



Department of Health

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Clara Swinson
Director of Social Care Policy
Department of Health

BY EMAIL

Dear Clara,

Senior Responsible Owner – Care and Support Reform Programme

1. I am writing to confirm your appointment to the role of Senior Responsible Owner (SRO) for the Care and Support Reform Programme with effect from 11 August 2014; directly accountable to me as the Department's Permanent Secretary and under the oversight of the Minister of State for Community and Social Care (MS(CS)). This will be a part-time role which requires 25% of your time. I want to thank you for agreeing to take on responsibility for the effective, timely and cost-effective delivery of the programme and the realisation of its expected benefits. This is a significant undertaking and I want to assure you of my support for you in this role.
2. As SRO you have personal responsibility for the programme and will be held accountable by me for the delivery of its objectives and policy intent; for securing and protecting its vision, for ensuring that it is governed responsibly, reported honestly, escalated appropriately and for influencing constructively the context, culture and operating environment of the programme. If at any point during your tenure as SRO you feel that you cannot appropriately discharge your duties because of conflicting work commitments or other reasons you should raise this directly with me immediately.
3. In addition to the accountabilities that I (as Accounting Officer) have placed on you through the usual process of Departmental Delegations you will, as the SRO of a programme included on the Government Major Projects Portfolio (GMPP), be expected to account for and explain to Parliamentary Select Committees the decisions and actions you take to deliver this programme (or specific milestones within the programme). In your case this means that from the acceptance date of this appointment letter (which must be agreed within 14 days of the date of this letter), you will be held personally accountable and could be called by Parliamentary Select Committees to account for delivery of Care and Support Reform Programme.

4. It is important to be clear that your accountability relates only to implementation: it will remain for the Minister to account for relevant policy decisions and development.
5. A detailed SRO role description and person specification is attached at Annex A. You should follow the guidance set in that document. In addition you should ensure that you understand the guidance 'Giving Evidence to Select Committees – Guidance for Civil Servants'; which can be found at www.parliament.uk and make yourself aware of the Major Projects Authority (MPA) guidance on the management of major projects: (<http://www.gov.uk/government/policy-teams/major-projects-authority>).

Tenure of position

6. You are required to undertake this role until project close, planned for 31/03/16 and your responsibilities in this role will be reflected in your personal objectives.

Objectives and Performance Criteria

7. The policy intent supported by this project is to reform the care and support system in England to promote people's wellbeing and independence; put them in control to ensure their needs, wishes and goals are met; support them to reduce, delay or prevent their needs, and understand their rights and responsibilities; and protect them from catastrophic costs.
8. Any proposed changes to the programme scope which impact on this intent or benefits realisation must be approved by the appropriate Programme Board, myself or an appropriately delegated officer and may be subject to further levels of approval.
9. The aims and objectives of the programme are:
 - o Modernise the legal basis for adult care and support in England by providing a strong, single legislative framework making the law easier to understand and apply and increasing clarity, consistency and equality of access to care and support;
 - o Ensuring that appropriate local government implementation plans are in place. The first phase came into force in April 2015. The second phase was scheduled for April 16, but on 17 July government announced it has been put back to April 2020. The programme will need to re-scope to reflect this change
 - o Providing national leadership and practical support for implementation, including communications materials, specifications and learning and development.

Finance and controls

10. HMT spending controls will apply on the basis set out within the Department's delegated authority letter. As the whole life costs of the Care and Support Reform Programme exceed the delegated authority set by HMT, the Treasury Approval Point process will apply and the details of each approval process must be agreed with the Department's HMT Spending Team. You should consult your relevant Finance Business Partner on how to go about this.
11. You should note that where expenditure is considered novel, contentious, repercussive or likely to result in costs to other parts of the public sector, HMT approval will be required, regardless of whether the programme expenditure exceeds the delegated authority set by HMT. If in doubt about whether approval is required you should, in the first instance, consult your relevant Finance Business Partner before raising with the HMT Spending Team.

12. The overall budget for the programme is £18,604 million, excluding VAT. [Note: This is the baseline budget on commencement of the programme. Reported forecast spend will reflect the change in scope of the programme in relation to the delay in Phase 2]
13. The current approved expenditure figure is £12.6 million, which provides cover to 31 March 2016. [Note: this is the programme budget for 2015/16 covering implementation costs only]
14. You should operate at all times within the rules set out in Managing Public Money. In addition, you must be mindful of, and act in accordance with, the specific Treasury delegated limits and Cabinet Office controls relevant to Care and Support Reform Programme. Information on these controls can be found here: [Managing public money](#)
15. Delegated departmental/project authority:
 - you are authorised to approve expenditure in accordance with a properly delegated letter of authority and the Department's Standing Financial Instructions.
 - you are also responsible for recommending to myself, the COO or appropriate governance body the need to either pause or terminate the programme where necessary and in a timely manner.
16. Where issues arise which you are unable to resolve, you are responsible for escalating these issues either to myself or the COO and the Executive Board as appropriate.

Powers of intervention

17. In the event of a significant failure to achieve the objectives of the programme or to achieve this in a manner that I or the Chief Operating Officer, consider to be consistent with the interests of the health and social care system, I reserve the right to intervene by issuing specific directions. If you fail to comply with these directions, I may decide to discharge these functions directly or arrange for another individual to do so.

Major Projects Leadership Academy (MPLA)

18. As a graduate or current participant of the MPLA, we both expect and support you to continue your on-going professional development, and will encourage you to take an active part in MPLA alumni activities
19. To widen experience and understanding of the role, SROs are expected to become accredited Major Project and departmental assurance reviewers and to lead or participate in such reviews for other Government departments, the wider public sector or other areas of the Department of Health and its ALBs, as appropriate. You will be required to participate in such reviews at least once every 12 months to maintain your accreditation.

Programme status

20. The Project Status at the date of your appointment is reflected in the most recent quarterly return on the programme to the Major Projects Authority. This is the agreed position as you assume formal ownership of the programme.
21. As SRO of the Care and Support Reform Programme you are required to put in place the appropriate governance mechanism to ensure successful delivery. For example, these include (but not exclusively) a business case, delivery schedule, risk register, resourcing plans, budget, identifying interdependencies with other programmes within the portfolio; ensuring

appropriate roles and responsibilities within the programme governance arrangements and the Board constitution are defined to ensure that the programme, including stakeholder representation, is appropriate to support delivery of the programme.

Key elements of SRO role

22. I would like to highlight some key elements of your role against which your success will be measured. These are:

- All necessary approvals obtained for the programme's business case.
- Agreed budgets and resources managed effectively ensuring value for money.
- Plans and subsequent execution meet the agreed milestones.
- Expected benefits realised.
- Programme risks effectively managed.
- Effective engagement with the programme's key stakeholders.

I am confident you will be successful in this undertaking and thank you once again for taking on this important leadership role.

Yours sincerely,



Una O'Brien
Permanent Secretary, Department of Health



Tony Meggs
Interim Chief Executive, Major Projects Authority

I confirm that I accept the appointment including my personal accountability for implementation of the programme as detailed in the letter above.

Name of SRO:

Signature:

Date:

Annex A

SRO Role Description

Accountabilities

The SRO will be personally accountable to the Department of Health's Accountable Office for the effective, timely and cost-effective delivery of the programme to which appointed. The SRO will be responsible for securing the resources necessary for the success of the programme and for ensuring that the programme meets its agreed objectives and realises the projected benefits. Some SROs will also have accountability to other boards and line management within their parent organisation.

In addition to their accountabilities within the Health and Care System, SROs of Major Projects (as defined in the Government's Major Project Portfolio (GMPP)) are expected to account for and explain to Parliamentary Select Committees the decisions and actions they have taken to deliver the programmes for which they have personal responsibility. This may include where a Minister has intervened to change the programme during the implementation phase in a way which has implications for the cost and/or timeline of implementation. SROs of Major Projects should ensure they understand the guidance 'Giving Evidence to Select Committees – Guidance for Civil Servants'; which can be found at www.parliament.uk and are aware of Major Projects Authority (MPA) guidance on the management of major projects: (<http://www.gov.uk/government/policy-teams/major-projects-authority>).

The SRO must ensure the effectiveness of the governance, assurance and programme management arrangements and maintain them throughout the life of the programme. The SRO should adopt best practice and be prepared to justify any deviation from it, in line with guidance published by the Cabinet Office.

The SRO will:

- Be a visible, engaged and active leader, not a figurehead
- Deliver the agreed outcomes and benefits
- Create an open, honest and positive culture
- Challenge senior officers and Ministers when appropriate
- Escalate quickly and effectively any issues that require the attention of the IAO
- Provide appropriate support, steer and strategic focus to the Programme Director and ensure that they have a clear and current letter of appointment
- Have sufficient time, experience and skills to carry out the full responsibilities of the role.

The SRO must:

- Own the vision for the programme (as defined and agreed with the Programme Sponsor)
- Secure the investment required to establish and run the programme effectively
- Own the programme's business case
- Ensure that the programme is set up for success
- Ensure that the programme meets its objectives and delivers the projected benefits
- Develop the programme governance structure
- Develop the programme organisation structure and plan
- Monitor and take control of progress
- Ensure problem resolution and referral processes are appropriate and effective
- Ensure that the programme is subject to review at appropriate stages
- Manage formal programme closure.

Primary Responsibilities

The main responsibilities of the post are:

- The SRO must establish and chair the programme board; ensuring appropriate and effective representation of key stakeholders
- The SRO must ensure that the change and delivery process maintains its business focus, has clearly identified delegated authorities and that the overall scope, risk and delivery of key milestones is actively managed. The SRO will be delegated the necessary authority to make key decisions and the lead on managing financial and risk tolerances to enable successful programme delivery
- The SRO will be empowered to take decisions and will be proactive in providing leadership and direction throughout the life of the programme (or until a point agreed at the time of appointment). The SRO will be responsible for ensuring the organisation can fully exploit the outcome of the change such that the projected benefits and successful end-user engagement are delivered as a result
- The SRO will be responsible for:
 - Overall financial management of the programme
 - Ensuring the programme's Business Case is subject to, and receives, all required approvals
 - Ensuring the programme remains aligned with strategic direction and that this is understood by the programme team
 - Oversight of Programme Director and programme team
 - Providing advice and support to the Programme Director
 - Providing regular, scheduled reports of programme progress to the IAO and key governance bodies
 - Engagement with Senior Stakeholders
- There will be a clear delineation between the role of the SRO who has accountability and strategic leadership of the Programme with the Programme Director having responsibility, tactical leadership and management of the Programme. Where appropriate, such as where the Programme Director or programme team are outside of the SROs formal line management control it is recommended that the Programme Director's role and responsibilities be clearly defined and recorded in a service agreement.
- The SRO will be responsible for: leading the development of the business case; developing the operating model; working within the agreed financial controls framework; digital engagement and options for the future; plans against dependencies; end user engagement and options for service delivery; determining the model for operational readiness into business as usual. Integral to this will be the need to:
 - Support change in line with the changing and growing needs of the end-user – considering more agile and innovative technology
 - Build opportunities for future proofing and introducing new enabling technologies with greater ease of access and usability
 - Create opportunities for interoperability and sharing data
 - Have a clear understanding of programme dependencies.
- The SRO:

- is the visible owner of the overall business change
 - is recognised throughout the organisation and partner organisations
 - is the key leadership figure in driving the programme forward.
- The SRO must ensure that the change process maintains its business focus, has clear authority and that the overall context, including risk, is actively managed.
 - The SRO will be expected to take decisions and should be proactive in providing leadership and direction throughout the life of the programme.

SRO Person Specification

Leadership

The SRO will be a proven leader with the ability to set a strong direction and convey a persuasive future vision at all levels of an organisation. Previous experience of leading complex programmes, in either a programme management or senior governance role, is desirable. SROs of programmes on the GMPP must either have already completed the Major Projects Leadership Academy programme or be willing to undertake it.

SROs must have the ability to:

- Be highly articulate and credible at the most senior level across and outside the health and care system consistently delivering inspiring, engaging and meaningful messages about the future direction
- Gain confidence of Ministers and be in effect provided with a 'licence to operate'
- Demonstrate advanced negotiating and influencing skills to maintain policy and drive consensual change in an often pressurised environment
- Embed a culture of value for money, working collaboratively across boundaries to help ensure that the Department maximises its strategic outcomes within the resourcing available
- Contribute to a performance culture that is orientated to tangible delivery outcomes
- Be an influential voice in growing a programme team that is viewed as an exemplar of high quality across the health and care system
- Shape, promote and exemplify departmental and civil service/ health and care values and culture.

Competencies:

- **Leadership of Self:** Distinguishing the self-knowledge to allow a leader to know how to maximise their leadership impact on the programme
 - Embraces the challenge of leading a major programme
 - Takes responsibility for personal leadership contribution to success and failure
 - Takes responsibility for self, team and programme.
- **Leadership of Major Projects:** Distinguishing those attributes of leadership which are most germane to major projects ('temporary organisations'), compared to the leadership of ongoing operations.
 - Leads a "temporary organisation"
 - Engages and leads internal and external stakeholders
 - Operates effectively in a dynamic environment
 - Creates a culture where everyone takes on and lives up to their responsibility for delivery
 - Questions existing ideas and approaches to find new ways of delivery.
- **Commercial leadership:** The competency to provide commercial leadership and exert effective control over the 'extended delivery team' across organisational boundaries.
 - Designs and leads the "extended temporary organisation":
 - Implements effective financial and other controls

- Employs appropriate mechanisms for procuring and managing suppliers
- Apportions risk appropriately
- Drives delivery of the project to achieve the intended benefits.
- **Technical leadership:** The competency of appropriately applying the principles, disciplines and tools of programme and project management to support leadership of the programme
 - Deploys and adapts an appropriate model for the “temporary organisation”
 - Enables leadership of an organisation through a change journey
 - Adopts an appropriate approach to project management and delivery
 - Manages risk strategically.

Qualifications:

The SRO will have a background in successful delivery of major projects/programmes. Where the programme is on the Government Major Programmes Portfolio, the SRO will be a graduate of or be willing to undertake the MPLA programme sponsored by the Cabinet Office, Oxford Business School and Deloitte.