

**Independent Quality Assurance Report**

**General Election 2023 Programme**

**February & March 2023**

**Caravel Group**

## Contents

- Interviewees ..... 3
- Management Summary ..... 4
  - Scope of this IQA Review ..... 4
  - Statement of Accountability by Senior Responsible Owner ..... 4
  - Focus Area Ratings ..... 5
  - Delivery Confidence Rating ..... 5
  - Summary of Recommendations ..... 6
  - Key Comments on Programme Health ..... 8
  - Electoral Commission Management Comment ..... 11
- Areas of Focus ..... 12
  - Business Benefits and Target Operating Model ..... 12
  - Programme Organisation ..... 14
  - Programme Team ..... 17
  - Programme Methodologies ..... 19
  - Scope Management ..... 21
  - Actions & Timescales ..... 22
  - Budget & Cost Management ..... 24
  - Risk and Issue Management ..... 25
  - Quality Management ..... 27
  - Communications ..... 28
  - Change Control ..... 30
- Appendix 1 Comments from Interviewees (unattributed) ..... 31
- Appendix 2 Programme Health Check Assessment Criteria ..... 32
- Appendix 3 Programme Independent Quality Assurance Approach ..... 36
- Appendix 4 Description of Delivery Confidence Ratings and Recommendation Priority Ratings ..... 39

## PROGRAMME INDEPENDENT QUALITY ASSURANCE REPORT

<b>Programme Name:</b>	General Election 2023
<b>Organisation:</b>	Electoral Commission
<b>IQA Completed By:</b>	██████████ and ██████████ Caravel Group (NZ) Ltd
<b>IQA Date:</b>	February/March 2023

### Interviewees

Adele ██████████	Principal Advisor Voting Services
Martin Rodgers	Manager, Voting Services
Andrew ██████████	Programme Manager Technology Workstream
Lisa ██████████	Senior Project Manager People
Janna ██████████	Senior Project Manager Communications & Education
Samantha ██████████	Senior Project Manager Enrolment & Community Engagement
Brett ██████████	Senior Project Manager GE Technology
Emily Redmond	GE 2023 Programme Director
Dame Marie Shroff	Board Chair
James ██████████	Chief Information Officer
Ross McPherson	Manager Enrolment & Community Engagement Operations
Shane Whitfield	Director Strategic Engagement & Partnerships
Leigh Deuchars	DCE, Strategy and Governance and Development
Lucy Hickman	DCE Enterprise Services
Kristina Temel	Manager Legal & Policy
Jeremy ██████████	Regional Manager
Mark Lawson	Chief Electoral Advisor
Peter ██████████	Regional Manager - Auckland and North
Sarah Lerwill	Senior Project Manager Voting Services
Anusha Guler	DCE Operations
Hone Matthews	Chief Advisor Māori
Izak ██████████	People and Culture Manager
Anne ██████████	Regional Manager - Southern
Suzanne Knight-Tinirau	Manager Communications & Education
Karl Le Quesne	Chief Electoral Officer and Programme Sponsor

## **Management Summary**

### **Scope of this IQA Review**

The scope of this IQA review of the General Election 2023 Programme includes:

- Communications and Education
- Enrolment and Community Engagement
- Voting Services (including field)
- Technology
- People
- Programme Management

The scope excludes the Māori Electorate Option project.

The review approach is shown in Appendix 3.

### **Statement of Accountability by Senior Responsible Owner**

I accept the findings of this Independent Quality Assurance Report.

Name: Karl Le Quesne  
Title: Chief Executive and Chief Electoral Officer  
Signature:  
Date:

Note: IQA is a management and governance review to consider whether everything is in place for the programme team and the Programme Board to plan, deliver, guide and control the programme. We use interviews and document appraisal. It is not a forensic audit involving detailed examination and confirmation of all activities or process compliance. If we find anomalies or gaps, we look for management or governance causes and solutions so that specific instances can be used to improve the programme as a whole.

## Focus Area Ratings

Focus Areas	Current Health Check Rating	Interim Target Rating	Action to achieve target rating
Business Benefits & Target Operating Model	3	2	To improve this score, define the programme benefit metrics and include benefits realisation in the programme scope,
Programme Organisation	2	1	To improve this score, define the EC Board's expectations of the programme and standardise the Project Managers' line reporting.
Programme Team	2	1	To improve this score, clarify roles and rights of Project Managers and BAU managers, explore ways to retain project and field management staff between elections.
Programme Methodologies	3	2	To improve this score, complete and approve all Project Management Plans, set minimum standards for project documentation, and provide support and specialist expertise for process mapping.
Scope Management	1	1	
Actions & Timescales	4	2	To improve this score, complete and baseline the Project Schedules, providing support as needed to the Project Managers and Project Coordinators.
Budget & Cost Management	3	2	To improve this score, apply the capabilities of the new FMIS to tighten budgets, apply contingencies and improve the timeliness of programme financial reporting.
Risk and Issue Management	2	1	To improve this score, conduct regular risk workshops and include risk mitigations in Programme and Project Schedules.
Quality Management	4	2	To improve this score, create a Quality Management Plan and gather lessons learned throughout the programme.
Communications	3	2	To improve this score, finalise the communications and stakeholder management plans to support prioritised delivery and status reporting, and ensure that status reports show the real status not an "improved version."
Change Control	4	2	To improve this score, create a change control register and baseline the project attributes which underpin the change control process.
Total:	28		

(Total Score Indicator: 11-22 Healthy, 23-38 Remedial action required, 39-55 Unhealthy)

Note that this is only an indicator and it should not mask problems with individual elements of the programme. The criteria for the scores are shown in Appendix 2)

## Delivery Confidence Rating

Our assessment of the Delivery Confidence Rating is: (Highly Likely / Likely / Possible / Unlikely / Highly Unlikely)<sup>1</sup>

<sup>1</sup> Refer to Appendix 4 for a description of the Delivery Confidence Ratings

## Summary of Recommendations<sup>2</sup>

### Business Benefits & Target Operating Model

1. The PMO Manager should work with DCE Strategy, Governance and Development to define requirements for business cases and benefits realisation processes. (Medium Priority)
2. The Programme Director and the DCE Strategy, Governance and Development should finalise the set of programme benefits metrics and include them in the Programme Management Plan. (Medium Priority)
3. The Programme Director should consider extending the scope of the programme to include measurement and reporting of achievement of the programme objectives and benefits. (Medium Priority)
4. The Programme Director, in coordination with the ELT, should develop a benefits realisation plan as part of the planning for the 2026 General Election. (High Priority)
5. A programme approach should be taken to the review and update of the Target Operating Model after GE2023, and the planning and management of the prioritised projects. (High Priority)

### Programme Organisation

6. The EC Board should document its expectations of the programme to ensure that the programme fully aligns with EC governance. (Medium Priority)
7. The Programme Director should standardise the line reporting of the Project Managers for the GE2026 cycle (Low Priority)

### Programme Team

8. The SRO, Programme Director and DCE Operations should explore ways to retain programme, project and regional/electorate staff throughout the electoral cycle. (High Priority)
9. The Programme Director and Manager PMO in coordination with the ELT, should define and communicate the relative rights and roles of the Project Managers and the BAU Managers. (High Priority)

### Programme Methodologies

10. Project Managers should all complete their Project Management Plans and receive approval. (High Priority)
11. The PMO Manager should set expectations of minimum documentation standards for programmes and projects. (Medium Priority)
12. The Programme Director should restate the case for a process mapper as part of the programme to deliver the 2026 election. (Medium Priority)

### Actions and Timescales

13. The Programme Director should ensure that the Project Schedules are completed and baselined. (High Priority)
14. The Programme Director should consider having a Project Scheduler to provide support and mentoring for the Project Managers and Project Coordinators. (High Priority)

### Budget and Cost Management

15. When the new FMIS is available, the Programme Director should arrange for the project budgets to be tightened, while applying a controlled contingency system. (High Priority)

*Continued on next page*

<sup>2</sup> Refer to Appendix 4 for a description of the Recommendation Priority Ratings

Risk and Issue Management

16. The Programme Director and Project Managers should conduct risk workshops with key programme/project stakeholders every quarter. (High Priority)
17. The Programme Director and Project Managers should include risk mitigations in the Project Schedules. (High Priority)
18. The Programme Director and PMO Manager should consider introducing an Issue Summary Form to inform the governance groups about new issues and the resolution plans. (Low Priority)

Quality Management

19. The Project Managers should each produce a Quality Management Plan for their project. (Medium Priority)
20. The Programme Director should formalise the process for gathering and prioritising Lessons Learned during the programme, to reflect that it does not only happen at the end of the Programme. (Medium Priority)

Communications

21. The Programme Director should ensure that the Communications project is working to approved communications and stakeholder engagement plans and is reporting progress against those plans. (High Priority)
22. The Programme Director should issue communications across Business Managers to clarify that every Project Manager is able to report the true status of their project. (High Priority)

Change Control

23. The Programme Director should create a change control register and populate it with previous approved changes. (Medium Priority)

## Key Comments on Programme Health

### Preface

We have drawn our conclusions from interviews, reading programme documents, and our experience of programmes and projects. For many of our statements there wasn't full consensus among those interviewed. Also, there was some "talking the talk" but reportedly not fully "walking the talk".

Most people interviewed were very complimentary about the programme and the benefit that it has provided in planning and management of the election. The programme is well led and well governed.

Overall, there is full commitment to delivering a successful election and supporting the electoral system. There is a lot of support for the programme management approach, and an understanding that early planning and managed implementation can help to reduce the "crisis mode" operation that has frequently been a feature of previous elections. However, there is still some contention with BAU about the management mechanism and how decisions should be made. In some parts, the Project Managers are seen as just a reporting mechanism - which misses the point of a lot of the value they can provide.

### Governance

The Programme Board (PB) and Steering Group (SG) structure works well, with the SG looking down at the projects and the PB dealing with strategy and more major issues. While some repetition of material between the two groups is inevitable, they are presenting to different audiences.

The connection between the Steering Group and Programme Board is not completely clear, raising some questions about information flow between the two, although judgement seems to be sensibly applied.

The presence of an independent member provides a valuable addition to the Programme Board by providing an alternative voice and perspective.

There were previously two Steering Groups. Joining them together was the right thing to do.

"Taking the reports and documents as read" is important to set expectations of the governance members and to get through the agenda in a reasonable time. It needs to be regularly repeated as the documents are not always read in advance.

### Business Cases

There is no business case for the GE Programme – partly because it is a regular BAU process. However, there is also no apparent policy about when a business case is applied. For example, the new Enrolments system was approved with a Project Brief. This means that there is less of a focus on benefits and benefits realisation than there should be.

### Target Operating Model

A programme normally includes a Target Operating Model (TOM) as it supports a prioritised path towards that future model with managed realisation of benefits along the way. We understand that a TOM was created for the Electoral Commission and resulted in the organisation re-structure. After the election the programme should work with the DCE Strategy, Governance and Development to manage an update to the TOM, and the subsequent gap analysis, prioritisation, and initiation of the initial projects.

### Programme Organisation

The structure of the programme and projects is appropriate - with the projects matched to the key BAU groups. This mostly works well but there is a need for further definition of the decision-making rights of the Project Managers and the BAU managers.

*Continued on next page*



### Programme Team

The programme is very well led and has a group of experienced and dedicated Project Managers, but the team would be considerably enhanced by the addition of a couple of roles:

- Process mapper: Election processes are documented in an operations manual which needs continuous improvement. The HQ processes are not documented. Documenting them would provide the basis for consistent practice and innovation.
- Project scheduler: There is a considerable variation in the Project Schedules (Gantt Charts). This causes problems and inefficiencies across the programme as there is no master schedule or project baselines, and there is a manual approach to dependencies and an uncertain critical path. It means that the programme can not readily do “what if” analyses e.g. ‘if this task is delayed, what is the flow-on effect?’

The programme team frequently needs to work with subject matter experts (SMEs), but there are few of them who have experience of previous elections and they have a lot of demands on their time. There has been substantial staff turnover and strategies are needed to improve this. It is likely that some of the turnover is due to the high workload and stress in the run-up to elections. Programme management can reduce this if there is full understanding and acceptance.

### Programme and Project methodologies

Methodologies are generally working for the programme, but not all are followed through. For example, not all of the Project Management Plans have been completed, and some that are substantially complete are not signed because of the difficulty in getting approval.

There is still considerable scope for tuning existing methods and templates and documenting expectations as well as implementing new templates, including a Quality Management Plan.

### Actions and Timelines

As mentioned earlier, considerable improvements could be made to the Project Schedules. Some of this is due to a lack of BAU ownership of a planned path and timings, and the value of transparency.

The critical path chart operated at programme level is useful to set expectations about critical milestones but is not integrated into the scheduling system.

Inter-dependencies are important. They receive a lot of attention through the programme team meetings. However, there are still occasions where actions with inter-dependencies are changed without reference to the other project. Also, they are not automated through the Project Schedules and a master schedule so full “what if” checks cannot be quickly run. This is a significant gap in a fast-moving programme where a decision in one area can have unanticipated effects in other areas.

Several of the Project Managers run a KanBan board with their BAU teams. This is a visual tool that gives an overview of the current work status and simplifies team communication. It is effective for agreeing and communicating forthcoming tasks, and to show what everyone is doing.

### Reporting

Apart from the financial reporting, the project and programme reporting is suitable and reflects a fairly accurate position. It addresses the key items.

However, there are attempts by some BAU managers to water down negative messages – even though the SG and PB can be engaged to help in the troubled areas.

Financial reporting against the programme budget has been poorly supported by the old FMIS. It is starting to improve with the incoming FMIS but reports are still not current.

*Continued on next page*

### Risk Management

There is good attention to risk management. The major risks and their mitigations are regularly reviewed. For some risks there appears to be too much optimism about how much the risks will be reduced by the proposed mitigations. This could affect decisions about whether the mitigations are sufficient or whether more needs to be done.

Over time, we would like to see the mitigation actions “mainstreamed” by inclusion in the Programme and Project Schedules rather than being managed separately. Also, periodic checking of the more minor risks is required to make sure their status hasn’t changed and that they are mitigated appropriately.

Risk workshops at programme and project level should be held quarterly, preferably including regional or electorate staff.

### Information Technology

Critical technology platform upgrades (MIKE, EMS, ERSA) appear to be on track with end-to-end testing and simulation programmes being implemented. Although not a focus of our review, there appears to be suitable attention to the security of the systems. The relationship with the key IT supplier Catalyst has improved recently and their contract has been extended.

A digital strategy development process is underway but there is no timeline for its completion.

### Communication

There are several communications and stakeholder strategies and plans in various stages of completion. Although not complete, these documents provide a fairly extensive view of the communications and stakeholder engagement elements for GE 2023. However, they don’t provide assurance that the deliverables are fully planned, resourced and on track to meet agreed dates. The Project Schedule is incomplete, and we did not see an alternate tracking spreadsheet. We understand that the communications team is very stretched for resource with roles that have not been able to be filled.

### Quality Management

There is no quality management framework for the Programme or Quality Management Plans for the projects. This doesn’t mean that quality isn’t considered in the programme, but there is some lack of formality about setting, approving, and meeting standards and acceptance criteria.

We would like to see a formal process for gathering lessons learned during the programme.

### Siloes

We were asked to look at whether organisational siloes were adversely affecting the programme. We did not see undue evidence of siloes during our review, although they no doubt exist. It seems that previous silo effects have been reduced by:

- Having programme and project planning and implementation management
- Regular CEO zoom staff meetings
- The ELT supporting a cross-organisational culture
- Internal communications
- Visibility across groups in the Programme Board and Steering Group (and the associated reports and documents)
- Programme and project team meetings
- Managing dependencies between groups/projects

### Interviewee comments

We sometimes find it useful to collect and present unedited (and anonymous) comments that were made by people during the interviews. These comments can help to provide a flavour of opinions that get lost in formal reporting. We have included some interviewee comments in Appendix 1.

## Electoral Commission Management Comment

This report is welcomed by the Commission. The main findings and recommendations align with the Programme view and appear both appropriate and achievable.

The Commission will reprioritise the 23 recommendations, taking into consideration our operating context and where we are at in the election cycle. We will ensure that those recommendations that directly contribute to the success of the 2023 election are progressed first, and others that are good programme management practice that will help us in the future will be progressed post-election.

The Programme Director will create a comprehensive Action Plan and progress towards closing actions will be reported on monthly in the programme status report.

## Areas of Focus

The programme was assessed in the following key areas with each area rated 1-5 (excellent - poor) as follows. Note that this is only an indicator, and it should not mask problems with individual elements of the programme. The criteria for the scores are shown in Appendix 2.

<b>Business Benefits and Target Operating Model</b>		
<b>Rating:</b>	<b>3</b>	<i>To improve this score, define the programme benefit metrics and include benefits realisation in the programme scope.</i>
<b>Comments:</b>	<ul style="list-style-type: none"> <li>• There is no business case or benefits realisation process for the programme or the composite projects. The Electoral Commission does not have formalised requirements for when a business case is required. For example, the new Enrolments system just had a Project Brief. A definition of the requirements for business cases and benefits realisation processes is needed.</li> <li>• There is a very clear alignment between the organisation's objectives and the programme. Despite the lack of a business case and a benefits realisation plan, there is also a clear understanding of the business benefits, objectives and deliverables within the programme team.</li> <li>• The objectives of the programme are to ensure:           <ul style="list-style-type: none"> <li>▪ All voters feel, and are, safe to vote in the 2023 General Election</li> <li>▪ Commission staff feel, and are, safe to work for the General Election</li> <li>▪ Parliamentary election results are delivered on time, with integrity</li> <li>▪ All voters have the opportunity to enrol and cast a vote, and that the Commission has done all it can to ensure voters:               <ul style="list-style-type: none"> <li>▫ Are enrolled</li> <li>▫ Have the confidence they need to vote (e.g., by receiving information when needed, in a format that is accessible to them)</li> <li>▫ Have convenient and accessible places to enrol and cast their vote</li> <li>▫ Have trust in the electoral process</li> </ul> </li> <li>▪ All voters have confidence that their vote will be counted</li> <li>▪ The organisation is resourced appropriately to deliver these services.</li> <li>▪ All stakeholders (including parties and candidates) are confident that the election has been delivered with integrity</li> </ul> </li> <li>• The Programme Management Plan states that "The Programme Director is working with the DCE, Strategy, Governance and Development to review our current Accountability documents and to produce a set of GE Programme Benefits. This section will be updated once this work is completed."</li> <li>• The scope description in the Programme Management Plan does not include measurement of achievement of the programme objectives or benefits. The measurements may be done by surveys and by tracking election data, but they should be included in the programme scope.</li> <li>• We note that benefits are difficult to attribute because there are many influencing factors, not all of which are within the control of the programme or the Commission. A benefits realisation plan would define what levers should be used and would gain formal approval for the extent of effort to be applied to improvement of the programme outcomes or project efficiency and effectiveness. In our view, development of this plan would not add sufficient value for the 2023 election but should be created and approved as part of the initial planning for the 2026 General Election.</li> </ul>	
<i>Continued on next page</i>		

<b>Business Benefits and Target Operating Model continued</b>	
<b>Comments:</b>	<p><u>Target Operating Model</u></p> <ul style="list-style-type: none"> <li>• A Target Operating Model (TOM) was developed in 2020. It has a horizon to 2030 and was intended to be progressively reviewed and updated. Several of the short-term changes have already been put in place, including the reorganisation. Culture and leadership changes have been started but there is still more to be done. There needs to be a roadmap for the implementation and upgrade of key systems. The model encourages continuation of the programme approach for the General Election.</li> <li>• After the election there should be a review and update of the TOM to inform both BAU and Programme planning. This should help to get past the electoral cycle limitations where previously the Commission has been good at tweaking things but not effecting major change. In our view, the Programme and Programme Board should be continued to update the TOM, do a gap analysis, create a roadmap for changes, and initiate the prioritised projects.</li> <li>• The TOM review may be informed by the findings of the DCEs Operations and Enterprise Services who are going to look at some Australian systems.</li> </ul>
<b>Actions:</b>	<ol style="list-style-type: none"> <li>1. The PMO Manager should work with DCE Strategy, Governance and Development to define requirements for business cases and benefits realisation processes. (Medium Priority)</li> <li>2. The Programme Director and the DCE Strategy, Governance and Development should finalise the set of programme benefits metrics and include them in the Programme Management Plan. (Medium Priority)</li> <li>3. The Programme Director should consider extending the scope of the programme to include measurement and reporting of achievement of the programme objectives and benefits. (Medium Priority)</li> <li>4. The Programme Director, in coordination with the ELT, should develop a benefits realisation plan as part of the planning for the 2026 General Election. (High Priority)</li> <li>5. A programme approach should be taken to the review and update of the Target Operating Model after GE2023, and the planning and management of the prioritised projects. (High Priority)</li> </ol>



<b>Programme Organisation</b>	
<b>Rating:</b>	<p><b>2</b> <i>To improve this score, define the EC Board's expectations of the programme and standardise the Project Managers' line reporting.</i></p>
<b>Comments:</b>	<p><u>Organisation structure</u></p> <ul style="list-style-type: none"> <li>• EC has just had an organisational change with new DCE roles being filled. This appears to be going well, but there are still many who are not clear on who does what and who owns what. Ongoing management of the understanding of the changes is required.</li> <li>• The role of the Project Managers is becoming clearer to EC staff, but they are often still seen as task-driven and focused on delivery dates without understanding some key realities. There is a tendency for people to go straight to line managers to get an update on progress or if plans are changing.</li> <li>• The interworking between the Project Managers and the line managers or advisors is variable. While all communicate between each other well, some line managers do not make full use of the Project Manager's capabilities and want to keep them subordinated. There is a small amount of ongoing doubt over the need to "projectise" the election. Also, there is confusion about reporting to the Steering Group where the Project Manager presents the report, but some of the line managers insist on editing the message before and during the Steering Group meeting.</li> <li>• There are inconsistent reporting lines for the Project Managers. Some report to the Programme Director, while others report to BAU managers. In the interests of consistency of support, practice and standards it would be preferable if they all reported to one place such as the programme or the PMO.</li> </ul> <p><u>Siloes</u></p> <ul style="list-style-type: none"> <li>• We were asked to look at siloes within the organisation as it had previously been a problem. It appeared to us that siloes between organisational groups were no more apparent than other organisations. The siloes seem to have reduced with the programme cross-cutting processes and the new management team but we are told that it still exists. There are also disconnects between HQ and the Field staff. More direct engagement is required between the new HQ managers and the Field staff.</li> <li>• The silo effect has been reduced by:             <ul style="list-style-type: none"> <li>▪ Having programme and project planning and implementation management</li> <li>▪ Regular CEO zoom staff meetings</li> <li>▪ Internal communications</li> <li>▪ Visibility across groups in the Programme Board and Steering Group (and the associated reports and documents)</li> <li>▪ Programme and project team meetings</li> <li>▪ Managing dependencies between groups/projects</li> </ul> </li> </ul> <p><u>Programme governance</u></p> <ul style="list-style-type: none"> <li>• There are three levels of governance structures that affect the programme – the EC Board, Programme Board (PB), and Steering Group (SG). We initially questioned the need to have both the PB and the SG but there is a clear differentiation of roles and purpose. The roles of each are generally understood and seen as working, and the delegated authorities are described in the Programme Management Plan. Administration for both is good with (most) documentation provided in advance and minutes and action registers maintained.</li> </ul> <p style="text-align: right;"><i>Continued on next page</i></p>

## Programme Organisation continued

### Comments:

#### Electoral Commission Board

- The EC Board wants to see a focus on strategy, risk management, and assurance. There are some improvements that could be made for the programme interaction with the Board, as follows.
  - Not enough information being provided to give confidence of “no surprises”, making sure that nothing endangers trust by the electorate.
  - From information provided to the Board it is sometimes hard to see what has changed since previous reports and what the Board needs to focus on and help with. A summary sheet would be useful, providing a concise summary with a risk focus to show why and how the Board is able to respond. For example, the programme assumptions, a critical foundation of the programme planning, should be provided to the Board for endorsement. Similarly, significant management decisions should receive a confirmation of strategic alignment from the Board.
  - Although some risk and disaster scenario planning has been proceeding in the programme, it has not been apparent to the Board.

#### Programme Board

- The PB Terms of Reference (ToR) document is fit for purpose with good content and messages. A possible improvement would be a clear statement on the limits of the Board’s authority. The authorities are implied in Appendix A – Artefacts for the Programme Board and the tolerances are better covered in Appendix 4 of the PMP. The PB ToR appendix mentions a “Programme Tolerances and Delegations” document, but we have not seen a copy of this document. If it were approved by the EC Board, it would define the extent of the Programme Board’s authority.
- The Programme Board has an independent member from Stats Dept to provide a wider perspective, share knowledge and experience. Their presence and inputs have been favourably received.
- The Chair (CEO and Programme Sponsor) makes decisions if there is no consensus. This is appropriate as they are accountable for the success of the General Election. A programme is not a democracy.
- We were told that the PB is maturing. It previously delved into areas not necessarily in their domain. Also, better information is now sought and is being provided for informed decision making.
- The Programme Board is currently moving from monthly to fortnightly meetings. This is good practice as the programme moves into a more intensive time where issues can have more immediate effects on the lead-up to the election.

#### Steering Group

- The SG Terms of Reference document is fit for purpose. The SG specifically looks at the progress and operation of the projects.
- The reports and papers are taken as read in order to get through the agenda items in a reasonable time. This puts an appropriate expectation on the projects to deliver their inputs on time and on the governance members to read and assimilate them, arriving at the meeting ready to explore the gaps, risks and issues.
- Project Managers briefly present their projects to the SG. Reports are prepared in collaboration with the BAU manager related to their project.

*Continued on next page*

<b>Programme Organisation continued</b>	
<b>Comments:</b>	<ul style="list-style-type: none"> <li>• The SG does not look for project management collateral e.g., Project Brief, PMP, baselined Gantt etc. This is an area for increased maturity when the PMO Manager sets expectations about minimum levels of standard for programme or project planning and management. In addition to SG surveillance, line managers will need to understand their responsibilities to review and endorse or approve the programme documents.</li> <li>• There were previously two steering groups, with a lot of participants and very long meetings. They have recently been combined into one, more streamlined, meeting. Meetings are well controlled to keep to about 2.5 hours' time while dealing with seven projects.</li> <li>• Although there is some lack of clarity about how SG feeds into PB, this is covered by the judgement of the co-Chairs. We were not made aware of any problems in this regard. Any small gaps can be covered by the co-Chairs who are also on the PB and the Programme Director who is a member of the SG and an attendee at the PB.</li> <li>• Some SG members haven't read their documents before the meeting, others have and want to get into too much detail. Due to scale and pace of change, some SG members use the meeting to better understand the business.</li> <li>• The SG is intended to make decisions, but not to solve problems. When there is a project issue, it should be presented to the SG with a recommended solution. If no solution is presented, then an action point is created and tracked.</li> <li>• Some of the IT projects don't go through the SG. Consequently, there is less visibility of these projects even though other GE2023 projects may be dependent on them (e.g., the Recruitment system).</li> </ul> <p><u>Programme Roles and Responsibilities</u></p> <ul style="list-style-type: none"> <li>• The description of roles and responsibilities in the Programme Management Plan is good, but there could be more emphasis on reducing siloes. The Programme Director role includes "coordinating interdependencies" and the SRO's role includes delivering a "coherent capability". The Project Manager's role includes "ongoing integration of all work undertaken to ensure across programme issues and dependencies are catered for". However, the Board and Steering Group members' role does not include a cross-organisation integration focus. We note that this is a comment about the documentation only. In our interviews we did not perceive any insular viewpoints among the members of those two governance groups.</li> <li>• The projects are aligned with the EC organisational groups and the functions they provide for the election. The Project Managers have to clearly define roles and responsibilities for their projects as they vary between BAU groups. For example, translating, printing or distributing material may be done by different groups depending on the subject matter. The responsibilities appear to be based on historical scoping rather than an economic clustering of skillsets.</li> </ul>
<b>Actions:</b>	<ol style="list-style-type: none"> <li>6. The EC Board should document its expectations of the programme to ensure that the programme fully aligns with EC governance. (Medium Priority)</li> <li>7. The Programme Director should standardise the line reporting of the Project Managers. (Low Priority)</li> </ol>



<b>Programme Team</b>	
<b>Rating:</b>	<p><b>2</b> <i>To improve this score, clarify roles and rights of Project Managers and BAU managers, explore ways to retain project and field management staff between elections.</i></p>
<b>Comments:</b>	<ul style="list-style-type: none"> <li>• The programme has a good team of experienced Project Managers and Project Coordinators. However, the team would be considerably enhanced with the addition of an experienced scheduler who could help the Project Managers with Gantt Chart development and standards, and support rolling up to a Master Schedule (see Actions &amp; Timescales) and a process mapper (see Programme Methodologies).</li> <li>• There are too few people on the programme team and in associated BAU groups who have experience with previous elections. While not much can be done about this for the current election, avenues should be explored for retaining Project Managers, Project Coordinators and Regional or Electorate Managers.</li> <li>• A lot of reliance is placed on advisors and Subject Matter Experts (SMEs) who have been through one or more election cycles. There are too few SMEs, and they are overburdened. In some cases, they tend towards a “have to do it myself” approach, resulting in bottlenecks and deviation from agreed timelines and schedules.</li> </ul> <p><u>Programme Director role</u></p> <ul style="list-style-type: none"> <li>• We received a lot of praise for the Programme Director and her ability to lead the programme and remove or reduce roadblocks.</li> <li>• The Programme Director is generally referred to by her first name and has high visibility with Head Office and Field staff. This indicates both acceptance of her role and her accessibility.</li> <li>• The role includes the need to encompass the contextual and strategic setting of the programme as well as ensuring the Project Managers are supported to manage the risks and details of their projects.</li> <li>• The Programme Director is supported by a Programme Coordinator – a valuable resource for increasing the Programme Director’s efficiency as well as for supporting the programme’s governance processes.</li> </ul> <p><u>Project Manager role</u></p> <ul style="list-style-type: none"> <li>• We found all of the Project Managers had a good understanding of their expected role and are suitably experienced, but they aren’t always able to carry it out. The relative rights and roles of the Project Manager and the BAU manager are not adequately resolved. The Project Manager is often seen as a reporting resource, rather than a management function that can make the work smoother and reduce risks. The value of a Project Manager is not always recognised or appreciated.</li> <li>• The number of Project Managers appears to be about right, with challenging but achievable projects. Project Coordinators have recently been engaged. They are mostly shared between two projects.</li> </ul> <p><u>Resources</u></p> <ul style="list-style-type: none"> <li>• The possibility of losing one or more key SMEs is a ‘major’ risk for the programme. This is included in the Risk Register (#39), but only for Voting Services and it is only shown as a ‘medium’ risk whereas the risk is more organisation wide and of higher significance. This risk was evident from the recent staff engagement survey. SMEs are valuable not only for providing direction and detail, but also for challenging assertions and assumptions.</li> </ul> <p style="text-align: right;"><i>Continued on next page</i></p>

<b>Programme Team continued</b>	
<b>Comments:</b>	<ul style="list-style-type: none"> <li>• Almost no-one in HQ has been in the regions for an election. None have been an Electorate Manager. Regional Managers are engaged on 2-year contracts. Many don't return for the next election so there is a loss of experience and knowledge. Opportunities should be sought to make them permanent and engage them on improvement initiatives when they are not needed for an election – for example as part of the programme following GE2023.</li> <li>• Some areas of EC are critically understaffed, e.g., Communications and Education are 8 people down from their budgeted complement of 22. Despite two recruitment rounds they have been unable to get people with the right skillsets. Similarly, there is contention for resources in the IT group. Two key staff have left, and IT is having difficulties in finding capable replacements.</li> <li>• Catalyst IT is a key supplier, providing EC's main IT systems and supporting data storage. The relationship has improved recently with a new 6-year contract just signed. The contract includes the requirement for Catalyst to maintain a guaranteed number of resources.</li> </ul> <p><u>Team Meetings</u></p> <ul style="list-style-type: none"> <li>• At the time of the review the Programme Director was starting a new set of regular meetings with the Project Managers. This includes a weekly meeting to review work in the forthcoming month. Another weekly meeting will progressively revolve the subject week by week around risks, dependencies, critical path and the whole schedule. This, along with improvements to the Project Schedules (see Actions &amp; Timescales), should create improvements to the planning, control and team coordination.</li> </ul>
<b>Actions:</b>	<ol style="list-style-type: none"> <li>8. The SRO and Programme Director should explore ways to retain programme, project and regional/electorate staff throughout the electoral cycle. (High Priority)</li> <li>9. The Programme Director, in coordination with the ELT, should define and communicate the relative rights and roles of the Project Managers and the BAU managers. (High Priority)</li> </ol>

<b>Programme Methodologies</b>		
<b>Rating:</b>	<b>3</b>	<i>To improve this score, complete and approve all Project Management Plans, set minimum standards for project documentation, and provide support and specialist expertise for process mapping.</i>
<b>Comments:</b>	<p><u>Programme Management Plan and Project Management Plans</u></p> <ul style="list-style-type: none"> <li>• The Programme Management Plan is fit for purpose. It is clear and concise and makes sensible use of links to other documents rather than trying to fit everything into one document. We note the following for future versions or for the next plan following GE 2023:           <ul style="list-style-type: none"> <li>▪ Consider creating a vision statement for the programme</li> <li>▪ The scope of future programmes could be broader than just one election in order to use the programme to deliver the Target Operating Model</li> <li>▪ Include the attributes of cultural changes that are needed to join the programme and BAU management elements together for best results.</li> </ul> </li> <li>• The Project Management Plan template is fit for purpose and has been well applied for some of the projects. Plans for the projects vary from non-existent to substantially complete. It is difficult to tell whether any of the plans are fully approved because their update progress is recorded through to being ready for approval, but the actual approval is not included.</li> </ul> <p><u>Programme and Project Document Standards</u></p> <ul style="list-style-type: none"> <li>• The Electoral Commission does not have standard programme or project standards and templates. A set of templates has been introduced by the Programme Director. They provide a good basis for the programme but there are some gaps (e.g., Quality Management Plan, Communications and Engagement Plan). We received comments that some of the templates need updating or are too detailed. In our view, it is acceptable for templates to be more detailed or extensive than is needed for all projects as long as there is guidance or support on how to adjust them to be fit for purpose. We would like to see expectations of the minimum documentation standards for programmes and projects.</li> </ul> <p><u>Decision making</u></p> <ul style="list-style-type: none"> <li>• Decision making rights are described in the Programme Management Plan. The descriptions are clear and provide a balance between agility and control. However, several of the decisions refer to things that are set out in project plans – not all of which have been completed and approved.</li> <li>• The Programme Director is currently mapping out the key decisions leading up to and during the election and when they should be made.</li> <li>• Decision making rights at the project level are not clearly documented. There is provision for roles, responsibilities and rights to be included in the Project Management Plans, but where the plans exist the way in which the decision rights are presented is variable.</li> </ul> <p style="text-align: right;"><i>Continued on next page</i></p>	

<b>Programme Methodologies continued</b>	
<b>Comments:</b>	<p><u>Recruitment</u></p> <ul style="list-style-type: none"> <li>• There are split responsibilities for recruitment – Enterprise Services do recruitment for core Electoral Commission roles while Voting Services do it for the approximately 20,000 temporary roles for the General Election.</li> <li>• The new Applicant/Recruitment Management system will make the recruitment of temporary election staff much easier and more efficient, including automation of the screening of applicants with the Ministry of Justice. This will allow all applicants to be screened where previously only about one third were checked. At the time of this review, the progress of the new system was being closely monitored as its timely delivery is important to the success of the programme.</li> </ul> <p><u>Business Processes</u></p> <ul style="list-style-type: none"> <li>• Business processes need to be mapped in order to control and improve the processes, develop Gantt charts and maintain the operations manuals. The Programme Director proposed that a Business Process Mapper should be engaged but we understand that it was not included in the budget, so the processes have to be drawn up anyway with no extra resources and very variable process mapping skillsets.</li> <li>• Resources have been applied to Business Continuity Planning (BCP) recently, but it is later than it should be. Preferably, the programme would have been testing the BCP now, not developing it.</li> </ul>
<b>Actions:</b>	<ol style="list-style-type: none"> <li>10. Project Managers should all complete their Project Management Plans and receive approval. (High Priority)</li> <li>11. The PMO Manager should set expectations of minimum documentation standards for programmes and projects. (Medium Priority)</li> <li>12. The Programme Director should restate the case for a process mapper as part of the programme to deliver the 2026 election. (Medium Priority)</li> </ol>



<b>Scope Management</b>	
<b>Rating:</b>	<b>1</b>
<b>Comments:</b>	<ul style="list-style-type: none"> <li>• The programme scope is adequately described in the Programme Management Plan. It doesn't have a great deal of detail as more of the detailed scope boundary definitions are within the projects.</li> <li>• The programme scope does not include benefits realisation. We would have expected to see this in the scope because a significant difference between a programme and a project is that the programme is responsible for outcomes and benefits whereas the project creates outputs which are handed over for the Business Owner to achieve the outcomes and realise the benefits.</li> <li>• The scope of each project is described in its Project Management Plan, if it exists. The plans that we saw had a good description of the project scope. They also included the out-of-scope items, which is important for defining a crisp scope boundary.</li> <li>• We did not get any indications that the programme or the projects were working outside of their scope.</li> </ul>
<b>Actions:</b>	Nil

Actions & Timescales		
<b>Rating:</b>	<b>4</b>	<i>To improve this score, complete and baseline the Project Schedules, providing support as needed to the Project Managers and Project Coordinators.</i>
<b>Comments:</b>	<p><u>Planning</u></p> <ul style="list-style-type: none"> <li>• Programme planning started early – in about June 2022. While this is better than previous elections, most people agreed that it could be earlier still. It appears that timings are on track, but in many cases people don't seem to care because they know that in the past they have got there by heroic action. While this may indicate a very committed workforce, it is an approach that carries a lot of risk and is likely to be the cause of a lot of staff turnover.</li> <li>• The Voting Services and GETP projects have major logistics components. The early start to these projects has helped to keep things on track.</li> <li>• There was a comment that the programme should have 3-year plans and schedules, not 1½ year plans. This is valid and is something to consider for immediately post-election.</li> <li>• We were told of a reticence among some BAU staff to commit to specific dates as they might be attached to a failure if the date wasn't achieved. This is perhaps understandable, but when the times and actions are put into a plan the staff don't use the plan to prioritise and manage their work, so consequently end up in crisis mode and/or miss milestones. There is work to be done in helping the BAU managers to understand the value of transparency in the work and resource requirements – to address risks early rather than allow them to become issues.</li> </ul> <p><u>Current status</u></p> <ul style="list-style-type: none"> <li>• Programme and project progress and outlook is reported each month to the Steering Group (projects) and the Programme Board (programme). This includes work carried out in the previous month and planned for the next month, and progress against key milestones.</li> <li>• At the time of the review the current outlook is reported as being satisfactory, but there is no room for complacency, and we did not detect any.</li> </ul> <p><u>Gantt Chart</u></p> <ul style="list-style-type: none"> <li>• Gantt charts have been developed by most Project Managers. They are not integrated with the Programme Director's version which is based on key milestones. The top-down approach is valid when certain key dates must be met, as in this case for the election requirements. We could not determine whether the project Gantt charts were correlated with those dates due to the poor state of many of the Gantt charts.</li> <li>• The Gantt charts are very variable. Some are just a list of dependencies and milestones, meaning they are not being used as an active management tool. Most lack a record of predecessors and successors, meaning a critical path cannot be derived from the Gantt charts. This is important because the critical path does not always run through the most obvious line. It also means that the Project Managers cannot do "what if" checks on the effects on the overall schedule if one element changed. It appears that scheduling assistance is required.</li> <li>• None of the Gantt charts are baselined and there is no roll-up to a Master programme version.</li> </ul> <p style="text-align: right;"><i>Continued on next page</i></p>	

Actions & Timescales continued	
	<ul style="list-style-type: none"> <li>At the time of our review, there is a concerted effort to improve the state of the schedules. Project Managers and Project Coordinators have received MS Project training and a minimum viable product expectation is being set for the Project Schedules. In addition, an application named One Pager has been purchased to roll the Project Schedules up into a programme view. It also provides a mechanism for confirming the alignment of dependencies between projects. These actions, along with the added resource of Project Coordinators, should result in a considerable improvement.</li> </ul> <p><u>Critical Path</u></p> <ul style="list-style-type: none"> <li>To be clear, a critical path is a path that connects the tasks which take the greatest amount of time for completion. By implication, a delay to any task (large or small) on the critical path will threaten the final milestone – a successful election in this case.</li> <li>The programme’s critical path roadmap is partially based on the milestones that were considered to be critical in 2020. The milestones are not all necessarily on the critical path, but they are the best that can be done at this stage. The programme can’t get a true critical path because the Gantts are not all complete, or baselined and rolled up to a master. There is no automated inter-project dependency linkage. It isn’t realistic to get real critical paths for this election, but it should be in place for the 2026 election.</li> <li>In some cases, BAU staff provide activity timespans which include hidden contingencies. While contingencies are a useful management tool, they should be declared and transparently collated by the Project Manager. There is a natural tendency for people to leave work until they think it is absolutely necessary. If that is done, any hidden contingency is immediately consumed.</li> <li>The new ARTS recruitment system is live for BAU recruitment and is planned to go live on 26 April for electoral staff. It is reportedly on the critical path, although if it doesn’t happen then it is possible to revert to the previous manual system, but as before not everyone will get screened against the Justice system. The DCE Enterprise Services is getting weekly updates on progress.</li> </ul> <p><u>Dependencies</u></p> <ul style="list-style-type: none"> <li>A Dependency Register is maintained, and the Programme Director reviews it with the Project Managers every month. This provides a manual control due to the lack of automated dependencies in a master schedule. Even with this coordination and regular reminders of the significance of dependencies, some Project Managers have changed dependency dates without reference to the effect on inter-dependent projects.</li> <li>Also see comment above about lack of predecessors/successors, and the improvements being made to the programme scheduling system.</li> </ul> <p><u>KanBan</u></p> <ul style="list-style-type: none"> <li>Several of the Project Managers use a KanBan board to present the project plan and track progress with their BAU teams. They review their KanBan boards with the teams weekly. This appears to work well as the whole team participates and gets the full picture of project progress and associated BAU work. It is also easier for team members to understand than a Gantt chart.</li> </ul>
<b>Actions:</b>	<p>13. The Programme Director should ensure that the Project Schedules are completed and baselined. (High Priority)</p> <p>14. The Programme Director should consider having a Project Scheduler to provide support and mentoring for the Project Managers and Project Coordinators. (High Priority)</p>

<b>Budget &amp; Cost Management</b>	
<b>Rating:</b>	<p><b>3</b> <i>To improve this score, apply the capabilities of the new FMIS to tighten budgets, apply contingencies and improve the timeliness of programme financial reporting.</i></p>
<b>Comments:</b>	<ul style="list-style-type: none"> <li>• The current budget and financial management system is not well set up to support the programme, although a new Financial Management System (FMIS) is being implemented at the time of this review. The new system is expected to be a significant improvement.</li> <li>• The financial management systems are split between the Electoral Management System (EMS) and the FMIS. The EMS is owned by Voting Services. It provides a parallel budgeting tool to track Field expenditure, whereas the FMIS provides for organisation-wide budgeting and financial management.</li> </ul> <p><u>Budget Management</u></p> <ul style="list-style-type: none"> <li>• The programme does not have direct budget control as the budgets for most of the projects are held by the associated business owner. As a result, Project Managers have little visibility of the budget. The Project Managers have to update budget forecasts via the business manager every month.</li> <li>• One exception is the GETP project which has its own budget. The Project Manager updates the budget forecasts himself.</li> <li>• The budget is not well set up to compartmentalise budgets, costs and contingencies. Using the new FMIS, budget control would be improved if budgets were tighter to provide more oversight of costs. This should be balanced by a controlled contingency system to provide for cases where assumptions prove to be wrong e.g., the election date is later than assumed, causing higher costs for maintaining the election team.</li> </ul> <p><u>Financial reports</u></p> <ul style="list-style-type: none"> <li>• With the current system, financial reports can't be run by the budget owner. They have to be requested from the finance team. They are often late. This means that timely reporting is not available for the governance groups.</li> <li>• There is an incomplete view of the full costs of an election as costs are buried in BAU budgets and reports. The election-based budget reporting shows the direct costs for the event, but not the BAU costs and resources applied to it. BAU costs could be estimated on a pro-rata basis. The new FMIS is unlikely to change this situation as time-sheeting would be required to accurately capture the BAU costs.</li> </ul>
<b>Actions:</b>	<p>15. When the new FMIS is available, the Programme Director should arrange for the project budgets to be tightened, while applying a controlled contingency system. (High Priority)</p>



Risk and Issue Management		
<b>Rating:</b>	<b>2</b>	<i>To improve this score, conduct regular risk workshops and include risk mitigations in Programme and Project Schedules.</i>
<b>Comments:</b>	<p><u>Risk Management</u></p> <ul style="list-style-type: none"> <li>The programme recognises that risk management is a critical component of the programme’s management. The programme risk management approach aligns with the Electoral Commission’s risk framework.</li> <li>Critical and medium risks are presented to the Steering Group and Programme Board.</li> <li>A risk workshop was held during initial planning when the risk register was started. No further workshops have been held. Even though risks are regularly reviewed in the programme team and governance group meetings, it is good practice to hold further risk workshops at least quarterly. This helps to identify new risks, discard those no longer relevant, and to maintain a balanced risk view across the programme and projects.</li> <li>The Electoral Commission is engaging a Risk and Assurance Manager. This role will consider strategic risks. Significant programme risks will roll up into the strategic view, and also some strategic risks may influence programme risks.</li> <li>A Risk and Security Committee has just had its first meeting. A similar committee operated during the 2020 election and was found to be worthwhile. Meetings will be held monthly initially. This committee is likely to provide an overview of key risk and security items as they affect the programme and should help to inform and support the programme’s risk management, as well as aligning with the Chief Electoral Advisor’s responsibility for overseeing security matters.</li> </ul> <p><u>Risk Register</u></p> <ul style="list-style-type: none"> <li>The risk register is suitable for programme use, but arguably too complex for wider communication. For example, there are three columns of status – Unmitigated, Current and Post Mitigation. There is some debate about whether both the Current and Post Mitigation columns are needed. Our view is that it is useful for the programme to know how much of the planned mitigation has taken effect. The important thing is that the mitigations are carried out - in which case Current and Post Mitigation should be the same. The Programme Director uses the Unmitigated and Current views in the report to the Programme Board.</li> <li>The risk register is frequently reviewed, updated and reported, but it still needs further work. There are anomalies. Some of the changes in risk rating from unmitigated to mitigated status seem very optimistic given the minimal mitigations proposed. For some risks, the likelihood or consequence is shown as being reduced even when the mitigation does not appear to address it.</li> <li>A lot of risks are focussed internally rather than externally. For example, Catalyst is very important for EC’s IT systems. The risk of Catalyst failing is not included in the risk register. Also, the unavailability of suitable people to employ in the electorates and voting stations due to the high current employment rate was mentioned during the interviews as a significant risk but is not included in the risk register. It may be useful to include Regional Managers in future risk workshops.</li> <li>There is a focus on moving risks from RED to AMBER rather than reducing the risk as much as is practically and economically possible. Low level risks often don’t get reviewed as the focus is on the more prominent ones. This underlines the need to do regular risk workshops – at both project and programme levels.</li> </ul> <p style="text-align: right;"><i>Continued on next page</i></p>	

<b>Risk and Issue Management continued</b>	
<b>Comments:</b>	<p><u>Risk Mitigations</u></p> <ul style="list-style-type: none"> <li>• Mitigations are monitored by Project Managers through regular reviews as part of preparing monthly reports. In some cases, it is hard to get Managers to accept ownership of risk mitigations, but if they do accept then the mitigation normally gets done. However, it is not always easy to tell if the mitigations have been done.</li> <li>• Rather than having mitigation actions managed via the risk register, we would like to see them fully integrated into project planning and control. The mitigation actions should be included in the Project Schedules – just like any other project action. In this way it is owned, monitored, controlled and reported on an everyday basis instead of intermittently in a risk review or for reporting. In addition, all mitigations are covered, not just the ones for the critical and medium risks that are included in reporting.</li> <li>• Larger programme or organisation risks may have multiple mitigations. The current system does not work well for this as it is hard to break the mitigations into composite parts and get reporting on them. Putting the mitigations into one or more Project Schedules should help to solve this problem.</li> <li>• Some risks affect the whole programme and parts of the Electoral Commission. For these risks it may be worth developing a Treatment Plan and managing them as work packages.</li> </ul> <p><u>Disaster Recovery and Security</u></p> <ul style="list-style-type: none"> <li>• Scenario planning is underway to consider the effects and responses if major events adversely affect the election, including floods, earthquakes, and road damage etc. A set of “what-ifs” has been established. A decision tree is being developed in case of crises (large and small), covering the first 24 hours after an incident. This is good to see, although there was a general view that it should have started earlier. At this stage it is still not included in the electorate plans.</li> <li>• While we did not review this in detail, we understand that the IT systems relating to the election receive comprehensive security testing (using expert contractors), including penetration, load, phishing, DDOS repelling and DR testing.</li> </ul> <p><u>Issue Management</u></p> <ul style="list-style-type: none"> <li>• The programme maintains an Issues Log. It is actively used with relevant issues included and tracked through to completion. The management of the issues appears to be effective as few issues remained open at the time of this review.</li> <li>• Open issues are included in the reports to the Steering Group and Programme Board, as applicable. The programme should consider using an Issue Summary Form to inform the relevant governance group of any new issue, its implications, and the action plan to resolve it.</li> </ul>
<b>Actions:</b>	<p>16. The Programme Director and Project Managers should conduct risk workshops with key programme/project stakeholders every quarter. (High Priority)</p> <p>17. The Programme Director and Project Managers should include risk mitigations in the Project Schedules. (High Priority)</p> <p>18. The Programme Director and PMO Manager should consider introducing an Issue Summary Form to inform the governance groups about new issues and the resolution plans. (Low Priority)</p>

<b>Quality Management</b>	
<b>Rating:</b>	<p><b>4</b> <i>To improve this score, create a Quality Management Plan and gather lessons learned throughout the programme.</i></p>
<b>Comments:</b>	<p><u>Quality Management Plan</u></p> <ul style="list-style-type: none"> <li>• There is no complete Quality Management Plan for the programme or projects, although a framework for quality management is included in the Programme Management Plan. We would encourage the development of a Quality Management Plan for each of the projects to make sure that critical quality elements are identified, acceptance criteria and processes are owned, and evidence of successful delivery is provided.</li> <li>• Despite the lack of a plan, there is good attention to detail in the programme. There is a wide recognition that good systems and training are essential to deliver a successful election that maintains a high level of trust in the electoral system and in the Electoral Commission.</li> <li>• Material produced for the field staff is “quality assured” through reviews and checking. This can be time consuming and apparently inefficient, but the implications of mistakes that are visible to the public are significant. Overall, it is of good quality and effective. However, there is no similar handbook for HQ staff. This results in more variability and reliance on SMEs. As mentioned in the Programme Team and Risk Management sections, this is a risk as there are insufficient experienced SMEs. The Programme Director is convening a group to define HQ processes and the associated system checks and balances.</li> </ul> <p><u>Document control</u></p> <ul style="list-style-type: none"> <li>• There does not appear to be a standard for document control. With project related documents it is sometimes hard to tell who has reviewed and accepted them. It also seems to be hard to get documents through all of the signoffs for formal approval. Consequently, some documents are used without full approval. Some attempts at improving control, such as with a coversheet have been rejected.</li> </ul> <p><u>Lessons Learned</u></p> <ul style="list-style-type: none"> <li>• The current Lessons Learned process after the election is good. It involves staff at electorate, regional and HQ levels, and the lessons are taken seriously. However, we were told that some lessons from the 2020 election are expressed in generic terms and are hard to fully understand without knowing the context. This has limited the extent to which they have been used for the current programme.</li> <li>• There is no formal documented process for gathering lessons during the programme, although there is a Lessons Learned Log which has gathered lessons as a result Project Managers running lessons learned sessions. The Log is discussed at the project management meetings and the Project Managers are encouraged to enter information into it on a regular basis. There is also a GE2026 ideas document that gets populated with improvement suggestions. In general, lessons should be collected throughout the project – not just at the end. By the end of the project people tend to forget useful things from the start.</li> </ul> <p><u>Recommendations from the Review</u></p> <ul style="list-style-type: none"> <li>• We understand that actions responding to recommendations from this review will be tracked by the PMO Manager. Progress will be regularly reported to the Programme Board. This is a good way to keep visibility of the potential improvements, especially those that may take longer to implement.</li> </ul> <p><u>Future IQAs</u></p> <ul style="list-style-type: none"> <li>• We have considered when future IQA reviews should be held. In our view there wouldn't be sufficient value in having another IQA review before the 2023 election. Our recommendation would be to have a review during the planning process for the next election cycle, potentially including a longer-term programme view towards the Target Operating Model.</li> </ul>



Quality Management	
<b>Actions:</b>	19. The Project Managers should each produce a Quality Management Plan for their project. (Medium Priority) 20. The Programme Director should implement a process for gathering and prioritising Lessons Learned during the project and programme, not just at the end. (Medium Priority)

Communications		
<b>Rating:</b>	<b>3</b>	<i>To improve this score, finalise the communications and stakeholder management plans to support prioritised delivery and status reporting, and ensure that status reports show the real status not an "improved version."</i>
<b>Comments:</b>	<ul style="list-style-type: none"> <li>• There are several communications and stakeholder strategies and plans in various stages of completion:                             <ul style="list-style-type: none"> <li>▪ EC Communications and Engagement Strategy which provides the principles for the whole organisation.</li> <li>▪ Public Information and Education Strategy for GE2023. This includes a stakeholder engagement plan which is still being worked on.</li> <li>▪ 2023 General Election Internal Communications Approach. This includes the phases, channels and messages for keeping EC staff informed. It is still in draft.</li> <li>▪ External Communications Plan (Public Education and Information Campaign Strategy) for accessing all New Zealanders through multiple channels.</li> <li>▪ Organisation wide Stakeholder Engagement Plans are being developed for each of 6 major stakeholder groups (with an election focus)</li> <li>▪ Stakeholder analysis and engagement register. This is not complete but is being updated as capacity allows.</li> <li>▪ GE2023 (communications) Deliverables register. This includes a list of over 200 communications deliverables, of which only 11 have dates allocated to them. They are nearly all shown as "must do" but only 2 are marked as complete.</li> </ul> </li> <li>• Overall, these documents, while not all being complete, provide a fairly extensive view of the communications and stakeholder engagement elements for GE 2023. However, they don't provide assurance that the deliverables are fully planned, resourced and on track to meet agreed dates.</li> <li>• We understand that the communications team is very stretched for resource. Despite an uplift in FTEs for the team, all of the necessary roles have not been able to be filled.</li> <li>• An advertising agency is used to access all of the external communication channels. A workshop was held with the agency (including the EC Board) to determine messages and strategies. Social media is a major focus for the election as it creates threats to the perception of the election, the electoral system and the Electoral Commission. The aim for the communication is to be proactive, not reactive.</li> <li>• There is a lot of focus on communication to Māori, both for the Māori Electoral Option and for the General Election. A Māori strategy was approved in late 2022 and is being followed. For this election, translations will vary so that each of the 7 Māori electoral areas can accommodate different Reo dialects.</li> </ul>	
<i>Continued on next page</i>		

<b>Communications continued</b>	
<b>Comments:</b>	<ul style="list-style-type: none"> <li>• A strategic message that we received in our interviews was that there needs to be a broadening of communications focus:               <ul style="list-style-type: none"> <li>▪ towards building relationships with influencers, not just about the “orange guy”; and</li> <li>▪ extend beyond the individual voter to the strategic education focus on democracy and education, and the integrity of the Electoral Commission</li> </ul> </li> </ul> <p><u>Programme and Project reports</u></p> <ul style="list-style-type: none"> <li>• Project monthly status reports go to the Steering Group and the programme report goes to the Programme Board. Both use the same template, which is fit for purpose. The programme report includes links to the project reports.</li> <li>• For some projects the monthly report has to go via the BAU Manager and Advisor before being sent to the Steering Group. Wording that may be seen as negative is sometimes diluted to reduce concerns and make it look more positive. This is counter to the purpose of project reporting where transparency is vital, and the governance group should be aware of any issues so they can help the project reduce project issues or risks in a timely fashion.</li> <li>• Some Project Managers have to work hard to get the content from their BAU teams for the report. This may imply a disengagement between the Project Manager and their BAU teams and a consequent reduction in the day-to-day value that the BAU team is getting from the Project Manager.</li> </ul>
<b>Actions:</b>	<p>21. The Programme Director should work with the DCE Operations to ensure that the Communications project is working to approved communications and stakeholder engagement plans and is reporting progress against those plans. (High Priority)</p> <p>22. The Programme Director should ensure that every Project Manager is able to report the true status of their project. (High Priority)</p>

<b>Change Control</b>		
<b>Rating:</b>	<b>4</b>	<i>To improve this score, create a change control register and baseline the project attributes which underpin the change control process.</i>
<b>Comments:</b>	<ul style="list-style-type: none"> <li>• The Programme Management Plan provides a set of principles for managing changes and a table of tolerances and change control actions.</li> <li>• Good change control relies on approved plans, delegations and tolerances as well as a process for gaining approval for changes that exceed the tolerances. The main attributes to which change control applies are budget, times, quality, scope. For each of these, the basis for change control is as follows:                             <ul style="list-style-type: none"> <li>▪ Budget. This is quite well controlled but, as mentioned in the “Budget and Cost Management” section above, the control is mainly through the Programme Director and the BAU manager not the Project Manager – who has no cost delegation.</li> <li>▪ Scope. This seems to be adequately controlled. However, it lacks formality because project scope should be approved as part of the project management and several of the projects do not have an approved Project Management Plan.</li> <li>▪ Time. There are no baselined Project Schedules, and several are a long way from being adequate for controlling actions and times. In addition, each part of the business follows its own process, which often results in dates being altered without oversight or approval.</li> <li>▪ Quality/Design. Apart from requirements specifications for purchased products or services, quality is not well enough defined to be the basis for change control.</li> </ul> </li> <li>• The above shows that the attributes lack the approved baselines that are needed for a fully formalised change control system. Despite this, we did not get any indications that the programme or projects were working outside known tolerances without suitable escalation.</li> <li>• Change approvals may be minuted in governance group meetings, but there is no change control register to provide an easily accessible history of requested changes.</li> </ul>	
<b>Actions:</b>	23. The Programme Director should create a change control register and populate it with previous approved changes. (Medium Priority) (Also, note recommendations above for defining and baselining scope, actions and times, and quality.)	

## **Appendix 1 Comments from Interviewees (unattributed)**

The following comments were made in the interviews. They don't all fully align with our overall review conclusions, but they help to provide an informal flavour of some opinions.

- The 2020 election looks good on the results, but it was a mess internally.
- Emily is great at getting things done or fixed. This has helped a lot to reduce bottlenecks and emergencies.
- My team is positive about programme management because it keeps other teams on track for work towards the election.
- Need to have a programme that can deliver transformative change sitting alongside the electoral cycle.
- ELT should do more prioritisation instead of just listing things to be done. No-one says "What won't we do if we do this new thing?". The General Election should be No.1 priority this year.
- Managers don't want their teams' actions put into a Gantt chart (or other plan). There is an attitude that "if we put this in the plan and we don't deliver, everyone will know that we failed".
- The risk register is too complex for many BAU people. It may be better to keep the complete register for the Project Managers but have a simplified view for the BAU teams.
- New people are working across the siloes, older ones not so much.
- The organisation is undergoing significant structural and systems changes – the bandwidth for quality improvements is limited.
- There are plenty of opportunities for improvement, for example you can enrol for the election online then a confirmation letter is posted to you (instead of by email).
- There is a new level of comfort that we are going to be given the things we need to do in the field.
- The Electoral Commission has a different definition of critical path i.e., everything they want to have for the election.
- Project documents should have links to other documents as people have difficulty finding way through SharePoint and Teams.
- "Everything is a priority"
- People provide dates but don't have a full commitment to meeting them.
- People change their priorities without finding from the Project Manager the implications of the change.
- Lots of good ideas are floated at ELT, but nothing is removed to make room for them. Interdependencies and precedents are not always understood or acknowledged.
- There needs to be more prioritisation of IT (and other) work, so that the focus is primarily on the things that are need for the election.



## Appendix 2 Programme Health Check Assessment Criteria

Business Benefits and Target Operating Model				
Standard to Attain	Moderate Problems Exist		Significant Problems Exist	
<p>There is a clear alignment between the programme objectives and the organisation's objectives.</p> <p>And: There is a clear understanding of the business benefits, objectives, and deliverables within the programme team.</p> <p>And: Business benefits are monitored, or systems are being set up to monitor them.</p> <p>And: The programme has a blueprint which is a model of the future organisation, its working practices, information requirements, and its supporting technology.</p> <p>And: The gap between current and future state is analysed.</p>	<p>There is a moderate level of either uncertainty or misalignment between the programme objectives and the organisation's objectives.</p> <p>Or: There are moderate gaps in understanding of the business benefits, objectives, and deliverables within the programme team.</p> <p>Or: Not all business benefits are monitored, and systems are not being set up to monitor them.</p> <p>Or: The programme has an incomplete blueprint which partially models the future organisation, its working practices, information requirements, and its supporting technology.</p> <p>Or: The gap between current and future state is not completely analysed.</p>		<p>There is a significant level of either uncertainty or misalignment between the programme objectives and the organisation's objectives.</p> <p>Or: There are significant gaps in understanding of the business benefits, objectives, and deliverables within the programme team.</p> <p>Or: Business benefits are not being monitored, and systems are not being set up to monitor them.</p> <p>Or: The programme does not have a blueprint.</p>	
1	2	3	4	5

Programme Organisation				
Standard to Attain	Moderate Problems Exist		Significant Problems Exist	
<p>The organisation of the programme, including governance and management, is clearly documented in the approved programme management plan.</p> <p>And: The governance and management structure is appropriate to the programme.</p> <p>And: Suitable advisory groups have been set up and are operating well. Members have the skills necessary to add value.</p> <p>And: Governance, advisory, programme team, and workstream roles are documented, understood and performed.</p>	<p>There is a moderate lack of clarity about the programme organisation.</p> <p>Or: There are moderate weaknesses in the programme governance and management structure.</p> <p>Or: Some gaps exist in the advisory groups, either in the availability, membership, or operation.</p> <p>Or: There are moderate gaps in the documentation, understanding, or performance of governance, advisory, programme team, and workstream roles.</p>		<p>There is a significant lack of clarity about the programme organisation.</p> <p>Or: There are significant weaknesses in the programme governance and management structure.</p> <p>Or: No advisory groups have been set up, although they would add value to the programme.</p> <p>Or: There are significant gaps in the documentation, understanding, or performance of governance, advisory, programme team, and workstream roles.</p>	
1	2	3	4	5



Programme Team				
Standard to Attain		Moderate Problems Exist		Significant Problems Exist
<p>The programme team is appropriately resourced, with the right level of skills, knowledge and experience.</p> <p>And: Roles are documented, understood, and performed.</p> <p>And: The programme team works well together to achieve the programme goals.</p>		<p>There are moderate gaps in the programme team resourcing, or in the level of skills, knowledge or experience.</p> <p>Or: There are moderate gaps in the documentation, understanding or performance of programme roles.</p> <p>Or: There are moderate difficulties in the way the programme team works well together to achieve the programme goals.</p>		<p>There are significant gaps in the programme team resourcing, or in the level of skills, knowledge or experience.</p> <p>Or: There are significant gaps in the documentation, understanding or performance of programme roles.</p> <p>Or: There are significant difficulties in the way the programme team works well together to achieve the programme goals.</p>
1	2	3	4	5

Programme Methodologies (programme management, systems development, procurement, commercial management)				
Standard to Attain		Moderate Problems Exist		Significant Problems Exist
<p>The programme is following appropriate methodologies.</p> <p>Where applicable, the methodologies are in keeping with PMO toolkit, templates, review and approval processes.</p>		<p>The programme has specified appropriate methodologies, but is not always following them.</p> <p>Or: The programme has not specified appropriate methodologies for all applicable activities.</p> <p>Or: The PMO toolkit is being applied inappropriately or incompletely.</p>		<p>Methodologies are not specified.</p> <p>Or: The PMO toolkit is not used.</p>
1	2	3	4	5

Scope Management				
Standard to Attain		Moderate Problems Exist		Significant Problems Exist
<p>The programme scope is well defined and documented to a suitable level of depth.</p> <p>And: The programme team is working within the approved scope.</p>		<p>There are moderate gaps in the definition or documentation of the programme scope.</p> <p>Or: The programme team is working beyond the approved scope to a moderate extent.</p>		<p>There are significant gaps in the definition or documentation of the programme scope.</p> <p>Or: The programme team is working beyond the approved scope to a significant extent.</p>
1	2	3	4	5

Actions and Time scales				
Standard to Attain	Moderate Problems Exist		Significant Problems Exist	
<p>Actions and timings are well planned, managed, monitored, and reported.</p> <p>And: Current timings are in line with the approved programme plan.</p> <p>And: The forecasted milestone completion timings are in line with the approved programme plan.</p>	<p>There are moderate weaknesses in the planning, management, monitoring and reporting of actions and timings.</p> <p>Or: There are moderate delays in some current actions compared to the approved programme plan.</p> <p>Or: The forecasted milestone completion timings indicate moderate delays compared to the approved programme plan.</p>		<p>There are significant weaknesses in the planning, management, monitoring and reporting of actions and timings.</p> <p>Or: There are significant delays in some current actions compared to the approved programme plan.</p> <p>Or: The forecasted milestone completion timings indicate significant delays compared to the approved programme plan.</p>	
1	2	3	4	5

Budget & Cost Management				
Standard to Attain	Moderate Problems Exist		Significant Problems Exist	
<p>Costs are well planned, managed, monitored, and reported.</p> <p>And: Current costs are in line with the approved budget plan.</p> <p>And: The forecasted completion cost is based on good forecasting practice.</p> <p>And: The forecasted completion cost is in line with the approved programme budget.</p>	<p>There are moderate weaknesses in the planning, management, monitoring, and reporting of costs.</p> <p>Or: Current costs moderately exceed the approved budget plan, or the budget plan is not approved.</p> <p>Or: There are moderate weaknesses in the forecasting practice used to determine the forecasted completion cost.</p> <p>Or: The forecasted completion cost moderately exceeds the approved programme budget.</p>		<p>There are significant weaknesses in the planning, management, monitoring, and reporting of costs.</p> <p>Or: Current costs significantly exceed the approved budget plan, or there is no budget plan.</p> <p>Or: There are significant weaknesses in the forecasting practice used to determine the forecasted completion cost.</p> <p>Or: The forecasted completion cost significantly exceeds the approved programme budget.</p>	
1	2	3	4	5

Risk and Issue Management				
Standard to Attain	Moderate Problems Exist		Significant Problems Exist	
<p>Programme risks and issues are identified, analysed and documented using a “good practice” process.</p> <p>And: Appropriate risk response plans are in place.</p> <p>And: Appropriate issue management and monitoring systems are in place.</p>	<p>Moderate gaps exist in the identification, analysis or documentation of programme risks and/or issues.</p> <p>Or: There are moderate weaknesses in the risk response plans.</p> <p>Or: There are moderate weaknesses in the issue management and monitoring systems.</p>		<p>Significant gaps exist in the identification, analysis or documentation of programme risks and/or issues.</p> <p>Or: There are significant weaknesses in the risk response plans.</p> <p>Or: There are significant weaknesses in the issue management and monitoring systems.</p>	
1	2	3	4	5

Quality Management				
Standard to Attain		Moderate Problems Exist		Significant Problems Exist
<p>A suitable quality management plan has been approved and is being followed.</p> <p>And: Stage and final acceptance criteria have been approved by the Sponsor and have been incorporated into programme plans.</p>		<p>The quality management plan is incomplete or has not been approved.</p> <p>Or: Parts of the quality management plan are not being followed.</p> <p>Or: The stage and final acceptance criteria have not been approved by the Sponsor.</p>		<p>There is no quality management plan (or equivalent).</p> <p>Or: The quality management plan is not being followed.</p> <p>Or: There are no stage or final acceptance criteria.</p>
1	2	3	4	5

Communications				
Standard to Attain		Moderate Problems Exist		Significant Problems Exist
<p>A suitable communication plan has been approved and is being followed.</p> <p>And: Programme reports are received at agreed time and contain accurate, relevant information.</p> <p>And: The Programme Manager has a good working relationship with programme stakeholders and the PMO.</p>		<p>The communication plan is incomplete or has not been approved.</p> <p>Or: Parts of the communication plan are not being followed.</p> <p>Or: Programme report deadlines are often missed.</p> <p>Or: Reported information is not accurate, complete, or relevant.</p> <p>Or: Moderate difficulties exist in the relationship between the Programme Manager and some stakeholders.</p>		<p>There is no communication plan.</p> <p>Or: The communication plan is not being followed.</p> <p>Or: Programme reporting is intermittent or non-existent.</p> <p>Or: Significant difficulties exist in the relationship between the Programme Manager and some stakeholders.</p>
1	2	3	4	5

Change Control – Time, Budget, Scope, Quality				
Standard to Attain		Moderate Problems Exist		Significant Problems Exist
<p>The programme Attributes (Time, Budget, Scope and Quality) are well defined and documented.</p> <p>And: Attribute changes, if any, have been well controlled, generally including; definition, implications, approval, and consequent planning.</p>		<p>There are moderate gaps in the definition or documentation of the programme Attributes.</p> <p>Or: Some small Attribute changes have occurred and have not been well controlled.</p>		<p>There are significant gaps in the definition or documentation of the programme Attributes.</p> <p>Or: Some significant Attribute changes have occurred and have not been well controlled.</p>
1	2	3	4	5



## Appendix 3 Programme Independent Quality Assurance Approach

Caravel’s approach to an IQA assignment is as follows:

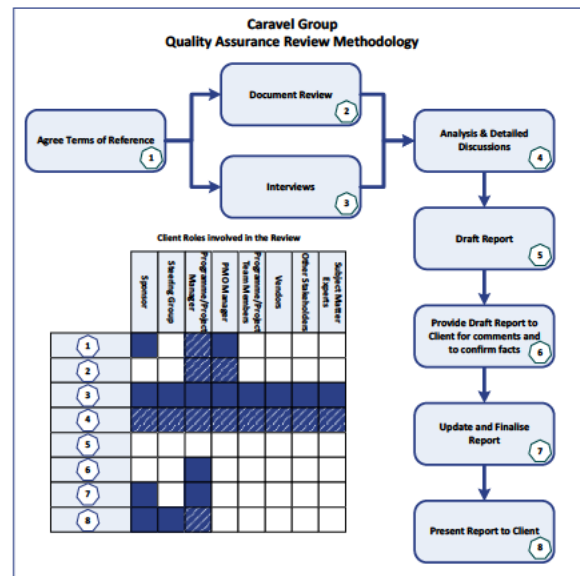
**1** Agree the IQA Statement of Work. This will involve discussion and agreement on a precise description of the IQA scope, services, assumptions, dependencies, milestones, reporting approach and fee structure. We prepare an IQA Plan which includes the scope, resources, timescales, details of the review, stakeholders, processes, and reporting.

**2** Document Review. We review the key programme and project documents in order to understand the business requirements, the deliverables, critical success factors, and expected outcomes and benefits. We consider the programme and programme management documents to assess whether basic programme and programme controls are in place. We will pay particular attention to risk and issue registers to ensure they are up to date, and that the risks identified are relevant to the scope of the programme or project, and have been appropriately mitigated, and residual risk has been considered. In addition, they will focus on the specific elements of the programme or project phase including the adequacy of governance and advice structures. The documents that we generally review are:

- Business Case
- Programme Management Plan
- Programme Schedule
- Programme registers (risk, issue, change control, assumptions, dependencies)
- Programme status reports including financial reports
- Steering Committee agendas and minutes
- Programme team meeting agendas and minutes
- Resource estimation, planning and allocation programme
- Procurement plan
- Implementation map
- Communications plan
- Quality Management plan

The document review informs us on the stakeholders who should be interviewed, and on the range of questions that should be asked.

**3** Interviews. We interview and meet with relevant stakeholders, programme and project staff and vendors. Where appropriate we will use Caravel checklists and questionnaires that are based on best-practice programme and project management and technical standards. In some cases, these may be provided for programme and project staff self-assessment prior to the review. The interviews provide assurance not only that the programme and project plans and controls are being applied, but also that they are effective in practice. Each interview is conducted by two Caravel Directors, and typically requires up to one hour for completion. A list of interview topics is prepared beforehand and is used as a template to record each interviewee’s responses. We may attend governance and programme or project management meetings, in an observing capacity, as necessary. We will comment on the effectiveness of the governance structure, and whether the appropriate focus is being maintained.



4

Analysis. During and after the document review and interviews we consider the strengths and weaknesses of the programme management and governance. Where potential issues are uncovered, we will discuss them immediately with the appropriate people to ensure that we have the facts correct, that we understand the context and the risks, and to provide the opportunity to explore potential solutions.

The major areas we assess include:

- Clarity that the business benefits, objectives and deliverables of the programme is clearly understood by all stakeholders, including members of governance and programme teams.
- Assurance that programme governance, advisory, and management structures are appropriate, fully documented, and working effectively.
- That the programme team is appropriately resourced with the necessary skills, knowledge and experience, and all roles are documented and understood.
- That appropriate programme methodologies are been applied and adhered to in accordance with the organisation's toolkit and templates, and review and approval processes.
- That the programme scope is clearly defined, documented and managed.
- That actions and timescales are planned, managed, communicated and reported.
- That budget and cost management principles are embedded in the management process, and all costs are planned, managed, monitored and reported
- That programme risks and issues have been identified, analysed, documented and updated on a regular basis, with appropriate risk and issue management plans in place.
- Quality management actions and planned and implemented.
- Communications are planned and applied to support the programme and to reduce risks.
- Change control systems are in place to manage any deviations from agreed tolerances for cost, time, scope and quality.

Caravel has developed a unique health rating system to support our assessment and reporting process. The ratings help to put our comments and recommendations into an objective context, and provide a basis for the Delivery Confidence Rating. The ratings also provide a benchmark for subsequent reviews. The areas that are rated include:

- |                            |  |
|----------------------------|--|
| ▪ Business Benefits        | ▪ Programme Organisation               |
| ▪ Programme Team           | ▪ Programme Methodologies <sup>3</sup> |
| ▪ Scope Management         | ▪ Actions & Timescales                 |
| ▪ Budget & Cost Management | ▪ Risk and Issue Management            |
| ▪ Quality Management       | ▪ Communications                       |
| ▪ Change Control           |  |

In addition, for go-live readiness reviews, we may assess and rate specific review items such as security, testing, or change management. The definitions of the attributes that indicate rating scores are shown below.

Where there are areas that require improvement, we provide prioritised recommendations on how these improvements could be achieved.

5 – 8

Reporting. We prepare a draft IQA report which describes the programme or project elements reviewed, our findings, and our recommendations. We write a report that is concise and to the point. It includes an assessment of the Delivery Confidence Rating. We provide the report to the Programme Manager (and others who may be affected by any issues) to ensure that facts are correct.

Following any agreed modifications, we present the final report to the Programme SRO. In addition, it is our preference to present the IQA report to the Governance Group, but this will be subject to the agreement of the Sponsor.

<sup>3</sup> Includes procurement methodologies

We will provide advice as requested on the programme or project assurance findings, options for improvement, and the recommendations.

## Appendix 4 Description of Delivery Confidence Ratings and Recommendation Priority Ratings

### Description of Delivery Confidence Ratings

Delivery Confidence Rating	Description
Highly Likely	Successful delivery of the Project or Programme appears highly likely and there are no major outstanding issues that significantly threaten achievement of the next key milestone.
Likely	Successful delivery of the Project or Programme appears likely. Attention will be needed to ensure that risks do not materialise into issues threatening achievement of the next key milestone.
Possible	Successful delivery of the Project or Programme appears possible. However, issues exist in key areas that require management attention in order to achieve the next key milestone. Issues appear to be resolvable at this stage if addressed promptly.
Unlikely	Successful delivery of the Project or Programme appears unlikely with major risks or issues in key areas that require urgent management attention. Achievement of the next key milestone is in doubt.
Highly Unlikely	Successful delivery of the Project or Programme appears to be highly unlikely due to significant issues which do not appear to be resolvable at this stage. The Project or Programme may need to be re-baselined or its overall viability re-assessed.

**Description of Recommendation Priority Ratings**

Priority Rating	Description
High	Issue is having or could have a significant impact on the achievement of the next key milestone. Action should be taken immediately and the impact on the next decision gate should be formally assessed by the governance body if the recommendation is not implemented within the assigned due date.
Medium	Issue is having or could have a moderate impact on the achievement of the next key milestone. Action should be taken at the earliest reasonable opportunity but be completed by the assigned due date.
Low	Issue is having or could have a minor impact on the achievement of the next key milestone. If addressed, it will improve the overall project / programme management control environment and/or efficiency and effectiveness. Implementation is recommended.