Shetland Islands Council - Integrated Assurance and Approvals Plan

Name of Programme/Portfolio/Project	Fair Isle Ferry Infrastructure Project		
Version Number	DRAFT	Last updated	29/07/2022
SRO Name	Michael Craigie		
Programme/Project Manager	Lee Coutts		

Introduction

UK Government Levelling Up Fund, Round 2 - Large Transport Project (i.e. > £20m) requires an Integrated Assurance and Approval Plan (IAAP), that sets out assurance and approval points for each stage of the Business Case process. Accordingly, the organisation is required to outline the various formalised assurance mechanisms proposed (e.g. internal audit, Gateway reviews, functional reviews etc.) and the timing of each.

This project is aimed at delivering a new roll-on, roll-off (Ro-Ro) ferry for Fair Isle.
A new ferry would be supplemented by harbour works at:
  - North Haven in Fair Isle to deliver a new linkspan berth and a replacement winch, cradle and noust for withdrawing the vessel from the water;
  - Grutness in Shetland Mainland, where a new linkspan berth for the ferry would be constructed.

The Fair Isle ferry is a lifeline transport connection for the island, supporting its supply-chain, resident and visitor travel. The current vessel is life-expired and, without its replacement in the short-term, there is a substantial risk of community failure.

Purpose and Scope

The proposal includes a combination of programme-level, functional and consultancy assurance that, when combined, provide a balanced programme for the Council and funder(s) *(if applicable)* to achieve the desired level of assurance.
The integrated audit plan will be kept under review and may be subject to change to ensure it remains fit for purpose.

Internal assurance activities will be aligned with Shetland Island Council processes and procedures, with key documents including - but not limited to:
  - Shetland Islands Council's Constitution documents, Parts A to H, covering Governance, Financial Regulations and Contract Standing orders, to name a few.
  - Employee Code of Conduct.
  - Gateway Process for the management of capital projects - This is based on the PRINCE2 project management framework and, from a business case perspective, the Green Book and Five Case Model.

Roles and Responsibilities

<< Responsibilities Matrix >>

Cost and resources

To be confirmed

Schedule

<< IAAP Schedule >>

Responsible bodies and roles	Integrated Assurance Strategy (IAS)	Integrated Assurance and Approvals Plan (IAAP)
Programme/Project Board	Approves programme IAS (if applicable).	Approves IAAP; Liaises with investment bodies to ensure their assurance requirements are considered and appropriate;
SRO/Sponsor	Agrees programme IAS (if applicable); Ensures IAAP and assurance activities comply with strategic requirements in corporate/programme IAS.	Agrees IAAP; Sponsors assurance reviews; Communicates and actions assurance findings and recommendations; Owns programme/project response and implementation of recommendations in assurance reports; Liaises with investment bodies to ensure their assurance requirements are considered and appropriate;
Programme/Project Manager	Develops initial programme IAS (if applicable) as part of definition documentation; Ensures compatibility of programme IAS with corporate IAS (if applicable).	Manages execution of the IAAP schedule and requirements. Develops initial IAAP through consultation with stakeholders and independent and internal assurance providers; Liaises with potential assurance providers to schedule and resource assurance reviews in line with IAAP; Reviews IAAP after each assurance activity and updates IAAP if appropriate – sends amended IAAP to SRO/Programme/Project Board for approval; Monitors execution of IAAP and actions exceptions.
Stakeholders	Input to development of the corporate or programme IAS.	Indicate assurance requirements; Receive assurances (e.g. reports).
Investment Bodies (UK Government)		Indicate assurance requirements; Receive assurances to inform decision making (e.g. reports).

Note: In the month columns below, the first 12 months (Apr–Mar) correspond to **2022/23** and the second 12 months (Apr–Mar) correspond to **2023/24**.

Assurance/Approval/Reporting	Activity/Product	Last review date	Apr	May	Jun	Jul	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar
Programme/Project* Milestones (*delete as applicable)																										
Approvals																										
Project Development	FBC Development:- Outline Design; Detailed Design; Ground Investigation; Consents		x	x	x	x	x	x	x	x	x	x	x	x												
Final Business Case	Develop Tender Documents; Procure and Appoint Consultant; Develop FBC					x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Vessel	Specification and Naval Architecture:- Develop Vessel Specification; Develop Naval Architecture Specification; Procure and Appoint Naval Architects; Develop Detailed vessel Specification; Develop Vessel tender documentation		x	x	x	x	x	x	x	x	x	x	x	x												
Vessel Procurement and Construction	Procure and Appoint Shipyard; Shipyard Detail Design and Materials Procurement etc.; Vessel Construction												x	x	x	x	x	x	x	x	x	x	x	x	x	x
Infrastructure Procurement and Construction	Develop Tender Documents; Tender construction contracts; Phase 1 Mobilisation; Phase 2 Mobilisation; Construction completion and close out													x	x	x	x	x	x	x	x	x	x	x	x
Meetings																										
Project Board	Meetings					x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
ZetTrans	Meetings							x					x													
Environment & Transport Committee	Meetings							x					x													
Policy and Resources Committee	Meetings							x					x													
Shetland Islands Council	Meetings							x					x													
Stakeholder Group	Meetings							x				x			x			x			x				x	
Project Team	Meetings		x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x		x	x	x	x	x	x	x
Project Team working group	Meetings		x			x			x			x			x			x			x			x		
Key Document Review																										
Integrated Assurance & Approval Plan	Live Document					x			x			x			x			x			x				x	
Final Business Case (Approval - Apr 2024)	Live Document																									
Stage Plan	Live Document																									
Risk Register	Live Document						x			x			x			x			x			x			x	
Issues Log	Live Document					x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Highlight Report(s)	Live Document					x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
PID	Live Document																									
Key Document Approval																										
Integrated Assurance & Approval Plan	Live Document					x			x			x			x			x			x				x	
Final Business Case (Approval - Apr 2024)	Live Document																									
Stage Plan	Live Document																									
Highlight Report(s)	Live Document					x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
Risk Register	Live Document						x			x			x			x			x			x			x	
Issues Log	Live Document					x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
PID	Live Document																									
Functional Assurance (Internal)																										
Technical	e.g. Programme Management; Contractual Appointments; Validation of Costs to Date; Calculation of Pain/Gain; Compliance with Framework Conditions; Site co-ordination arrangements									x			x				x			x				x			x
Quality	e.g. Site Supervisor role; Planning Conditions; Design Review & Approval; Performance Management										x	x	x	x	x			x			x			x			x
Information	e.g. Information Management Systems																									
Financial	e.g. Budget setting; Cost Control; Ongoing Cost Monitoring & Reporting		x			x			x			x				x			x			x				x	
Stakeholders	e.g. Stakeholder engagement							x				x			x			x			x				x	
Independent Assurance - Asset Investment Group																										
OGC Gateway™	Gate 3 - Full Business Case																							x	x	x
OGC Gateway™	Gate 4 - Implement																									
OGC Gateway™	Gate 5 - Evaluate																									
Audit																										
Internal (TBC)																										
External (TBC)																										