

Governance Strategy

July 2011



Governance Strategy

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1.0 Ownership

1.1 Croxley Rail Link is jointly promoted by Hertfordshire County Council and London Underground Limited, with support from Network Rail. The scheme has consistently benefited from a positive approach from these key organisations, as well as the other contributing and supporting organisations involved in the scheme.

1.2 These three organisations comprise the Corporate Ownership of the project, and they come together in the Strategic Board at monthly meetings. They are also Project Sponsors, along with other third party promoters, and they meet monthly in the Project Board meetings. The structure is discussed in more detail in the following section.

1.2 Overall responsibility lies with Hertfordshire County Council (HCC), along with London Underground Ltd (LUL), which forms part of Transport for London (TfL). As such, HCC is responsible for providing the Project Management resources to manage the Project, ensuring it is controlled and managed effectively, and ensuring that regular updates are made available to all key stakeholders.

2.0 Governance

2.1 The key roles and responsibilities are shown on the diagram included in this section. This Project Governance diagram forms part of the Project Initiation document which is periodically reviewed by the Strategic Board. This is a ‘working document’ which defines in greater detail what the project intends to deliver; who is responsible; how will it be achieved; when will it be delivered. The PID includes a detailed project plan, which captures the ‘key tasks’ to be achieved prior to the programme proceeding to the next stage, and this is included in section 3 of this report.

Corporate Ownership

2.2 The three parties having Corporate Ownership are represented by the following people:

- HCC – Rob Smith
- LUL – Keith Foley
- NR – Jerry Swift

These three form the Strategic Board, and their key responsibility is to oversee the delivery of the project and to make strategic decisions. The Strategic Board is chaired by Rob Smith, who is the **Senior Responsible Owner** for **HCC**. As SRO for the project, his responsibilities include:

- Ensuring that the project meets its objectives and delivers the projected benefits
- Ensuring that the project is subject to review at appropriate stages
- Owning the project and business case
- Developing the project or programme organisation structure and logical plans
- Monitoring and controlling the progress of the project
- Ensuring that the elected members are kept informed of progress
- Chairing the Strategic Board meetings
- Maintaining accountability for the project

2.3 As **Senior Responsible Owner** for **LUL**, Keith Foley has similar responsibilities for the role of LUL in the project. These include:

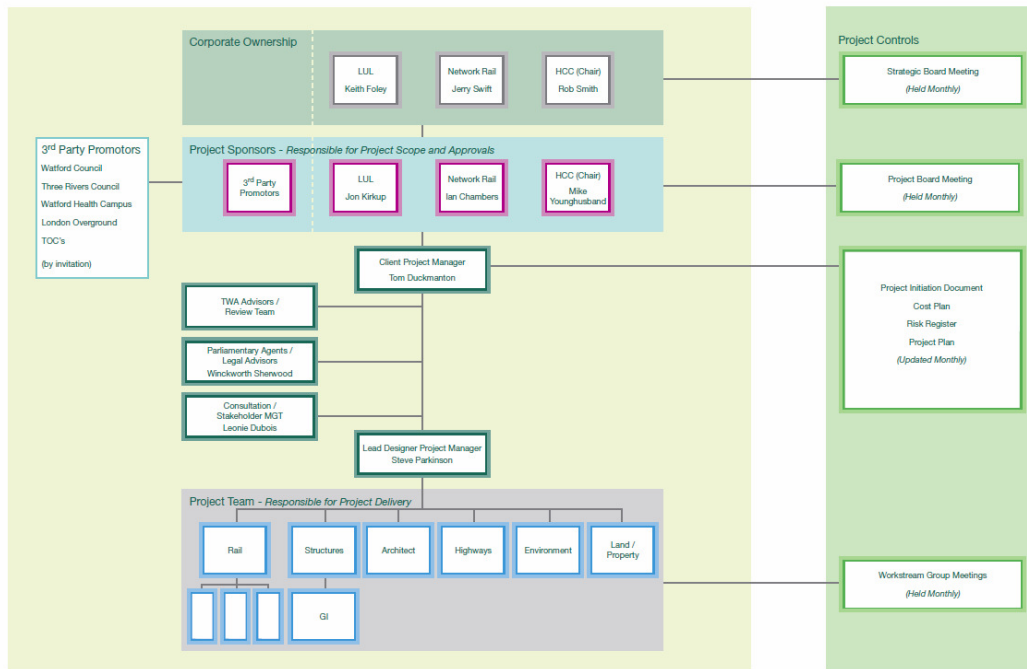
- Monitoring and controlling the progress of LUL elements of the project
- Making sure the requirements of the project are aligned with LUL practices
- Overseeing the LUL elements of the project

2.4 As **Senior Responsible Owner** for **NR**, Jerry Swift has responsibilities as the main supporter of the scheme. These include:

- Assisting HCC and LUL in ensuring the project meets its objectives and delivers the projected benefits
- Maintaining a collaborative relationship with HCC and LUL with regard to the project
- Overseeing the delivery of the NR elements of the project

Project Sponsors

2.5 The key responsibility of the **Project Sponsors** is to look after the day to day delivery of the Project: they are responsible for monitoring the delivery of the project and providing direction and for gaining approval for the scheme. They comprise HCC, LUL and NR as well as third party promoters: Watford Borough Council and Three Rivers District Council. The Project Sponsors meet monthly at Project Board meetings where the Project Manager updates progress in accordance with the PID, and updates are received from each of the partner organisations.



2.6 The SRO of HCC, Rob Smith, is supported by Mike Younghusband, Head of Transport Programmes and Strategy. As **Chair** of the **Project Sponsors**, he keeps Rob Smith fully informed of the project progress and of any issues that arise. Mike Younghusband chairs the **Project Board** group and is responsible for the following:

- Keeping the Project Board, funders and stakeholders fully informed
- Ensuring that project gateway reviews are appropriately timed and successfully managed
- Ensuring that the business case is kept up to date with appropriate recognition and management of risks to the project
- Ensuring that funding arrangements are appropriately managed to achieve successful and timely delivery
- Ensuring that project arrangements develop for the continuing and evolving responsibilities of the project partners: HCC, Network Rail and Transport for London
- Ensuring that decisions are taken where significant options for the project need to be considered

2.7 As **Project Sponsors** for LUL and NR, Jon Kirkup and Ian Chambers also have the following responsibilities:

- Securing resources and expertise from their organisations as required
- Ensuring that their organisation's objectives in relation to the project, are met
- Working with the project manager to establish a common approach to any issues that may arise

2.8 The **Project Manager** for the project is Tom Duckmanton, seconded to HCC and supported by David Leboff from LUL. The Project Manager's responsibilities include:

- Maintenance and use of the Project Risk Register to manage risks and report material changes
- Managing the production of the required deliverables
- Planning and monitoring the project

- Assuring appropriate change control and any required configuration management
- Reporting through agreed reporting lines on project progress
- Assuring that an appropriate technical and quality strategy are adopted throughout the project
- Identifying and obtaining any support and advice required for the management, planning and control of the project
- Managing project administration
- Conducting end project evaluation to assess how well the project was managed

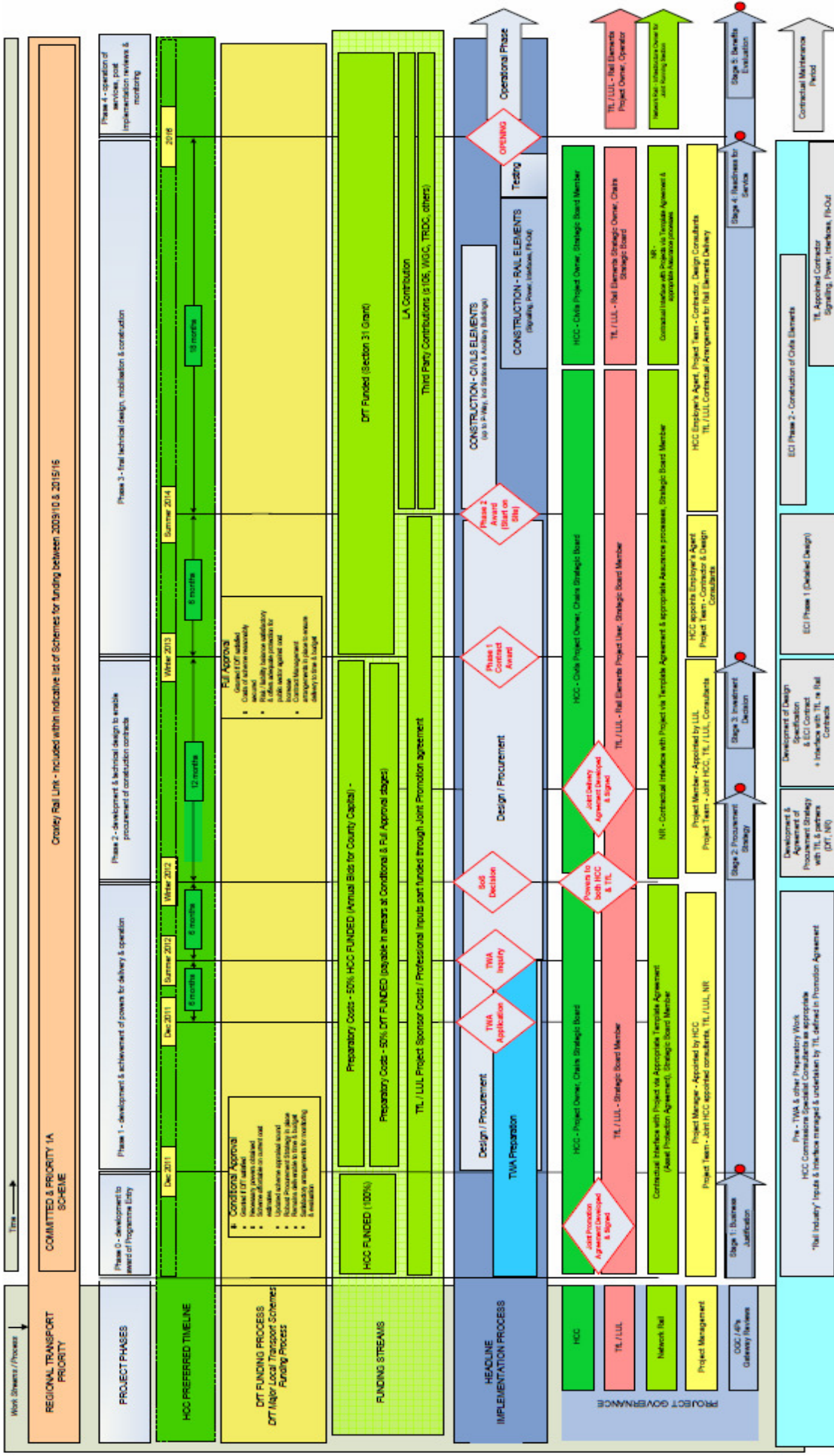
2.9 The **Project Team** comprises the **Work Streams** specialising in the different elements of the scheme required. These **Work Streams** are responsible for the individual components of the scheme and they develop solutions or end products as required. Part of their role is to monitor risks and costs, as well as the programme. They meet monthly and report up to the **Project Board** with recommendations.

3.0 Process Mapping

3.1 Since the preparation of the Major Scheme Business Case (MSBC), the project phases have been amended slightly to reflect the new procedure for applying for funding and the continued progress of the scheme. The phases are:

- Phase 1 – further development of the project and its preparation, submission and engagement with appropriate planning processes and inquiries necessary to achieve the required powers for delivery and operation
- Phase 2 – following the granting of appropriate powers this phase will include detailed technical design sufficient to enable successful procurement of the necessary contracts to construct Croxley Rail Link
- Phase 3 – the mobilisation of contractors and construction of the rail link
- Phase 4 – operation of services on Croxley Rail Link and post-implementation review (for lessons learned from its delivery and initial comparison with final Business Case)

3.2 An implementation and process map showing the proposed timeline is included with this note.



**CROXLEY RAIL LINK -
IMPLEMENTATION
WORK STREAMS & PROCESS MAP**

4.0 Promotion and Delivery Agreements

4.1 As part of the ongoing development of the scheme, the collaborative working methodology with London Underground and the engagement with their senior officers has led us to reconsider the promotion of the scheme. A number of significant benefits can be achieved by jointly promoting the project. A series of agreements have been drafted to enable the successful deliverance of the scheme. The agreements are listed in Appendix A of this report, and include the following:

4.1.1 Transport and Works Act Promotion Agreement – a draft document exists, the content of which is currently being agreed by both parties. The draft document will be discussed at the Rail Underground Board (LUL internal governance body) in August, before the final content is confirmed and submitted to TfL in November.

4.1.2 Framework Heads of Terms – this document identifies all of the legal requirements which will be developed during the life of the project. It sets out how the parties will work together to secure these agreements.

4.1.3 Property Heads of Terms – this sets out the conditions of the Croxley branch line property transfer and provides confidence that the land will transfer to the project. The wording of this Heads of Terms is currently being agreed, and this will be developed into a formal legally binding agreement, prior to the Transport and Works Act Order application.

5.0 Project Resources

5.1 The Croxley Rail Link project team is a multi-disciplinary team comprising staff from HCC, London Underground, Network Rail, Mouchel and SDG. The team is led by the Project Manager, and additional expertise and resources are utilised as required. An example of this is the appointment of Parliamentary Agents to assist and advise on the TWA application process.

6.0 Arrangements for Reporting and Decision Making

6.1 The arrangements for reporting and decision making are set out in the Project Initiation Document (PID), a 'working document' which defines in greater detail what the project intends to deliver; who is responsible; how will it be achieved; when will it be delivered. The PID includes a detailed project plan, which captures the 'key tasks' to be achieved prior to the programme proceeding to the next stage.

6.2 The programme for the scheme is updated fortnightly and a summary is captured in the Implementation Plan, which highlights any programme critical delays. The project manager reviews the implementation plan with David Leboff of LUL and Ian Chambers of NR, identifying any corrective actions.