

# APPENDIX 2: Project Plans & Delivery Deep Dive

18 September 2023

The following information is provided to OSC to assist in its undertaking of a Deep Dive into the Improvement Workstream: Project Plans & Delivery.

## Project Plans & Delivery Workstream

The workstream has a focus on the development and delivery of key frameworks that the Combined Authority requires to be improved, updated or developed, those frameworks are as follows:

1. Performance Management Framework
2. Single Assurance Framework
3. Risk Management Framework

The key outcomes for the workstream to deliver are as follows:

- Agreement by the CPCA and Partners of a Single Assurance Framework
- Agreement of a Performance Management Framework and reporting dashboard
- Adoption of a new corporate risk management framework
- A revised PMO with expanded responsibility for corporate performance

The Combined Authority Board is scheduled to consider each of the 3 frameworks at its meeting on 20 September 2023. Click on the following link: [CMIS > Meetings](#) to access the Board papers for each of these items.

Please note the link will not work until Board papers are issued (13<sup>th</sup> October).

*The OSC may want to consider the following key lines of enquiry when undertaking the deep dive:*

- What are the improvement objectives?*
- What impact will frameworks have?*
- How will frameworks support delivery of strong governance and accountability?*

*In regard to scrutiny of the performance of the workstream the OSC may want to consider the following key lines of enquiry when undertaking the deep dive?*

- Is the workstream on track in meeting targets/objectives?*
- What do the RAG ratings mean?*
- How is performance against targets measured?*
- What are the implications of not meeting a particular target?*
- How have frameworks been developed?*
- How do we compare with other organisations and partners?*

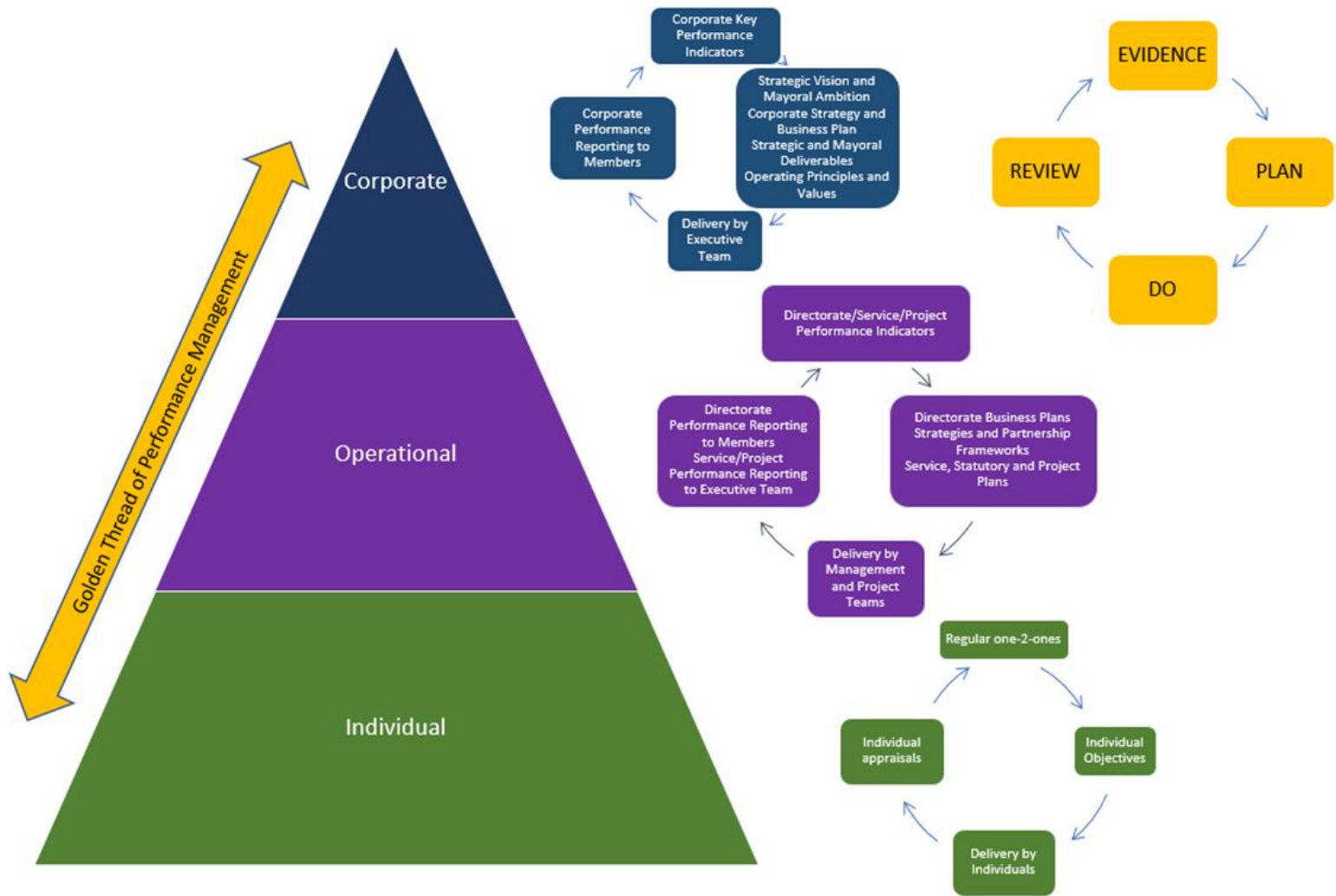
## Performance Management Framework

### Description:

The Performance Management Framework ensures that there is a consistent, streamlined and joined-up approach to performance. It has been co-produced through a working group of constituent authority officers who are experts in performance management, and Members and officers from across the CA, including O&S and A&G, are actively engaged in developing the Framework.

The Department for Levelling Up Housing & Communities' English Devolution Accountability Framework (EDAF), published in March 2023, provides guidance on how Mayoral Combined Authorities should be accountable to local scrutiny, the public and the UK government. Our Performance Management Framework supports us to comply with the standards in the EDAF.

The Framework is based upon the CPCA Golden Thread of performance management (see graphic below) and will ensure that our outcomes, plans and measures at all levels of the Combined Authority are aligned to our Corporate Strategy.



#### Workstream Objective:

The workstream objective is to ensure a robust and effective Performance Management Framework is in place. Performance reporting and the Performance Management Framework will support the scrutiny of performance information relating to the achievement of outcomes and outputs relating to all five strategic objectives, strengthening scrutiny and accountability in line with expectations outlined in the English Accountability Devolution Framework.

The Performance Management Framework will also be a key policy that supports the organisation to achieve best value and high performance.

#### Outputs:

The outputs will be as follows:

- New Performance Management Framework document
- New guidance and support offer to be built into an Implementation Plan, in support of the Frameworks
- Corporate Performance Report approach (first paper was taken to July Board)

#### Governance:

The Project Manager reports into the Project Plans & Delivery Improvement Workstream which is chaired by Steve Cox, who is the CMT sponsor. Steve subsequently reports into the Independent Improvement Board.

In addition to the Partner Working there is also an Internal Working Group to ensure CA Business Area input and an M10 Assurance Group to ensure that best practice approaches can be discussed amongst all of the ten Mayoral Combined Authorities.

## **Single Assurance Framework**

### Description:

The Single Assurance Framework, or SAF, is a set of systems, processes and protocols designed to provide the Combined Authority with a consistent approach for appraisal, assurance, risk management and performance throughout the lifecycle of projects and programmes.

The SAF sets out key processes for ensuring accountability, probity, transparency and legal compliance and for ensuring value for money is achieved across its investments.

The SAF will set out in simplest terms how an idea is turned into a project – how a project is developed through business cases – how the business case will provide assurance to the Combined Authority – how business cases are approved - how assurance is provided throughout the full lifecycle of a project – what the requirements are that are placed on a project once it enters the delivery phase.

### Workstream Objectives:

The specific workstream objective for the SAF is: Agreement by the CPCA and Partners of a Single Assurance Framework. What does this actually mean? It means:

- a partnership approach to developing the SAF must be taken
- that Constituent Authorities are supportive of the SAF that is developed
- that the Combined Authority are supportive of the SAF that is developed

There is also an additional element to consider which is the requirement for the Single Assurance Framework to be signed off by Government. This process requires the SAF to receive DLUHC, DfT and DfE clearance as meeting requirements such as those set out in the English Devolution Accountability Framework.

The SAF is being developed to agreed design principles, these design principles have been approved by the Board and Regional CEXs and are as follows:

- Ensure appropriate protections for stewardship of public funds
- Deliver improvements in project development standards
- Create consistency, control & clarity across processes
- Provide appropriate and proportionate levels of assurance
- Deliver management of political and reputational risk
- Ensure alignment to HMT Green Book (and others)
- Provide appropriate approval delegations

### Outputs:

The outputs will be as follows:

- New Single Assurance Framework document that will apply to all funding proposals that place a financial liability on the Combined Authority
- New templates, guidance and support offer in support of the SAF
- A SAF implementation Plan

### Governance:

The governance around development of the SAF has been developed to specifically ensure that Constituent Authority partners are fully engaged in its development. All Constituent Authority Chief Executives have appointed key officers to a Partner Working Group to assist development of the SAF.

The Project Manager reports into the Project Plans & Delivery Improvement Workstream which is chaired by Steve Cox, who is the CMT sponsor. Steve subsequently reports into the Independent Improvement Board.

In addition to the Partner Working there is also an Internal Working Group to ensure CA Business Area input and an M10 Assurance Group to ensure that best practice approaches can be discussed amongst all of the ten Mayoral Combined Authorities.

## **Risk Management Framework**

### Description:

The development of a new Risk Management Framework and Procedure that meets the Orange Book (2020) best practice guidance. The Orange Book states that, in successful organisations, risk management enhances strategic planning and prioritisation, assists in achieving objectives and strengthens the ability to be agile to respond to the challenges faced. Therefore, if we are serious about meeting our objectives successfully, improving service delivery and achieving value for money, risk management must be an essential and integral part of planning and decision-making.

### Workstream Objectives:

The Risk Management Framework sets out an enhanced and integrated approach that builds on our existing risk management practice. The Framework is intended to support the strategic and organisation-wide focus on risk, setting out the ambition, motivation and principles that frame our approach.

The Risk Management Procedure outlines the CA's approach to managing risk and outlines the tools and techniques involved in ensuring that this takes place effectively and in a consistent manner.

### Outputs:

The outputs will be as follows:

- New Risk Management Framework document that will apply to all funding proposals that place a financial liability on the Combined Authority
- New Risk Management Procedure document that offers support and guidance on risk processes within the Combined Authority
- New templates, guidance and support offer in support of the RMF including the implementation of the 4Risk software
- A RMF implementation Plan including Risk training for all CPCA programme and project managers regarding the Framework, procedure and Risk use.

### Governance:

The governance around development of the RMF has been developed to specifically ensure that Constituent Authority partners are fully engaged in its development. All Constituent Authority Chief Executives have appointed key officers to a Partner Working Group to assist development of the RMF.

The Project Manager reports into the Project Plans & Delivery Improvement Workstream which is chaired by Steve Cox, who is the CMT sponsor. Steve subsequently reports into the Independent Improvement Board.

In addition to the Partner Working there is also an Internal Working Group to ensure CA Business Area input and an M10 Assurance Group to ensure that best practice approaches can be discussed amongst all of the ten Mayoral Combined Authorities.