



Project Initiation Document (PID)	Document Ref. & Version No: ip&e/PMO v4
Programme: ip&e Transition	Project: ip&e Programme Transition Programme
Author: Alex Gore	Date: 02/11/2012

### Purpose:

This document has been produced to capture and record the basic information needed to correctly direct and manage the ip&e transition programme. The PID complements the Project Planning Templates and addresses the following fundamental aspects of the programme:

- What is the project aiming to achieve?
- Why it is important to achieve the stated aims?
- Who will be involved in managing the project and what are their roles and responsibilities?
- How and when will the arrangements discussed in this PID be put into effect?

When approved by the Programme Board, this PID will provide the baseline for the programme. It will be referred to whenever a major decision is taken about the project and used at the conclusion of the project to measure whether the project was managed successfully and delivered an acceptable outcome.

### Background: (Brief explanation of why the project is necessary)

- At the Council meeting of May 2012, it agreed to the creation of a wholly owned company to deliver some Council services, to be called ip&e Ltd. Cabinet agreed to the initial consideration of the transfer of the following four services to ip&e Ltd.: Print Services, Legal Services, Shire Services; and Shared Services.
- A Programme Board was created to manage the development and implementation of plans to consider the facilitation of these potential service transfers. The Programme Board initiation meeting was held on 11<sup>th</sup> September 2012, drawing together 9 supporting work-streams and the 4 transferring services, and authorised the development of a cohesive Programme Plan for the transfer of services to ip&e.
- The ip&e Programme Board Terms of Reference were agreed by the Board at the initiation meeting on the 11<sup>th</sup> September. The ToR describes the role and authority of the Programme Board and makes clear that the Board has the power to act as the final gateway for services planning to transfer to ip&e Ltd. before such transfers are considered by Cabinet.
- This document outlines the purpose, scope, governance and budget required to

consider the implementation of potential service transfers, with a special focus on delivering the accelerated transfer of Shared Services to ip&e Ltd., as announced at full Council on 27<sup>th</sup> September 2012.

**Objectives:** (Briefly outline the key objectives of the project)

- 1) To create and manage a single, effective and robust Programme Plan which is capable of safely delivering the transfer of Wave 1 services to ip&e Ltd.
- 2) To ensure due diligence and proper governance procedures are embedded in the Programme Plan in order to minimise risk to the Council and to ip&e Ltd.
- 3) To seek to ensure, subject to decisions from Cabinet, that the Programme has sufficient resources to implement the Programme Plan effectively and in a way which minimises the Council's and ip&e Ltd.'s risk exposure.
- 4) To achieve the creation of ip&e Ltd. as a wholly-owned organisation to counter-act projected reductions to the Council's budget.
- 5) To create and implement robust and comprehensive plans for the accelerated transfer of Shared Services to ip&e Ltd.
- 6) To create and implement robust and comprehensive plans for the transfer of Wave 2 and Wave 3 services, as agreed by Cabinet.

**Scope and Exclusions:** (Brief outline of what the project will and will not aim to do, including outline deliverables – to be copied from Project Planning Template)

**In Scope:**

- Create and manage the implementation of the Programme Plan. The ip&e Programme Board will own the Programme Plan and will make recommendations to Cabinet for the transfer of services to ip&e Ltd.
- Create an Implementation 'Tiger Team' to ensure sufficient staff resources are in place to implement the accelerated transfer of Shared Services.

**Supporting Work-streams:**

**Partnerships and Strategy**

The Partnerships and Strategy work-stream will develop the Council's strategic vision for ip&e Ltd. It will also establish protocols to ensure that robust partnership arrangements are maintained throughout and beyond the period of service transfer to ip&e Ltd.

**Key Objectives:**

- 1) Ensuring that the creation of ip&e Ltd. maximises the potential to impact positively on the 9 priority outcomes for Shropshire identified through Shropshire Council and Shropshire Partnership:
- 2) In particular, to ensure the company's creation achieves maximum positive potential to:
  - a. Enhance Shropshire's prospects for economic growth
  - b. Support and provide opportunities for young people in Shropshire

- c. Strengthen the vibrancy and vitality of Shropshire's voluntary and community sector organisations
  - d. Reflect commitments to sustainable development and equality of opportunity
- 3) Maximise the company's potential beneficial impact on all public service organisations in Shropshire
  - 4) Ensure lessons are learnt from previous reorganisations, restructures and service redesign, and that these are embedded within the creation of the company

**Key Deliverables:**

- Agreed Council Strategic Vision document for ip&e Ltd.

**Programme Management**

- Creation and Day-to-Day Management of Programme Plan
- Creation of Online Information Portal for Staff and Public
- Escalation of Issues (escalating risks, governance issues, and project time tolerances)

**Finance, Pensions, Commerce and Procurement**

The Finance, Pensions, Procurement & Commerce work-stream has been established to ensure that all aspects of finance, pensions, procurement & commerce are appropriately addressed and carefully managed during the set up and transition of services to ip&e Ltd.

The responsibility of the work-stream will be to ensure the most effective arrangements are put in place from a residual council perspective however, this will require the work-stream to review and agree a number of aspects of the ip&e Ltd. set up.

**Key Objectives:**

- 1) To ensure that the finance, pensions, procurement & commercial aspects of the set up and transition to ip&e Ltd. are fully considered and managed so that ip&e Ltd. may operate in the most effective manner on behalf of the shareholders (Shropshire Council) maximising success.
- 2) To assist in ensuring that appropriate governance arrangements are in place for ip&e Ltd.
- 3) To assist in ensuring that the set up and operation of ip&e Ltd. can stand up to any legal challenge.
- 4) To ensure that all the relevant issues and risks for the work-stream area are identified and that expert advice is taken to bridge knowledge and skills gaps where necessary.
- 5) To ensure that the financial, pensions, procurement & commerce aspects of the set up and operation of ip&e Ltd. are robust and stand up to independent challenge through the development of an overarching financial governance document which will feed into the overall Business Plan for ip&e Ltd.
- 6) To support the development of service business cases.

**Key Deliverables:**

- Project Management Documents
- Annual Business Plan Template
- Funding Agreement (as part of strategic contract)
- TAX/VAT approach/decision
- Pensions position decisions and policy statement on status of pensions deficit

- Procurement approach decision
- Support Services – robust costing methodology
- Initial loan agreement
- Asset inventory
- Short term banking arrangements
- Revised Council Financial Strategy to take account of ip&e Ltd.

### **Risk Management and Audit**

Audit and Risk officers will be seeking assurances from managers that they are aware of the impact of such changes; that they identify and properly mitigate all risks, that decisions are based on sound financial and risk assessments, are influenced in an open and controlled manner and that the internal controls are in place to ensure there is no unacceptable weakening of the control environment, to protect and make the best use of public resources when delivering services and in delivering this programme of work.

#### Key Objectives:

- 1) To ensure that the Council, through the Programme Board, is updated as to the scale of strategic risks facing them and the appropriate management of those risks.
- 2) To provide robust challenge to programme and project managers in respect of risks and internal controls following any known proposed or actual changes.
- 3) To provide advice and guidance on how risks and internal controls can be managed
- 4) To provide an opinion on the effectiveness of the control environment and indicate a level of assurance that can be taken based upon testing and evaluation of the programme of work and its associated risks. This opinion will be reported to the Audit Committee and will inform the Annual Governance Statement which is included in the Annual Statement of Accounts.
- 5) To assist the s151 Officer in the discharge of her duties to maintain a sound system of internal financial control.

#### Key Deliverables:

- Review and Challenge of Programme Strategic Risk Register
- Review and Challenge of Programme Operational Risk Register
- Review and Challenge of Risk Management Plans
- Review and Challenge of Programme Audit Plans

### **Legal**

To provide legal advice and assistance to facilitate the ip&e transition programme and ensure the legality and probity of the process.

#### Key Objectives:

- 1) Ensure the legality and probity of the transition process
- 2) Minimise scope for challenge
- 3) Provide timely and constructive advice and support
- 4) To maintain the support and advice throughout the transition process and post transfer to ip&e Ltd.
- 5) To assist in identifying and addressing legal risks during the transition process

#### Key Deliverables:

- Delivery of Strategic Contract
- Delivery of Service Specific Contracts for Wave 1 Services
- Delivery of Service Specific Contract for Shared Services

#### People

The People work-stream will provide strategic and operational advice on the aspects of transfers which impact on staff. In addition, this work-stream will provide operational support for service transfers.

#### Key Objectives:

- 1) Ensuring staff are transferred according to the principles agreed and legal frameworks that apply.
- 2) Ensure transferring staff are informed, consulted and engaged appropriately, adhering to legislative requirements.
- 3) Ensure trade unions are informed, consulted and fully engaged with the process of transfer, adhering to legislative requirements.
- 4) Ensure that ip&e Ltd. is provided with all staff related information in a timely manner in order that the transfer is successful.
- 5) Provision of due diligence information in a complete and timely manner to ip&e Ltd. which will also ensure risks can be identified and assessed.
- 6) Wider engagement with non transferring Shropshire Council staff (including consultation where required) to ensure that the transfer is seen as being integral to the continuing reputation of Shropshire Council as a good employer.
- 7) Ensuring that Shropshire Council staff are not adversely affected by the transfer and are able to continue business as usual post transfer.
- 8) Ensure Shropshire Council advises ip&e Ltd. on the staff related activities that need to be considered.

#### Key Deliverables:

- Creation and Implementation of TUPE Transfer Plan for Shared Services
- Creation and Implementation of TUPE Transfer Plans for 'Wave 1' Services
- Creation and Implementation of Staff and Unions Consultation Plan
- Implement Due Diligence process for transferring staff

#### Transition

The specific role of the Transition Planning work-stream will be to identify and plan services and activities for transition to ip&e Ltd. as well as to manage (and review) the timely and successful migration of services (including migration of staff, assets and ICT) from Council operation to operation by ip&e Ltd. or its subsidiaries.

#### Key Objectives:

- 1) Identification of the functions within Wave 2 and Wave 3 with Senior Managers and Service Managers (in preparation for agreement by Cabinet).
- 2) Defining the Council's Strategic Outcomes for agreement.
- 3) Developing deployment schedules, management controls, reporting procedures, as well as reviewing risks and contingencies.
- 4) Identifying resources (financial and human) with Lead Officers to complete transition activities (working with Lead Officers and their teams to redesign/design functions in

- preparation for transition).
- 5) Ensuring relevant and timely inputs are received from other work-streams.
  - 6) Developing detailed transition schedule including details of:
    - staffing inventory & transfer;
    - property inventory & transfer (including electrical, building and removal works);
    - ICT inventory & transfer (software, hardware, infrastructure);
    - information transfer.
  - 7) Providing assurance that suitable office space requirements and location (including floor-plan) are met.
  - 8) Providing assurance of continuity of operations.
  - 9) Providing assurance of information governance and around ordering of equipment requirements (e.g. furniture).
  - 10) Provide assurance that training materials are developed.
  - 11) Completing quality assurance testing and providing assurance of customer approval.
  - 12) Ensuring that business cases are developed and timetabled to go through the Council's Governance and sign-off pathway.
  - 13) Transitioning the services across to ip&e Ltd. (after which the ip&e Ltd. Managing Director will take on responsibility for on-going development, maintenance and support).

**Key Deliverables:**

- Council Strategic Outcomes Document
- Transition Checklist
- Service Transfer Business Case Template
- Reporting and Performance Management Framework
- Business Continuity Plan Template

**Impact Management**

The Impact Management work-stream will seek to pre-emptively appraise all service transfers following best-practise impact assessment methods in order to ensure that all service transfers are consistent with Shropshire Council's Strategic Outcomes.

**Key Objectives:**

- 1) To ensure that Service Transfers to ip&e Ltd. contribute to, and do not detract from, Shropshire Council's Strategic Outcomes via a pro-active impact appraisal process.
- 2) To ensure that there is no negative impact on service users.

**Key Deliverables:**

- Creation and Implementation of Programme Impact Management Plan
- Creation and Implementation of Service Specific Impact Management Plans – to include Economic, Community and Environmental Appraisals.

**Stakeholder Management**

**Key Objectives:**

- 1) To support the delivery of ip&e Ltd. throughout its lifecycle with a comprehensive and professional approach to communications.
- 2) To develop a network of key stakeholders, with their preferred methods of

communications to engage them at all stages of the process.

**Key Deliverables:**

- Creation and Implementation of Stakeholder Engagement Plans for:
  - Staff
  - Unions
  - Members
  - Partner Organisations
  - Public

**Constraints:** (Budget, Resources etc.)

A Tiger Team has been established from relevant services on the basis that each team member will be a dedicated resource for the project with the sole purpose of delivering the accelerated transfer of Shared Services.

Given the increased pace required for the implementation of the Shared Services Transfer, it is imperative that the staff identified below remain available as required up to the date of the Shared Services Go Live, and, where required, as the Single Point of Contact for the duration of the remainder of the Programme:

Programme Director (David Myers)  
Interim Shared Services Manager (Neil Langford)  
Programme Manager (Alex Gore)  
Technical Accountant (Ros Bridges)  
Solicitor (Lindsey Blackall)  
HR Business Partner (Claire Degg)  
Infrastructure and Security Team Leader (Ian Churms)  
Lead Service Development Officer (Matt Powell)  
Integration and Architecture Team Leader (Chris Jones)  
Senior Internal Communications Officer (Caroline Mitchell)

**Risks:** (To be copied from Risk Register in Project Planning Template)

The following have been identified by the ip&e Programme Board as the strategic risks facing the Programme:

- 1) Failure of the Council to align its statutory duties with its responsibilities as sole owner of ip&e Ltd.
- 2) Failure to identify, manage and mitigate the risks within the Strategic Contract work stream.
- 3) Failure to have formalised governance arrangements in place to protect brand, confidence and reputation.
- 4) Failure of the Council to retain strategic capacity and expertise to support Councillors to deliver and fulfil their role as leaders of their communities.
- 5) Failure to have considered and undertaken relevant Equalities Impact Needs Assessments (EINA's).

- 6) Failure of the Council to create the environment in which the company can be successful.

Additionally, each supporting work-stream has created an operational risk register, which is overseen by the Council Risk Management Team. A consolidated version of this is held by the Programme Management Team.

Each risk has been allocated a Risk Owner and an action plan for mitigation, as per the Council Opportunity Risk Management Strategy.

**Assumptions:**

- 1) ip&e Ltd. is created as a wholly Council-owned company, and will, through the Strategic Contract and relevant Service Contracts, have the operational capacity and flexibility to deliver services commissioned by the Council.
- 2) The relationship between Shropshire Council and ip&e Ltd. will be governed by a Strategic Contract that will be agreed by Council.
- 3) ip&e Ltd. will be a vehicle for delivery of Council services.
- 4) Council services will be considered appropriate for transfer to ip&e Ltd. in the first instance, pending evaluations as to their suitability for transfer.
- 5) ip&e Ltd. will have both the expectation and flexibility to generate additional revenue streams from other organisations.
- 6) Sufficient resources will be made available by the Council to deliver the Programme of Service Transfers to ip&e Ltd., once Cabinet have agreed each service transfer.
- 7) Wave 1 services will include Print and Design Services, Shire Services, Legal Services, and Shared Services.

**Initial Business Case:** (Outline ROI; Benefits associated with a more commercial focus etc)

N/A

**Programme Organisation Structure:** (Brief description of key personnel, including main project responsibilities, and the project hierarchy)

- The Programme is organised to PRINCE2 standards, and the hierarchy is arranged accordingly.
- The Programme consists of 9 supporting work-streams, which will act in an advisory capacity, and 4 service delivery work-streams.
- Each ip&e Programme Board work-stream will report directly to the ip&e Programme Board, via an agreed reporting framework, as established in the ip&e Programme Board Terms of Reference.
- The Tiger Team will be led by the Programme Director, who will report to the ip&e Programme Board.

**Programme Sponsors:** Keith Barrow; Tom McCabe.

**Programme Director:** David Myers – will report to Programme Board as required on status



of the programme, and any exceptions. Decision making responsibilities for resources within the 'Tiger Team'. Providing strategic advice on the direction of the Programme.

**Programme Manager:** Alex Gore

**'Tiger Team' Project Implementation Team:**

Interim Shared Services Manager  
Financial Advisor  
Legal Advisor  
HR Advisor  
Shared Services Technical Advisor  
Shared Services Technical Advisor  
Shared Services Technical Advisor  
Communications Advisor

**Acceptance Criteria:** (e.g. project sign-off; transfer of staff)

The Programme Plan will be ratified by the ip&e Programme Board on 19<sup>th</sup> October.

Completion of the Programme Plan will be recognised in the following ways:

- Successful creation of critical operational capabilities for ip&e Ltd., as deliverables identified in the Programme Plan;
- Successful accelerated transfer of Shared Services to ip&e Ltd., as signed service contract with ip&e Ltd., and completed TUPE transfer;
- Successful transfer of remaining Wave 1 services to ip&e Ltd. by June 2013, as signed service contracts with ip&e Ltd., and completed TUPE transfers;
- Successful transfer of Wave 2 and Wave 3 services throughout 2013-15, the scope of services to transfer as agreed by ip&e Programme Board.

**Initial Project Plan**

**Schedule:** (To include project start and target completion date)

Start Date: 15/08/2012

Completion Date: 01/04/2015

Key actions as per Programme Plan.

**Resources:** (Staff, Budget)

A dedicated implementation team is necessary for the accelerated transfer of Shared Services to ip&e Ltd. A relevant team has been established with the following staff having been identified as critical to the successful implementation of the accelerated transfer of Shared Services:

Programme Director: David Myers  
Alex Gore  
Neil Langford  
Ros Bridges  
Lindsey Blackall  
Claire Degg  
Ian Churms

Matt Powell  
Chris Jones  
Caroline Mitchell

Additional staff will be required to support the Tiger Team, and will be identified by the relevant service advisor as necessary.

**Budget:**

**TBC**

**Project Controls:** (e.g. Review by project board)

All plans and documentation will be reviewed by the ip&e Programme Board as agreed in the ip&e Programme Board Terms of Reference.

The Programme Director will report to the Council Audit Committee as required.

**Tolerance and Exception Procedure:** (Identify the normal operating tolerance for time and budget; identify what will happen if tolerance is exceeded/likely to be exceeded)

Tiger Team project updates will be required on a weekly basis at the Team meeting.

Additionally, Programme updates will be required 1 week before each scheduled ip&e Programme Board meeting. Any updates outstanding 1 day before the Board meeting will be flagged as 'no update received' to the Programme Board.

Projects identified as likely to miss key targets will be assigned additional resources as required. Where missed targets are likely to delay the Critical Path, these will be escalated immediately to the Programme Board.

**Contingency Plans:** (If applicable)

N/A

**Additional Comments:**

None

Project Manager's Signature: \_\_\_\_\_

Project Board Approval:

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Date:

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