

**Policy Development Panel C
(Structural Reform)**

**Project Initiation Document for approval by the
Strategic Leadership Board**

Policy Development Panel C Project Initiation Document

INTRODUCTION

1.1 This Project Initiation Document (PID) will give the Strategic Leadership Board, the assurance that PDP C (Structural Reform) has established:

- clear Terms of Reference;
- an adequate management structure;
- that sufficient planning has taken place; and
- that sufficient resources are in place to take the project forward.

2. PURPOSE

2.1 The purpose of this document is to put in place firm foundations for Panel C by:

- setting out the aims and objectives of the project;
- defining the scope of the project;
- setting out the activities, resources, responsibilities and outputs required to facilitate the completion of the project; and
- setting out the management structure for the project.

2.2 This PID will be the baseline against which the Strategic Leadership Board can monitor progress and make decisions.

3 BACKGROUND

3.1 The local government proposals of the previous Direct Rule administration were reviewed by the Executive and the outcome was announced on 31st March 2008, by the Minister of the Environment. The decisions taken include the rationalisation of the current configuration of 26 council areas to create 11 new council areas and the transfer of a range of functions from central to local government. This is due to take place in 2011.

3.2 Taskforce structures have been developed to help manage and integrate the implementation stage of the local government reform programme. The top tier of the structure is the Strategic Leadership Board (SLB) which is the key driver of the reform process. This is chaired by the Minister of the Environment (Mr Sammy Wilson MP MLA) with the President of NILGA (Alderman Arnold Hatch) as Vice Chair and membership includes elected representatives of each of the five main political parties. The SLB is supported by three Policy Development Panels (PDPs), also comprising elected representatives along with central and local government advisors which have been charged with developing the policy and implementation proposals necessary to ensure the smooth transition of the new councils in 2011. PDP C (Structural Reform) proposals are subject to the approval of the Strategic Leadership Board with recommendations being taken forward by the Regional Transitional Co-operating Group in conjunction with Transition Committees representing the

Policy Development Panel C Project Initiation Document

11 groupings of existing councils which will form the proposed new local authorities.

- 3.3 SLB has charged Panel C with the development of recommendations on policy and implementation proposals in relation to 6 structural reform work strands. These embrace Human Resources, Capacity Building, Finance, Estates, Transfer of Functions and Service Delivery (ie on a Regional/Sub Regional basis).
- 3.4 At the inaugural meeting of Panel C, on 31st July 2008, it was agreed that working groups should be established, as and when required, to assist in the development of policy and implementation for each of these work strands or projects.
- 3.5 It was further agreed that some of the work strands naturally interlinked and for this reason should be taken forward on the basis of 4 projects listed below:
- Strategic Business Case (embracing local government structural reform)
 - Human Resources
 - Finance/Estates
 - Capacity Building
- 3.6 The Strategic Business Case project will be taken forward by way of a consultancy assignment. Phase I of the assignment, which is the responsibility of PDP C, will provide a cost benefit analysis of future service delivery options and models. Phase 2 of the assignment, which is the responsibility of SLB, will provide a full cost benefit analysis of local government restructuring in its entirety.
- 3.7 The other 3 projects taken forward mainly by internal working groups comprising central and local government officers.

4. PROJECT DEFINITION

Project Objectives and Terms of Reference

- 4.1 The management Terms of Reference of Panel C (Structural Reform) are defined as:-

“To lead the development of policy, for the structural reform work strands of the local government modernisation programme, to facilitate the effective and smooth transition from the current configuration of 26 council areas to the 11 new council areas which are to be in place in 2011. These structural reform work stands embrace Human Resources, Capacity Building, Finance, Estates, Regional and Sub Regional Design (Service Delivery) and the Transfer of Functions from central to local government.”

Policy Development Panel C Project Initiation Document

It will be the responsibility of Panel C to:-

- lead the development of policy, including timescales and resources, and to agree that programme with the Strategic Leadership Board;
- ensure that the programme of work remains on track and report regularly to the Strategic Leadership Board on progress;
- present recommendations on policy and implementation proposals to the Strategic Leadership Board for agreement;
- ensure that policy proposals are subject to consultation and the relevant impact assessments;
- ensure that requests to Strategic Leadership Board for financial resources are supported by an appropriate business case;
- commission task and finish projects on key work areas; and develop, where appropriate, proposals for local pilots in specific geographic areas.

Method of Approach

4.2 The work of PDP C will be managed using the PRINCE 2 (Projects in Controlled Environment) standards and associated project controls, in line with best practice for projects in the public sector.

A key priority of Panel C will be to develop a Project Plan/Programme for SLB approval (see Annex 1) setting out how it proposes to take the project forward. It is envisaged, however, that the project will consist of a number of stages:

Stage 1	Preparation of PID and approval by SLB
Stage 2	Establishment of working group and consultancy assignment teams
Stage 3	Delivery of options and recommendations to Panel C by working group/consultant teams
Stage 4	Policy proposals, including options and recommendations, made to the SLB
Stage 5	Post Project Review

Project Scope

4.3 It is envisaged that the scope of the Panel will embrace consideration of a range of key issues in each of the work strands.

Project Deliverables/Products

4.4 There are two key themes to the work that will need to be taken forward by Panel C:-

Policy Development Panel C Project Initiation Document

- the development of policy proposals for consideration by the Strategic Leadership Board and ultimately the Minister which will form the basis for the primary legislative proposals for the reorganisation of local government; and,
- the development of proposals for subordinate legislation, guidance (both statutory and non-statutory), pilot schemes where appropriate, etc to underpin the effective operationalisation of the primary legislative provisions.

4.5 Within each of these thematic areas there are a number of tasks that will need to be taken forward, both sequentially and in parallel, if the timetable for reform and modernisation programme, including the passage of the required primary legislation through the Assembly, is to be achieved. It is currently envisaged that most of the legislative provision, relating to the work strands for which Panel C has been charged, will be encompassed in the Local Government (Reorganisation) Bill.

Managing Interfaces

4.6 The PDP C project management team within the Local Government Policy Division of DOE will meet on a regular basis with officers from NILGA, local government Chief Officer advisors to Panel C, and senior colleagues in Departments to advance the work of the Panel in line with the agreed timetable.

4.7 The PDP C Project Manager will also meet on a regular basis with the Senior Responsible Owner, the Programme Manager, and the project managers supporting Policy Development Panels A & B to consider and develop proposals for the handling of interlinked issues. Any such proposals will be submitted to Panel C for agreement.

4.8 It will be important for the elected members of Panel C to seek and articulate the views of local government on the work strands being taken forward as part of the project. The Chair of the Panel will also report and seek the views of the Strategic Leadership Board at regular checkpoints in the project.

Project Filing Structure

4.9 All papers produced to inform the deliberations of Panel C and those to support its efficient and effective operation will be filed in accordance with the Department of the Environment's records management procedures.

5 PROJECT ORGANISATION

PROGRAMME AND PROJECT ORGANISATIONAL STRUCTURE

5.1 The diagram attached at Annex 2 sets out the overall programme structure.

6 ROLES AND RESPONSIBILITIES

Policy Development Panel C (Project Board)

6.1 Following approval of this PID by the Strategic Leadership Board, Panel C will be accountable for the success of the overall project. It will have responsibility and authority to make decisions in relation to the management of the project and provide commitment of resources to the project. The Panel will manage by exception, delegating the day to day running of the project to the Project Manager. The main responsibilities of the Panel will be to:

- review and seek SLB approval for this PID;
- agree responsibilities and objectives with the Project Manager;
- agree project and stage tolerances; and
- authorise commitment of project resources following SLB approval.

6.2 As the project progresses:

- guide the project ensuring it remains within specified constraints;
- authorise the start of each phase;
- review and approve plans;
- management of risks identified at plan approval stages;
- approval of changes; and
- ensure compliance with policy direction from the SLB.

6.3 At the end of the project:

- ensure that all products have been delivered;
- ensure all acceptance criteria have been met;
- provide End Project Report for SLB consideration;
- authorise Project Closure following SLB approval; and
- provide Project Evaluation Review for SLB consideration.

The Project Manager

6.4 The Project Manager will have the delegated authority to run the project on a day to day basis on behalf of Panel C within the agreed constraints. The main responsibilities of the Project Manager will be to:

- deliver agreed products to required specification and quality according to the planned timetable, and within budget;
- direct and motivate the project team;
- project manage and plan all stages of the project;
- agree delegations and project assurance roles;
- prepare project, stage and exception plans and agree with the Project Board;
- manage business and project risks (includes contingency planning);

Policy Development Panel C Project Initiation Document

- produce PIDs for Work Groups;
- liaise with members of associated projects or programmes;
- monitor progress, expenditure, resources, initiation of corrective action;
- keep PDP C informed of deviations in plans and associated action (Change Control);
- prepare highlight reports for the PDP;
- liaise with PDP to assure the direction and integrity of the project;
- prepare End Project Report;
- identify and obtain support and advice necessary for the management, planning and control of the project; and
- take responsibility for project administration.

Project Assurance Group

6.5 Project Assurance will have responsibility for independent monitoring of all aspects of the project's performance and products. Specific responsibilities of Project Assurance will be to:

- ensure the Panel members' needs and expectations are being met or managed;
- ensure that risks are being controlled;
- keep the project in line with agreed Project Plan;
- inform the project of any changes caused by external events; and
- ensure adherence to quality assurance standards.

7 PROJECT PERSONNEL

Policy Development Panel C – Project Board

7.1

Name	Organisation	Function
Ald. Arnold Hatch (UUP)	Elected Member	Project Chair
Cllr Myreve Chambers (DUP)	Elected Member	Vice-Chair
Cllr Mairead O'Dowd (SF)	Elected Member	
Cllr Seamus Doyle (SDLP)	Elected Member	
Cllr Marion Smith (UUP)	Elected Member	
Cllr Alan Lawther (All)	Elected Member	
Cllr Sean McPeake (SF)	Elected Member	
Cllr Gary Stokes (SDLP)	Elected Member	
Cllr Anne Wilson (All)	Elected Member	
Cllr Clive McFarland (DUP)	Elected Member	

Project Manager and Project Team

7.2 Following approval of this PID by SLB, the Project Manager (Brenda Mooney) will have the delegated authority to run the project on a day to day basis on

**Policy Development Panel C
Project Initiation Document**

behalf of Panel C within the agreed constraints. The Project Team will be a joint secretariat comprised of officers from DOE and NILGA.

Name	Organisation	Function
Brenda Mooney	DOE	Project Manager
Nora Winder	NILGA	Lead Officer NILGA
Speers Charters	DOE	
Helen Richmond	NILGA	
Sinead Kelly	NILGA	
Michael McKeown	DOE	
Gail Downey	DOE	

Project Assurance

7.3 Project assurance will be provided by the officers outlined below:-

Name	Organisation	Position
Ian Maye	DOE	Director, LG Policy
Tom McCall	LG Advisor	Chief Executive
David McCammick	LG Advisor	Chief Executive
Philip Irwin	DFP	
Barry Jordan	DRD	
Jim Wilkinson	DOE Planning	
Sharon Gallagher	DSD	
Michael Daly	DFP	
Grace Nesbitt	DFP	

8 PROJECT TOLERANCES

8.1 The recommendations of PDP C will have a very significant bearing on the formulation of proposals of the other PDPs. There is, therefore, only limited tolerance within the overall project.

9 PROJECT CONTROLS

9.1 Following approval by SLB, Panel C will have overall responsibility for the work strands within the project and will receive information from the Project Manager (and the Assurance Group) to enable it to fulfil this role. It will include checkpoint meetings, highlight reports, exceptions plans, stage authorisation and change control procedures, etc.

9.2 The major controls for Panel C will be:-

- Project Initiation – to ensure that, before significant resources are committed to the project, everything involved in the project has been agreed: project objectives, roles and responsibilities, project scope and

Policy Development Panel C Project Initiation Document

boundary, project controls. Following approval by SLB, Panel C can move to the next stage.

- End Stage Assessment – SLB only commits to one stage of work at a time. This assessment approves the work to date and provides authority to proceed to the next stage.
- Highlight (dashboard) Reports – provided by Panel C to the SLB on a regular basis to report progress during a stage. The Highlight Reports for this project will be produced monthly and will contain details of progress to date, achievements in the current period and achievements expected in the next period, details of actual or potential problems and suggestions for their resolution.
- Exception Reports – notification by Panel C to the SLB that the stage or project plan will deviate outside tolerance limits. This details the problem, outlines the available options and identifies the recommended option.
- Mid-Stage Assessment – this assessment is held between the PDP and the Project Manager after an Exception Report or a significant milestone to determine how the project will proceed.
- Project Closure – Panel C formally closes the project following approval from SLB.

10 COMMUNICATION PLAN

10.1 A Communications Plan, embracing the 4 projects within the remit of Panel C, will be developed that links with the Communications Strategy of the overall reform and modernisation programme. This will ensure that the sector and other interested stakeholders are kept informed of developments through the regular NILGA updates, the DOE website and the joint DOE/NILGA Newsletter.

11 QUALITY PLAN

11.1 The quality requirement for this project is the production of clear comprehensive project outputs on a timely basis. The Quality Review process will check to identify any errors, omissions, misunderstandings, ambiguity, and non-compliance with the overarching policy direction set out in the Minister of the Environment's Statement to the Northern Ireland Assembly on 31 March 2008 on the future shape of local government.

11.2 The Quality Management System to be used in the project is composed of the following elements:

- a set of standards to be applied to the production of project products;
- a quality assurance procedure for all products;
- a set of procedures to facilitate project issues;

Policy Development Panel C Project Initiation Document

- a set of procedures to facilitate change control; and
- the implementation of a consistent structured document management system for selected outputs produced by the project.

12 INITIAL RISK LOG

12.1 A detailed Risk Log and a strategy for managing the risks will be developed for endorsement by the Strategic Leadership Board. An initial appraisal suggests that the key risks will relate to the following issues:-

- availability of elected members to engage in the project;
- availability of project team personnel with experience of various work strands
- continuity of personnel as the project progresses;
- availability of financial resources to fund any identified requirements; and effective engagement with departments and other key bodies.

PROJECT PLAN / PROGRAMME

Timescale	Key Work Item
<i>September 2008</i>	<i>Preparation of Project Initiation Document for SLB approval and securing team resources</i> <i>Identification of current position in relation to work strands and the scope of work group/ consultancy teams' programmes</i>
<i>October 2008</i>	<i>Commence Strategic Business Case for the restructuring of local government.</i> <i>Phase 1 – Evaluation of service delivery organisational models</i> <i>Phase 2 – Evaluation of the overall Strategic Business Case</i> <i>Identification of any primary legislation requirement for 6 work strands</i>
<i>February 2009</i>	<i>Consideration of Strategic Business Case Phase 1 Report</i>
<i>Ongoing</i>	<i>Preparation and presentation of Working Group reports to SLB outlining issues, analysis and recommendations</i>

Policy Development Panel C Project Initiation Document

ANNEX 2

PROGRAMME AND PROJECT ORGANISATIONAL STRUCTURE

