing the programme wide budget. Resources within the PMO will monitor expenditure against each budget. A Cost Manager will be allocated to each project to manage expenditure against the contract including production of cost plans, valuations and certificates for payment.

The Project Manager will arrange and chair a risk identification workshop during the planning phase of each project. It is the responsibility of all members of the Project and Design Team to ensure that risks and issues are identified and properly reported for inclusion in the Risk and Issue Register. All risk and issue managers are responsible for carrying out the associated action(s).

The Project Manager owns the project risk and issue register and ensures that it is monitored and updated throughout the life of the project.

All risks within the register are costed and given a weighting based on level of impact and likelihood, this then informs the level of contingency required for the project and can be included in the cost plan.

A SCC TCF programme risk and issue register will be developed incorporating key risks from individual projects that require monitoring. The Programme Manager will be responsible for collating this and keeping it up to date.

Stakeholder management plans will be developed at project and programme level for SCC schemes, identifying who the stakeholders are, what their level of interest is, format any communications should take and the frequency of them.

All Council specific risk register and stakeholder management plans will feed into the overall registers and plans owned and managed by the TCF Programme Board.

SOUTH YORKSHIRE PTE

SYPTE's governance structures and process for delivery of projects, are based on PRINCE2 and have been used successfully on the delivery of many Public Transport schemes. A summary of how these will operate for the TCF projects is given below:

a)   *Project Level Delivery*

   i)   For each project, a Project Manager is appointed – they are responsible for the day to day management of the project and delivery of the agreed outputs to the time, cost and quality targets set by the SRO and wider TCF brief. To comply with SYPTE process, the Project Manager will:

   - Lead the Project Team;

   - Provide regular (monthly) updates on progress, issues and risks to the SRO, the Programme Manager and SYPTE Management Board;

   - Manage issues and risks;

   - Complete a gateway review at the end of each stage where the viability of each scheme and any revisions to targets are approved;

   - Fulfil SCR Assurance Framework requirements; and

   - Seek approval from SYPTE's Management Board for all appointments, contract awards and changes to budget and scope, in line with SYPTE's Standing Orders.

   ii)   Each project has a SYPTE Senior Responsible Owner (SRO) – these are Senior SYPTE staff, normally Management Board members. They are ultimately responsible for the delivery of the project's outputs, ensuring the

Project Manager has the resources needed to deliver and managing the project in the wider environment that SYPTE operates in.

b)   *Programme Level Delivery*

SYPTE has its own arrangements for management and delivery of its overall Capital Programme. In addition to these, for the SYPTE-led TCF projects, a Programme Manager for the TCF schemes has been appointed to ensure that:

i)   The TCF projects comply with the programme requirements of the TCF Programme Board – these duties will include reporting to the TCF Public Transport Board and TCF Programme Board;

ii)   Issues with individual projects are resolved at the programme level, e.g. non-delivery in a project is balanced by changes to other projects;

iii)   The TCF projects comply with SYPTE's own governance requirements, escalating issues to the TCF Programme Board and above as required;

iv)   The TCF work is fed into the existing Bus Partnership meetings and ensuring operator involvement in scheme development; and

iv)   Ensuring the required monitoring and evaluation is carried out.

Support for both Project Managers and the Programme Manager will be given by the Programme Support Team and other SYPTE departments including Legal, Finance, Bus Services and Rail Services.