

Programme Management Framework

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1. Introduction

NHS Kernow Clinical Commissioning Group has finite resources. These resources are managed by the Governing Body, Quality, Performance & Finance Committee and Executive Management Team through a financial strategy taking into account national and local requirements. In order to commission services that represent the best value for money, a robust, responsive and consistent programme management process needs to be in place.

This Framework should be read in conjunction with:

- Performance & Accountability Framework
- Procurement Framework
- Annual Business Planning & Delivery Process

2. Purpose

The primary aim of the Programme Management Framework is to embed robust and effective governance arrangements for the design, approval, implementation and delivery of programmes and their associated projects within NHS Kernow. It explains the stages involved in developing an idea into a programme and or project. In addition it provides a base for transformation, service development/improvement, linking the business development, approval and implementation functions in NHS Kernow.

The Programme Management Framework and associated templates represent good practice for the effective performance management and delivery of projects within NHS Kernow. Templates are available via the document library & IRIS.

3. Responsibilities

The following table lists the key roles and their responsibilities relating to this framework.

	Name	Role regarding performance management
Committees	Governing Body	Chaired by the CCG Chair - the Governing Body is ultimately responsible for all programmes and projects within the CCG. Its role is to maintain a strategic oversight of all programmes (and all projects that sit within), ensuring that projects are appropriately commissioned and achieve their objectives through services that will deliver

		benefits; be these qualitative, innovative, performance or financially related.
	Quality, Performance & Finance Committee	<p>Chaired by non-executive director; delegated authority from Governing Body to ratify the Programme Management Framework and any associated policies and procedures.</p> <p>Quality, Performance & Finance committee will:</p> <ul style="list-style-type: none"> • Approve the Programme Management Framework and any associated policies and procedures. • Have oversight of programme and project approval process. • Have oversight of programme/project risks and mitigation that would impact on achieving CCG goals or delivery of CCG objectives. • Receive assurance of progress of all programmes against CCG strategic objectives and QIPP via a monthly summary report and will also be informed of any escalation and mitigation of risk. • Consideration of project issues and risks across all programmes ensuring that appropriate mitigation strategies are implemented. • Managing projects by exception.
	Business Planning & Performance Group (BP&PG) <i>(Formally known as Financial Recovery Steering Group (FRP))</i>	<p>Business Planning & Performance Group is a sub-committee of Quality, Performance and Finance. Their core responsibility is:</p> <ul style="list-style-type: none"> • Approving the Business Case, PID, direction and key milestones of each project to ensure that they align to CCGs strategic goals and objectives and will deliver measurable benefits. • Ensuring that projects remain on target to achieve the expected benefits and will be

		<p>completed within their agreed budgets and timescales.</p> <ul style="list-style-type: none"> • Performance management of all efficiency initiatives.
	Executive Management Team	<p>Responsible for the overall performance of the CCG. The Executive Committee will retain an oversight of the progression of the CCG Operational Plan (and its individual programmes and projects).</p> <p>The Executive Management Team will:</p> <ul style="list-style-type: none"> • Creating an environment where projects can succeed in delivering the changes necessary for the benefits to be realised. • Ensuring that appropriate resources required by projects are made available in accordance with the Project Plans. • Taking decisions as necessary throughout the duration of each project. • Supporting the Senior Responsible Officer (SRO), Programme Manager (PgM) and Project Manager (PM) to enable them to lead the project. • Deciding on the priority of projects.
	Programme Boards	<p>Programme Boards are responsible for:</p> <ul style="list-style-type: none"> • Implementation and effective delivery of all projects within the programme. • Performance management of FRP initiatives as part of project and programme delivery. • Consideration of project issues and risks ensuring that appropriate mitigation strategies are implemented. • Decision making as appropriate, in accordance with agreed project plans and key milestones. • Reviewing and advising the FRP Steering Group on the integrity of submitted Business Cases and PIDs (e.g. completeness, level of

		<p>detail, quantity/quality of resources/ achievability of schedule, amount of contingency, approach to risk).</p> <ul style="list-style-type: none"> • Assessing the delivery of projects and identifying, controlling and mitigating risks where possible. • Updating the FRP Steering Group on the progress of the Programme and the individual projects within it, along with escalating any key risks and issues for decisions where required to the Quality, Performance and Finance Committee. • Ensuring that good project management practice is being followed, identifying any perceived weaknesses and suggesting improvements. • Monitoring resources usage and availability (e.g. financial resources). • Assessing whether communications with stakeholders are appropriate and effective and that their interests are being taken into account by the project teams. • Helping identify and communicate potential/actual problems in good time for them to be resolved before they damage the integrity of the project. • Advising on the impact of any changes requested by the SROs/PgMs/PMs. • Contributing to lessons learnt reviews and integrating these outcomes into future planning.
Individual's	Senior Responsible Officer (SRO)	<p>A Senior Responsible Officer, (SRO) is appointed for each programme undertaken by the CCG. The SRO is responsible for providing leadership and direction to the Programme Manager, ensuring that the programme is kept on schedule and addressing and/or escalating issues where they occur to ensure that the programme and</p>

		<p>projects run effectively and efficiently. The SRO is accountable to the Executive Committee and Governing Body for the effective design, implementation and delivery of all programmes and projects under his/her direction</p>
	Programme Manager (PgM)	<ul style="list-style-type: none"> • Overseeing the development of business cases within their area, assigning Project Managers and establishing with the key deliverables, milestones, resources and impacts in line with project documentation. • Ensuring there are coherent project structures and logical sets of plans in place for each project in their remit. • Ensuring all project documentation is completed by the Project Manager and submitted to the appropriate person on time, in line with the Programme Management Framework. • Monitoring and controlling the progress of projects, ensuring that proposed changes of scope, cost or timescales are checked against their possible effects on the business case and notified to the Programme Board for consideration. • Ensuring that the project is progressing to plan and that where key issues/risks are identified these are addressed where possible or escalated to the SRO where necessary. • Ensuring that risks are being tracked and mitigated as effectively as possible. • Ensuring the effective delivery and monitoring of efficiency initiatives. • Ensuring that all key stakeholders have been engaged by the Project Manager and are committed to the project. • Authorising expenditure where possible and

		<p>seeking Executive Committee approval where required.</p> <ul style="list-style-type: none"> • Attending the Programme Board and delivering updates in line with the Programme Management Dashboard Report. • Working with the Project Manager to complete the Post Project Report and submitting this to the Programme Board to ensure that any outstanding issues are documented and passed onto the appropriate body and that key stakeholders are informed where appropriate of the outcomes of the evaluation.
	Project Manager (PM)	<p>The Project Manager is responsible for the operational delivery and day-to-day running of the project on behalf of the Executive Committee and for ensuring that their project produces the required services, to the required standard of quality within the specified constraints of time and cost whilst achieving the benefits identified. In particular, the PM is responsible for establishing and delivering plans as part of each project under their remit. Core responsibilities include:</p> <ul style="list-style-type: none"> • Completing the required documentation at all stages of the project (e.g. business case, PID, checkpoint report, etc.). • Establishing a working group including clinical and subject matter experts (such as Finance, Quality, Performance, Comms & Engagement and HR) at investigation and implementation stages, directing their activities and ensuring task delegation and completion. • Identifying and obtaining any support and advice required for the management, planning and control of the project. • Planning and monitoring the project. Taking responsibility for overall progress and use of

		<p>resources and initiating corrective action where necessary.</p> <ul style="list-style-type: none"> • Planning and delivering the efficiency requirements of each project. • Identifying, managing and escalating risks and developing of contingency plans where necessary. • Ensuring that the Programme Manager and SRO are kept updated with project progress and risks. • Liaising with the Programme Board, SRO, Programme Manager and other Project Managers to ensure that work is not overlooked or duplicated. • Prepare and report to the PMO via the Programme Manager through Checkpoint Reports and Post Project Reports and attend Executive Committee meetings where required. • Supporting procurement programmes where required.
	Programme Clinical Lead	<p>Each programme will have at least one clinical lead (usually a GP), who is responsible for:</p> <ul style="list-style-type: none"> • Clinical leadership of the programme and individual projects • Developing clinical rationale • Building and maintaining clinical relationships needed to support change processes and delivery of projects • Providing clinical and technical expertise into projects.
	Programme Support Officer (PgSO)	<p>The Programme Support Officer is responsible for:</p> <ul style="list-style-type: none"> • Design and implementation of the Programme Management Framework across the CCG. • Ensure the PMO platform on the extranet is kept up to date.

		<ul style="list-style-type: none"> • Creating and maintaining project files on the CCG drive as required. • Maintaining the library of approved CCG Programme Management Documents including version control. • Gaining assurance from hosted services leading programmes on behalf of the CCG (i.e. programme governance, progress, and risk to delivery, closure and evaluation). • Ensure all project initiation documentation is in place and up to date in line with annual planning cycles. • Ensure quality, equality and privacy impact assessments are completed for all projects and approved prior to implementation. • Compiling the Programme Management Dashboard Reports based on submitted Checkpoint Reports and distributing this to the Quality, Performance & Finance Committee for consideration as required. • Ensuring exception reports are presented to the Quality, Performance & Finance Committee. • Risks are escalated in line with the Risk Management Strategy. • Ensure all projects are closed and evaluated in line the Programme Management Framework. • Providing advice and guidance on the programme management process.
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The head of this policy area, Deputy Director of Finance, is responsible for managing the process of implementation and evaluation of this policy, as well as preparing submissions on a regular basis to the policy area working group, liaising with relevant people and providing training as requested.

4. Key Stakeholders

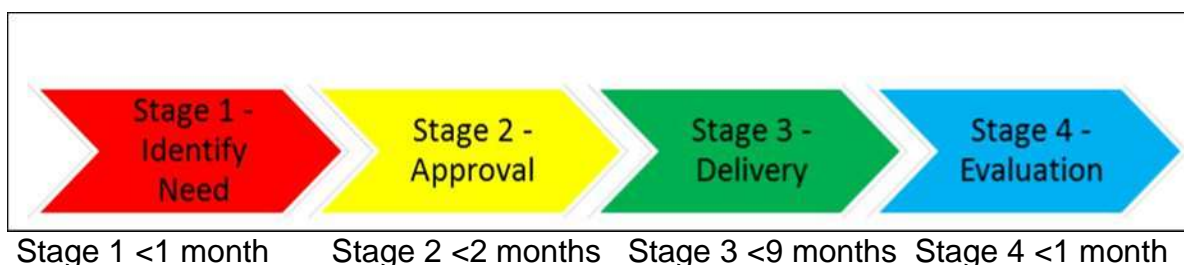
At the planning stage of each project, due consideration must be given to the formation of an initial working group to help develop the Business Case and later PID. It is expected that as projects are approved for implementation, the initial working group transforms to be the project implementation working group (project team & project advisers).

It is mandatory that key subject matter experts are included at the start of any project planning process and indeed throughout the duration of the project as deemed necessary. These will include but not be limited to:

- ✓ Finance
- ✓ Quality
- ✓ HR
- ✓ Business Intelligence
- ✓ Commissioning Intelligence
- ✓ Contracting & Procurement – compliance with NHS Kernow's procurement framework
- ✓ Clinical Experts
- ✓ Communication and Engagement

5. Project Initiation and Management Process

This section outlines the process that will apply to the project management lifecycle within NHS Kernow. A flow chart overview is also available in appendix 5 & 6. The lifecycle consists of the following stages (with suggested timelines):



The timescales shown above are the standard requirements for NHS Kernow, however it recognises that there may be circumstances where these will need to be extended. In these circumstances the durations will be clearly identified by the Project Manager

(PM), Programme Manager (PgM) and Senior Responsible Officer (SRO) during stages 1 and 2 and will be considered by the Business Planning & Performance Group.

Stage 1 Identification of Need

At this stage a need is identified within NHS Kernow's remit and an idea is developed concerning a possible project. Where the ownership line is clear (e.g. an Elective Care remit or a Quality Team remit) then the Programme Manager for this area will identify a Project Manager to develop a Business Case.

The Programme Manager must notify the PMO/Programme Support Officer at the earliest opportunity that a business case is being developed for a potential project. Once the Project Manager has been identified they will be tasked with establishing an investigative working group consisting of clinical and subject matter experts to complete a Business Case. This document will include areas such as the initial idea, strategic outcomes, benefits and resource requirements. The Programme Manager will work with the Project Manager to refine the Business Case and will then submit it to Senior Responsible Officer. The SRO will authorise for progression to the Business Planning and Performance Group. The Business Planning & Performance Group will assess the:

- ✓ Expected benefits of the Business Case (the projects' aims and objectives)
- ✓ Resource requirements
- ✓ Impact on other pieces of work being undertaken within NHS Kernow and the wider system
- ✓ Impact on stakeholders
- ✓ Fit with the strategic objectives of NHS Kernow and the wider system
- ✓ External factors including national legislation and best practice
- ✓ Opportunity and plans for efficiency delivery for NHS Kernow and the wider system
- ✓ Performance metrics for each project shall include measures to monitor the beneficial impact on quality, innovation, productivity, prevention and sustainability.

If a Business Case is approved this will be an agreement 'in principle' to continue to Stage 2. If is rejected it will be returned to the Programme Manager with further instructions. The Programme Manager must notify the PMO/Programme Support Officer of the Business Planning & Performance Group decision.

Stage 2 Further analysis and final approval

If the Business Case is approved the next step will be for the Project Manager to explore the idea further and prepare the Project Initiation Document (PID).

The Project Initiation Document is not just one document. It brings together all the key information needed to start the project on a sound basis. All the information in the business case is relevant to the PID with the addition of governance, a named project team and project advisers, project controls & tolerances, detailed resource requirements (budget & staffing) and a project plan (timeline). The PID includes –

- ✓ Project Initiation Document
- ✓ Project Plan with start date, end date, timeline and key milestones
- ✓ Efficiencies performance template, setting out both the opportunity and planned delivery of efficiencies benefits
- ✓ Project performance metrics and monthly reporting metrics (including efficiencies)
- ✓ Screening Equality and Quality and Privacy Impact Assessment
- ✓ Initial Communications Plan
- ✓ Project Risks (to be completed on IRIS)

The PID must normally be completed in full before submission to the Business Planning & Performance Group however they reserve the right to vary this requirement in exceptional circumstances.

The Project Manager will be expected to oversee and complete the majority of the PID however they will be required to draw upon the skill sets of their initial working group to jointly complete certain tasks such as the efficiencies analysis.

Once the PID has been drafted the Project Manager will submit it to the Programme Manager for their consideration. Once they are satisfied with the documents they will be sent to the Senior Responsible Officer for sign off and then the Business Planning & Performance Group for approval. The Programme Manager must notify the PMO/Programme Support Officer of the Business Planning & Performance Group decision.

Stage 3 Project Implementation

If the PID is approved by the Business Planning & Performance Group the project will then progress into stage 3, the implementation phase. The initial working group will transform into the implementation working group (project team) and subject matter experts (project advisers). Membership of the team should be consistent throughout the duration of the project (e.g. same named Finance working group member, Procurement working group member, etc.)

The Project Manager will be responsible for updating the project plan, risk log and communications plan throughout the project, harnessing the skill set of their working group where required.

The Project Manager shall be responsible for collating performance information in respect of each project on at least a monthly basis, in line with the PMO reporting schedule. This data, which is expected to be gathered from more than one data source, shall be collated by the Project Manager for a Checkpoint Report and used to inform the Programme Manager (in the first instance). The Programme Manager will then report project status and progress to the PMO for reporting to the Business Planning & Performance Group who in turn will report to the Quality, Performance & Finance Committee and Governing Body as appropriate.

Business Planning & Performance Group fulfils the role of a Programme Management Office (PMO) in NHS Kernow and as such the Project Manager, Programme Manager and PMO/Programme Support Officer will be expected to complete regular reporting on projects.

Stage 4 Evaluation and Future Planning

As the project concludes it will enter stage 4 of the process. Projects should be closed after successful completion; however, projects may also be decommissioned and terminated early. The Project Manager should make a recommendation to the Programme Manager to close the project and the recommendation taken forward to the Business Planning & Performance Group and Quality, Performance & Finance Committee.

The Project Manager will be responsible for co-ordinating their working group and completing the Post Project Review Report which includes lessons learnt and benefits delivered. This report should be completed for projects that have been successfully completed and also for projects that have been terminated early.

Once completed the report should be sent to the Programme Manager for review. Once reviewed it should be forwarded to the Senior Responsible Officer and PMO who will identify future planning opportunities and communicate the review back to the Quality, Performance & Finance Committee. The Project Manager is responsible for hand-over to Business As Usual (BAU). Where appropriate, key actions will be incorporated into the annual planning cycle.

6. Implementation plans and monitoring effectiveness

Following ratification by the Audit Committee the Executive Management Team (EMT) and Senior Leadership Team (SLT) will introduced to individuals and implemented with

effective from 1st April 2020. The organisation will measure the effectiveness of the policy by regular monitoring and reports of performance against the annual indicators.

7. Update and review

All policies and similar documents must be dated when approved and a review date also included. This will usually be three years unless there is an indication to the contrary. It is the responsibility of the author (or nominated officer) to be aware of influencing factors and to initiate reviews promptly within the three years if appropriate.

Appendix 1: Pre-ratification checklist

For use by ratifying bodies. To be attached to a policy or similar document when submitted to the appropriate committee/group/individual for consideration and ratification.

	Title of document being reviewed	Yes/No	Comments
1.	Title		
•	Is the title clear and unambiguous?	Choose an item.	
2.	Purpose		
•	Is the reason for the document stated?	Choose an item.	
3.	Development process		
•	Has a reasonable attempt been made to ensure relevant expertise has been included?	Choose an item.	
•	Is there evidence of consultation with stakeholders and users?	Choose an item.	
•	If appropriate, has there been clinical input?	Choose an item.	
•	If appropriate, has the joint partnership committee been consulted?	Choose an item.	
•	If appropriate, has the counter fraud specialist been consulted?	Choose an item.	
4	Content		
•	Are the objectives and intended outcomes clear?	Choose an item.	
•	Is the target audience clear and unambiguous?	Choose an item.	
5	Evidence base		

	Title of document being reviewed	Yes/No	Comments
•	Are key references cited, if appropriate?	Choose an item.	
•	Are the references cited in full, if appropriate?	Choose an item.	
•	Are supporting documents cross referenced?	Choose an item.	
6	Ratification		
•	Does the document identify which committee will be asked to ratify it?	Choose an item.	
7	Dissemination and implementation		
•	Is there an outline plan to identify how this will be done?	Choose an item.	
•	Does this include training/support to ensure compliance?	Choose an item.	
•	Is it clear whether the document can be published on the organisational website? If it cannot, is a clear, valid reason given for this?	Choose an item.	
9	Process for review and monitoring compliance		
•	Is a review date identified?	Choose an item.	
•	Is the frequency of review identified? If so, is it reasonable?	Choose an item.	
•	Is there a plan to review or audit compliance with the document?	Choose an item.	
11	Overall responsibility for the document		
•	Is it clear who will be responsible for coordinating the dissemination, implementation and review of the documentation?	Choose an item.	

Appendix 2: Consultation form

Please add any comments, sign on the last page and return this form. If you do not return this form, the assumption will be that you are satisfied with the content of the document.

This policy has been passed to the following people/groups for comment:

Name	Designation	Address
Senior Leadership Team (SLT)		Sedgemoor Offices

If you feel that this document should be passed to other colleagues/groups for their views then please write the names, job titles and contact addresses below. This could also include colleagues from outside NHS Kernow. **The author will arrange for a copy of the document to be sent to them.**

Name	Position	Address

Comments: Please specify page and paragraph numbers, or send back electronically with 'tracked changes' or comments.

Page/para	Comment

Signed:

Appendix 3: Summary of consultation responses

Consultee	Response received (summary)	Changes made as result (or reason not made)
Clare Bryan	Amendments to roles & responsibility table Spelling & grammar	All tracked changes accepted
Jackie Pendleton	Suggested changes to roles & responsibility table Minor amendments to language & grammar.	All tracked changes accepted
Trudy Corsellis	Correction of terminology and language.	All tracked changes accepted

Appendix 4: Equality Impact Assessment

Download latest version [here](#).

Appendix 5: Project Initiation & Management Process

Stage	Task	Suggested Timescales
Stage 1: Identification of need	Project idea is formed	< 1 month
	SRO & PgM identify a Project Manager	
	Initial Project Working Group investigates and develops Business Case and submits to SRO	
	PgM / PM submits Business Case to Business Planning & Performance Group for approval	
Stage 2: Further analysis and financial approval	Business Planning & Performance Group considers Business Case and informs SRO/PgM of outcome	<2 months
	If Business Case approved, PM to complete and submit Project Initiation Document (PID) to PgM/SRO for approval. PID received by Business Planning & Performance Group for approval	
	Business Planning & Performance Group consider PID and informs SRO/PgM of outcome.	
	If Business Case approved, PM to complete and submit Project Initiation Document (PID) to PgM/SRO for approval. PID received by Business Planning & Performance Group for approval	
	Business Planning & Performance Group consider PID and informs SRO/PgM of outcome. If approved project enters implementation stage.	
Stage 3: Project Implementation	Project Working Group formed and tasks allocated and commenced	<9 months
	Project Plan, Risks and Communication plan updated to include all actions required and maintained throughout project	
	Project Manager completes monthly checkpoint report and sends to Programme Support Officer for completion of Programme Management Dashboard Report	
	PMO Support Officer / PMO prepares Programme Management Dashboard and sends to Business Planning & Performance Group and Quality, Performance & Finance Committee	
Stage 4: Evaluation and future plans	SRO/PgM/PM complete post project report and submit to PMO Support Officer	<1 month
	Reviewed by Business Planning & Performance Group & onward to Quality, Performance & Finance Committee as appropriate	

Appendix 6: PMO / Project Management Process

Stage	Task		Suggested Timescales
Stage 1: Identification of need	Project idea is formed	PM informs PMO of project idea PM sends Business case to PMO Support Officer PMO Support Officer sends to Business Planning & Performance Group	< 1 month
	SRO & PgM identify a Project Manager		
	Initial Project Working Group investigates and develops Business Case and submits to SRO		
	PgM / PM submits Business Case to Business Planning & Performance Group for approval		
Stage 2: Further analysis and financial approval	Business Planning & Performance Group considers Business Case and informs SRO/PgM of outcome	PM sends PMO the PID for review PMO sends PID to Business Planning & Performance Group for review/approval	<2 months
	If Business Case approved, PM to complete and submit Project Initiation Document (PID) to PgM/SRO for approval. PID received by Business Planning & Performance Group for approval		
	Business Planning & Performance Group consider PID and informs SRO/PgM of outcome.		
	If Business Case approved, PM to complete and submit Project Initiation Document (PID) to PgM/SRO for approval. PID received by Business Planning & Performance Group for approval		
	Business Planning & Performance Group consider PID and informs SRO/PgM of outcome. If approved project enters implementation stage.		
Stage 3: Project Implementation	Project Working Group formed and tasks allocated and commenced	PM sends monthly report from PgM to PMO PMO updates PMO dashboard PMO Support Officer prepares dashboard for Business Planning & Performance Group & Quality, Performance & Finance Committee	<9 months
	Project Plan, Risks and Communication plan updated to include all actions required and maintained throughout project		
	Project Manager completes monthly checkpoint report and sends to Programme Support Officer for completion of Programme Management Dashboard Report		
	PMO Support Officer / PMO prepares Programme Management Dashboard and sends to Business Planning & Performance Group and Quality, Performance & Finance Committee		
Stage 4: Evaluation and future plans	SRO/PgM/PM complete post project report and submit to PMO Support Officer	PM sends PMO post project report PMO Support officer sends to Business Planning & Performance Group	<1 month
	Reviewed by Business Planning & Performance Group & onward to Quality, Performance & Finance Committee as appropriate		

