APPENDIX B : NATIONAL AUDIT OFFICE GUIDANCE AND SCC GOVERNANCE

NAO Guidance	SCC Governance
1.Transformation Set Up and initiation	
Vision	
A clear vision is essential for a successful transformation programme. There are two important tests to apply. First, the vision should set out in a tangible way what the transformation is trying to achieve. Second the vision should reflect an honest assessment of the underlying objectives for change. Some programmes, for example, will be driven largely by cost reduction targets.	Overall corporate transformation has historically been defined as the Core Council Programme (CCP). The shape of the CCP is driven by the Council's Business Plan, our response to legislative changes and financial imperatives. Each individual programme within the CCP has its own defined vision linked to a number of anticipated outcomes, clarity of which is tested through the application of Commissioning gateway reviews and business case gateway reviews under the governance of SLT, who act as Core Council Board. The Council's transformation programme is currently in the process of being revised to align with current financial imperatives and a redefined Council 'Core Offer', with a clear vision of establishing SCC as a financially sustainable organisation. Governance is currently applied through the senior leadership team (SLT), which has a focus on the Financial Imperative, with future governance arrangements for the revised transformation programme to be determined.
Strategy	
The transformation strategy needs to set out how to translate the vision into a coherent programme of work. It needs to provide structure to a large number of moving parts, and allow for some flexibility and learning during the programme, at the same time as maintaining the golden thread that ties these activities back to the original objectives and vision.	The senior leadership team (SLT) regularly reviews political priorities to develop the Council's Business Plan. This determines the projects and changes needed and forms the basis of the transformation strategy, and also takes into consideration the need to respond to legislative change and financial imperatives. The Business Plan maintains the 'golden thread'

	between the County Vision and individual service plans.
Governance and architecture	
The evolving nature of transformation requires strong leadership and governance to support decision-making during the programme. Governance arrangements need to reflect the importance of senior engagement and acknowledge the significant burden this places on leadership time and attention.	SCC has a number of strategic governance forums, including Commissioning Board and Strategic Risk Management Group. The Core Council Programme (CCP) is governed by SLT acting as the Core Council Board (CCB). Due to the Financial Imperative, SLT are currently meeting weekly to ensure financial sustainability is the top priority and that strategic transformation is planned and executed. The strategic managers commissioning group meet fortnightly to add robustness to decisions on spend in line with Commissioning gateways. Each individual Programme and Project within the CCP also has its own Board which localises decision making for ratification at CCB. Each individual programme or project has a Senior Responsible officer (SRO) who is accountable for the success of the programme and is expected to provide leadership.
2. Programme delivery and implementation	
Change and implementation	
During transformation programmes it is important to have a clear view of what progress is being made. It is rare to see programmes achieving everything that was initially planned; the test is whether changes to scope or timing are symptoms of more serious problems in programme management or the original case for change.	Programmes and Projects which are part of the Core Council Programme (CCP) are required to produce a monthly dashboard/highlight report charting progress and identifying risks and issues impacting delivery. These are reviewed by the Programme Management Office (PMO) and consolidated into an overarching dashboard which tracks overall progress in delivery of expected financial and non-financial benefits, risks and issues and potential impacts, as well as cross-cutting risks and issues. If progress is not on track, then senior managers discuss and agree

	mitigating action. Changes to timing and scope of a project/programme are managed through a formal change control process and monitored through a key milestone tracker held by the PMO. Business case gateway reviews and other checkpoints in programme delivery offer further opportunity to test progress and reaffirm the case for change. Where progress in achievement of benefit appears to be stalling on larger programmes, we also carry out health checks (eg TAP). The PMO offer advice and guidance to lead officers for projects and programmes outside of the Core Council Programme. We are currently linking this to the Commissioning gateway to identify those who may benefit from advice and guidance.
Service and performance management	
Given the length of time to transform services and organisations it is crucial to monitor performance during the delivery and roll-out of transformation programmes. A key test of performance management is the clarity and quality of information about performance.	Transformation programmes within CCP are required to use a benefits map which identifies data which can be used to measure achievement of benefits. These measures are incorporated into a benefits register and financial benefits tracker. Each service has a Performance scorecard which tracks performance against service measures and can be used to track performance of the service pre and post change. Regular HR dashboards and individual service performance reporting through mechanisms such as Adults PIMs and Children's QPRM and FPRM also provide additional benchmarks for transformation progress tracking. Work is ongoing as part of SCC's new core offer to ensure there are more overt links between service and HR performance data, business area scorecards and overall corporate objectives. Through the Financial Imperative

	programme the delivery of financial savings linked to MTFP 2018/19 and 2019/20 is being tracked on a weekly basis enabling speedy escalation and mitigation as required.
3. Live running and benefits	
People	
Transformation programmes depend heavily on the adoption of new systems and processes by staff and external users. At early stages these processes can be much less efficient and effective than planned. A key test of success is how quickly and how far services can be improved during live running.	As part of the TAP programme, a key workstream was around change and adoption. Business Change is considering how we roll out that model to support Change across service areas through a Business Partnering approach. This model includes Systems Review. Each service has a monthly Performance scorecard which tracks performance against service measures and can be used to track performance of the service pre and post change.
Process	
Achieving the benefits of transformation often depends on changes to processes and ways of working. A key test is whether stated benefits are based on genuine improvements to processes or the attribution of savings achieved through other means, such as business-as-usual rationing or passing costs on to users and other services.	Through the Financial Imperative Programme, we are tracking and monitoring the activity to deliver savings, as opposed to monitoring the finances in isolation. This is resulting in greater ownership of overall benefits tracking by service management and more stringent appropriation of savings achieved. Business Cases and/or PIDs prompt the business to link delivery activities to a change in capability and therefore to benefits, thus enabling benefits to be attributable to actions.
Technology	
Technology often plays a prominent role in transformation plans, both as an opportunity for newly designed digital services, and as an enabler of improved	Whilst the Technology and People programme is in the process of closure, the Change & Adoption and Systems Review approaches which have been developed as part of TAP will be utilised going forward as

ways of working. A key test for transformation is whether new technology has resulted in marginal improvements to interfaces and automated systems, or allowed a more fundamental change in processes and ways of working.	part of the Organisational toolkit to promote longstanding changes to processes and ways of working. The Tech Champs role, which was developed as part of TAP implementation, will remain in place. Tech champs help identify and drive more fundamental change and are developing case studies by service area which are then used and shared across the organisation.
The Role of Data	
In order to reshape ways of working and develop new services, data play a central role in determining what is possible. However, the nature and role of data across organisations are often poorly understood.	Data is increasingly being used to inform decision making and support new ways of working. Use of SCC Customers and Communities data well established in supporting understanding of need to inform Commissioning strategies. Use of data from management information systems (MIS) is being increasingly used to provide input to System Reviews (to identify efficiency and business transformation opportunities) and increasingly used to monitor and manage service performance on a regular basis, offering opportunities to identify trends and areas for improvement. The application of Workforce data has been used to drive service improvement e.g.. in Children's services, detailed monthly Social Worker data is produced and is used to inform monthly forecasting and modelling of workforce requirements.