

Audit & Governance Committee Paper

Paper Title:	Annual Report and Accounts 2013/14 Lessons
Paper Number:	[AGC (01/10/14) 422]
Meeting Date:	1 October 2014
Agenda Item:	4
Author:	Sue Gallone, Director of Finance & Resources and Stacey Kennedy, Programme Support Officer
For information or decision?	Information
Recommendation	The Committee is asked to note the challenges and lessons learned from the production of the 2013/14 Annual Report and Accounts and the measures taken to reduce the recurrence of such risks and issues for the 2014/15 publication.
Resource Implications:	None
Implementation	Recommendations to be implemented for the 2014/15 production.
Communication	To the Authority and the Executive. The new ways of working to the NAO, Williams Lea and staff involved in its production.
Organisational Risk	Medium (Risk being pro-actively managed)
Evaluation	Project Manager to monitor progress against, agreed recommendations via its inclusion in the 2014/15 project plan, and communicate to those responsible with updates provided to the Executive and AGC.
Annexes	HFEA Annual Report & Accounts 2013/14 End Project and Lessons Learned Report

Overview

- The overall production of the HFEA Annual Report and Accounts 2013/14 went well and met its target date to be laid in Parliament on 15 July 2014.
- The project was rigorously managed with unrivalled support by the Director of Finance and Resources, the Executive, AGC and the Authority, in order to alleviate/minimise the various challenges encountered.
- With such discipline in place, the project was flexible enough to be adapted to control such issues with the allowance for increased resource effort (internally and externally), milestone delivery delays and additional funding.

- It has been an exceptional production year mainly due to new requirements, a newly established and shared Finance Team, a new NAO Team who had to learn the HFEA business – thus taking longer to conduct the audit, a new Communications Team who had to quickly adapt to the HFEA’s way of working, the designer working off-site thus allowing little flexibility to conduct quick changes/reviews and the NAO [REDACTED] audit being conducted at a later stage due to **staff** availability.

HFEA Accounts 2013/14 certification

- The Committee met on 11 June 2014 and was presented with an update on progress along with a draft of the 2013/14 report and tabled amendments for the 2013/14 accounts and remuneration report. It was also highlighted that the NAO [REDACTED] audit was still ongoing and expected to be completed on 13 June 2014.
- The Committee also noted the late provision of pension information from Civil Service Pensions which was not available for the meeting.
- Given the additional information presented at this meeting, the Chair instructed that an updated version of the Annual Report and Accounts 2013/14 be sent to members on 13 June 2014, for review, and given until 16 June 2014 to respond. This fell in line with the Authority’s review and approval period.
- The NAO audit was completed and signed off on 13 June 2014 and the updated report and accounts was sent to both members and the Authority.
- The Civil Service Pensions finalised their information in the week leading to the Comptroller and Auditor General certification of the accounts.
- There were no further issues following this milestone.

Post-Project Review

- A Post-Project Review Meeting was held on 21 July 2014, with the core project team, to review its performance, the challenges encountered at each stage and recommendations for future productions.
- A formal End Project and Lessons Learned meeting was held on 18 August 2014 for a final review and the capturing of lessons, including the actions to be taken forward. These discussions also aided the areas for focus at the HFEA/NAO Lessons meeting.
- The Director of Finance and Resources and the Head of Finance met with the NAO on 27 August 2014 to discuss these issues and the future ways of working. NAO agreed that there would be the same audit director and manager for the HFEA and the HTA audits and those they would seek to share their notifications of requirements at an early stage.

Lessons Learned & Resulting Actions

- The Committee is to note the HFEA Annual Report and Accounts 2013/14 End Report and the Lessons Learned Report (Appendix 1), which outlines the areas that went well, the challenges encountered and the recommendations agreed. This was reviewed and approved for closure by the HFEA Programme Board on 2 September 2014.

- As an immediate measure the following actions have been identified and will be put in place before commencement of the 2014/15 Annual Report and Accounts production:

AREA	ACTION	ACTION DATE	OWNER
Design & Format	Develop plan to produce the Annual Report & Accounts in MSWord with an InDesign cover.	Sep 2014	STK
	Ascertain list of the statutory information that the Annual Report and Accounts must contain to inform the content of the 2014/15 publication.	Sep 2014	SG
	Present recommendations to SMT for approval .	Sep 2014	SG/JT
Government Directives and information sharing	HFEA Procurement Lead to be part of the Department of Health's distribution list .	Oct 2014	MA
	HFEA representative to be a part of HM Treasury distribution list . <i>Discussions already being held with the Department of Health.</i>	Oct 2014	MA
Financial/ Accounts information finalisation	Accounts and financial information to be submitted for inclusion within the report after the NAO [REDACTED] Audit has been completed – given the number of changes during the 2013/14 production.	Jun 2015	MA
	Arrangements for NAO audit to be held earlier in the process with a gap of no less than two-three weeks before being delivered to the Comptroller and Auditor General for certification. This is to enable subsequent deadlines to be met.	Oct 2014	MA
	Accounting format to be communicated early in the process in order to prepare the outline within the MSWord version. When submitted - post NAO [REDACTED] audit – it should be similar to that what was initially communicated to ensure that it is completed within the allocated time period.	Apr 2014	MA
	Oversight of the FReM requirement .	On-going	MA
	Liaise with NAO on a monthly basis – during production - to confirm any expected changes/updates .	Nov 2014 – Jun 2015	STK

AREA	ACTION	ACTION DATE	OWNER
Civil Service Pensions delays	The Civil Service Pensions response to requests for Greenbury data is late every year and there is little that the organisation can do to control this. The Director of Finance and Resources is to meet with Jerry Page of the Cabinet Office to discuss the issues encountered and future controls .	22 Sep 2014	SG
NAO Audit	A meeting with the NAO was held to discuss the lessons learned from the 2013/14 audit, publication and future working. It was recommended and agreed that the NAO supply the same team for both the HFEA and HTA. In addition, decision to be taken by the Executive on the NAO laying the Annual Report and Accounts in Parliament on our behalf.	27 Aug 2014 Sep 2014	SG/MA SG
Version Control	Annual Report & Accounts MS Word master version to be controlled by the Project Manager who will be responsible for its update and oversight and will have a record of changes submitted, its owners and date.	Jan 2015	STK
InDesign resilience	Provide InDesign training to the Communications Manager and Communications Assistant. <i>Completed</i>	Aug 2014	DV/AK
Proof-reading – Formality & Committee Structure	Corporate style guide to be reviewed and updated. Review the listing of Committees whether alphabetically or in order of importance.	In-progress Apr 2015	DV SH
Organisational Buy-in – Authority Approval	Provide the Authority with the version that is going to be published for approval . This will ensure that they support the look, feel and content of the published version.	Jun 2015	STK

Conclusion

- The Committee is to note the above areas identified by the Executive. Such issues will be proactively addressed with pre-production controls established for a smoother 2014/15 production.

END PROJECT & LESSONS LEARNED REPORT

Purpose: The End Project Report is used to review how the project performed against the Project initiation Documentation (PID).

Project Title	HFEA Annual Report and Accounts 2013/14
Project Sponsor	Sue Gallone
Project Manager	Stacey Kennedy
Summary of Project Performance	<p>The project was managed very well internally especially given the unexpected external directives. A number of compromises and changes had to be adapted to quickly in order to meet the project's key milestones. The report achieved its Parliamentary lay date of 15 July 2014.</p> <p>The overall project was delivered on time and met almost all milestones set; however, additional designer time was required for the various changes and delays with approvals.</p> <p>The forecasted £6k budget increased to £6,117.25 due to additional designer costs resulting from externally imposed changes at a late stage.</p>
Review of the Business Case	<p>The proposals for the production of the 2013/14 report were approved by CMG on 12 December 2013. A presentation was provided which outlined the project performance and issues with the production of the 2012/13 report and improvements to the process for the 2013/14 publication.</p> <p>The benefits of the project remained the same as per the previous years:</p> <p>Benefits Realised</p> <ul style="list-style-type: none"> • Increase report accessibility and availability <p>Residual Benefits Expected (post-project)</p> <ul style="list-style-type: none"> • Reduce the number of enquiries for organisational information.
Achievement of Project's Outputs/Scope	<p>The original Business Case and PID stated that the project would deliver 100 black and white reports. However on 8 April, 2014 - further to contacting the Department of Health – it was divulged that the communications restriction threshold had been increased from £1K to £20K and there were now no constraints on printing in full-colour. We had not been notified about these changes.</p> <p>Given the above, a new proposal was presented and approved by SMT for the printing of the publication in full-colour. It also came to light that the lithographic machine used for printing by Williams Lea was the same for the</p>

Doc name: Annual Report and Accounts 2013/14 End Project & Lessons Learned Report

Version: 1.0

TRIM reference: 2014/011981

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END PROJECT & LESSONS LEARNED REPORT

	<p>black and white copies as for colour, and thus carried the same cost anyway.</p> <p>An order was placed for 60 perfect-bound full-colour reports. This was the number needed for all stakeholders on the distribution list and will also ensure that excessive copies do not have to be stored in the office, as per previous years, when larger print runs were the cheaper option.</p> <p>The 2013/14 format was used; however, HM Treasury then implemented a number of changes via the Financial Reporting Manual (FReM). This only came to light in May 2014 and then required additional designer time as the report was already laid-out. There were then further changes during the NAO audit; and Civil Service Pensions provided their information very late in the process.</p> <p>Despite the above the designed report was delivered to the printers a day earlier than planned (since some contingency had been allowed, based on past experience) and was on time for being laid in Parliament.</p>
Review of Team Performance	<p>The Project Team performed beyond the call of duty working very late and long hours and reprioritising their 'business as usual' work in order to meet these critical deadlines.</p> <p>Finance resources were again stretched this year even though the department had been restructured. The Director of Finance and Resources and the Head of Finance are shared with the HTA and had the additional pressure of also publishing the HTA Annual Report and Accounts. The team delivered the initial finance information in April 2014, which helped to shape the format of the accounts in the designed version. However, there were a number of very late changes post the NAO Audit and this required working well beyond normal office hours.</p> <p>The Communications team also had staff changes. There was a proper handover for the new Communications Manager who adapted quickly to the role and, with the Communications Officer, ensured that the finalisation of the design and the images chosen reflected the corporate vision of being patient focused, and that the content was meticulously and constantly reviewed to ensure accuracy and alignment to the corporate style. They also worked long hours.</p>

END PROJECT & LESSONS LEARNED REPORT

The majority of Departmental Representatives collated and submitted their relevant information by the 4 April 2014 deadline. Those that missed the deadline sent their information the following Monday.

The internal proof readers and external proof reader were thorough in their review and delivered their comments on time.

Williams Lea (formerly The Stationery Office) was used for both printing and publishing. Due to the awarding of the PVP publishing contract to Williams Lea, and the slow start-up to the new arrangement, there was a delay in receiving the quote. A hard copy of the printed proof of the report was not received due to the tight timescale. This carried a degree of risk, given that the quality and accuracy of Williams Lea's work was then an unknown, and that there had been problems in previous years with TSO's accuracy and quality of service in this last crucial step. Overall, however, Williams Lea delivered as contracted and we arranged for them to send the five copies of the report to the Parliamentary Clerk for laying direct.

It should also be noted that the Authority/Executive championed and supported the progression of this project given the issues encountered.

Performance against Planned Target Time

Milestones	Start	End
Stage 1 – Collection & Collation		
Departmental Reps identified	4 Dec 2013	3 Jan 2014
Content/Appendices received	16 Jan 2014	7 Apr 2014*
Finance Content Initial elements received		25 Apr 2014*
Finance Contents Final		13 Jun 2014*
Stage 2 – Content Review & Approval		
AGS AGC approved		11 Jun 2014*
Directors' Content approved	7 Apr 2014	18 Apr 2014
Internal Proof Reading	8 Apr 2014*	18 Apr 2014
Management Review	22 Apr 2014	23 Apr 2014
Content approved (AGC/DH)		16 Jun 2014*
Authority approved	13 Jun 2014	16 Jun 2014
External Proof Reading	18 Jun 2014	19 Jun 2014
Chief Executive Sign Off	24 Jun 2014	24 Jun 2014
Auditor General Sign Off	30 Jun 2014	30 Jun 2014
Stage 3 – Design & Printing		
Skeleton Doc. approved (CMG)	31 Jan 2014	14 Feb 2014
Skeleton Doc. reviewed (AGC)		19 Mar 2014
Third Parties identified & selected		May 2014*
Design Completed		3 Jul 2014+

Doc name: Annual Report and Accounts 2013/14 End Project & Lessons Learned Report

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END PROJECT & LESSONS LEARNED REPORT

	Printers send copies		14 Jul 2014*	
	Laid in Parliament		15 Jul 2014	
	Website uploaded		16 Jul 2014+	
	* Milestone Late + Milestone Early			
Performance against Planned Target Costs	BUDGET CODE	BUDGET DESCRIPTION	BUDGET ALLOCATION	ACTUAL SPEND
	4015	Communications	£6,000	£6,117.25
Approved Project Changes	CR127 – Change of Project Sponsor <i>The previous Project Sponsor, Mark Bennett, Director of Finance and IT left the organisation on 30 May 2014. The role is now held by Sue Gallone, Director of Finance and Resources.</i>			
	Impacts: None			
	Post Project Owner: Sue Gallone			
Post Project Review	Review Date: July 2015			
	Review Plan:			
	Review report and feedback received to aid development of future publications.			
Summary of Follow-Up Action/ Recommendations	<ul style="list-style-type: none"> • Post-project meeting to review performance and lessons learned - 21 July 2014 • End Project/Lessons Learned meeting – 18 Aug 2014 • HFEA/NAO Lessons Learned meeting - 27 Aug 2014 • AGC Annual Report 2013/14 Review – 1 Oct 2014 			

END PROJECT & LESSONS LEARNED REPORT

What went well

AREA	HOW WAS THIS ACHIEVED	SOLUTIONS/ RECOMMENDATIONS
Effective Project Management to meet all key milestones	<ul style="list-style-type: none"> • Excellent planning, monitoring and flexibility by the Project Manager to meet key deadlines, especially given the very tight timescale and the changes imposed • Realistic deadlines set and contingency time allowed for slippage • Risks flagged up and mitigated at an early stage, thanks in part to experience and issues being shared with us by the HTA. 	<ul style="list-style-type: none"> • Do the same next year! Consider the project plan produced as a template and adjust where necessary given key dates, risks and potential issues. • Monitor each milestone closely and have a plan in place should any risk become an issue. Flexibility, contingency, adaptation, senior buy-in and communication are key to meeting AR deadlines • For the designer work plan, do not schedule jobs over weekends.
Prompt submission of information	<ul style="list-style-type: none"> • Departmental Representatives submitted most of the required information by 4 April 2014 with a few outstanding areas finalised by 7 April 2014. • The draft Directors' and Strategic Report (formerly known as the Management Commentary) was made available in March 2014 with final reviews by CMG prior to 4 April 2014 • The initial draft financial information/ accounts were received on 25 April 2014. This helped the designer to lay out the report. 	<ul style="list-style-type: none"> • Hold an initial Departmental Representatives meeting to outline role, responsibilities, information required and deadline • Send monthly email reminders to monitor progress and raise any issues/ concerns • Departmental Representatives should establish a core departmental team at the onset to assist with the collation of information.

Doc name: Annual Report and Accounts 2013/14 End Project & Lessons Learned Report

Version: 1.0

TRIM reference: 2014/011981

Release date: 2 September 2014

END PROJECT & LESSONS LEARNED REPORT

AREA	HOW WAS THIS ACHIEVED	SOLUTIONS/ RECOMMENDATIONS
Collaborative working by the Project Team	<ul style="list-style-type: none"> • There was continuous liaison with all team members who contributed to the AR production. • The close working between the Project Manager, Communications and Finance – with the CE kept informed – helped to ensure that we were able to react quickly and implement required changes to meet key deadlines. All were updated with everything that had been done so as to ensure that everyone was clear and understood the issues and the next course of action • There was a shared understanding of the scope and what was needed to be achieved. 	<ul style="list-style-type: none"> • Consistent communications with the project team of the progress of tasks and the controls in place for handling issues with the right level of decision-making buy-in.
Clearly defined Project Team roles	<ul style="list-style-type: none"> • The Project Manager performed an excellent job in defining and relaying roles to the team via meetings held. • The Project Sponsor role was a smooth transition between Mark Bennett and Sue Gallone. There was an initial concern with the level of commitment available as the remit of the Director of Finance and Resources is shared with the HTA (who also of course have to produce Annual Accounts). A meeting was held with 	<ul style="list-style-type: none"> • Ensure that each member of the team understands what part they play in the project and what they are required to deliver and by when.

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Version: 1.0

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Release date: 2 September 2014

END PROJECT & LESSONS LEARNED REPORT

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	<p>Sue, upon her assumption of this role, and she prioritised her work to meet the set milestones</p> <ul style="list-style-type: none"> The Authority/AGC/DH/Executive/CMG are the decision-making entities in the course of the project and early reminders of the requirements and timelines were relayed, via email and meetings. 	
Increase in communications spend restriction threshold	<ul style="list-style-type: none"> On 8 April, 2014, the Department of Health confirmed that the communications restriction threshold had been increased from £1K to £20K for the publication of annual reports. A proposal was presented and approved by SMT for the printing of the publication in full-colour - as black & white was the same cost anyway - and for an order of 60 copies rather than 110 to satisfy the distribution list and reduce the number of excessive copies held on site. 	<ul style="list-style-type: none"> The HFEA Procurement Lead to be part of the Department of Health's distribution list to receive regular updates which may affect the organisation. In this instance no notice was received of this change until we contacted them to verify whether it was still in effect.
Recognition of the full-colour design	<ul style="list-style-type: none"> The Executive and staff praised the full-colour design which incorporated the branding of the Annual Conference and our focus on patients. Early sign-off of full-colour concept by SMT and appropriate steering by the Communications team. 	<ul style="list-style-type: none"> Engage with management early to gain their buy-in, vision and to explore the pros and cons of such a concept. They are a stakeholder to the project and their needs also need to be fulfilled.

Doc name: Annual Report and Accounts 2013/14 End Project & Lessons Learned Report

Version: 1.0

TRIM reference: 2014/011981

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END PROJECT & LESSONS LEARNED REPORT

AREA	HOW WAS THIS ACHIEVED	SOLUTIONS/ RECOMMENDATIONS
Good version control	<ul style="list-style-type: none"> The Project Manager had overall control of the MSWord skeleton document and had a good process of highlighting changes and placeholders in different colours with the appropriate key and version control structure. The changes were well communicated with Communications for placement within the designed version. 	<ul style="list-style-type: none"> There should be one central point of control with appropriate version management in which amendments submitted are listed indicating the change(s), the owner, and date of the change. All contributors should feed into this one avenue.
Reduction in proof-reading changes	<ul style="list-style-type: none"> The external proof reader stated that this publication has had the fewest changes since performing this role for the past five years The content of the AGS – which had been an issue in the past - was well written given the handover from the Director of Finance and Resources to the Head of Governance Contributors followed the corporate house-style principles and there was thorough proofing by the Communications team, internal proof readers and the Project Manager, at multiple stages. 	<ul style="list-style-type: none"> Ensure that all contributors are made aware of and follow the corporate house-style/ language to be used. The content should also be peer reviewed. <p><i>NB: For future publications we need to consider the formality of the report i.e. Mr., Mrs. Professor, etc. and the use of middle initials. Also with respect to the listing of Committees the order in which they appear needs to be verified whether alphabetically or in some other order (e.g. statutory vs policy role).</i></p>
Organisational Buy-in	<ul style="list-style-type: none"> The project was championed from the top by both the Director of Finance and Resources and the Chief Executive who ensured that the Authority, AGC, NAO and DH were aware of its 	<ul style="list-style-type: none"> Ensure that any concerns/risks are raised early with management so that they can support and champion the project forward thus reducing barriers. Authority should be provided with the

Doc name: Annual Report and Accounts 2013/14 End Project & Lessons Learned Report

Version: 1.0

TRIM reference: 2014/011981

Release date: 2 September 2014

END PROJECT & LESSONS LEARNED REPORT

AREA	HOW WAS THIS ACHIEVED	SOLUTIONS/ RECOMMENDATIONS
	<p>importance – especially given the various potential risks and issues for the AR being laid in Parliament before the summer recess of 22 July 2014.</p> <ul style="list-style-type: none"> AGC was very involved and the Chair in particular supported the staff and the process by promoting quick decision-making. 	<p>designed version of the report for approval, if possible, rather than the draft MSWord version. This will ensure that they agree with the published version, its layout, design and images used. It was noted that this is only possible – given the timelines – if the report is produced in an MSWord version and not in a designed version.</p>
Annual Governance Statement approval	<ul style="list-style-type: none"> It was anticipated that the AGS would have been approved by AGC at its March 2014 meeting, however, DH proposed new AGS requirements with their own approval schedule beyond our timeline. Sam Hartley, Head of Governance ensured that DH approved this – with SMT oversight - before the AGC meeting of 11 June 2014. 	<ul style="list-style-type: none"> This was an uncontrollable external factor. However, build a close working relationship with the DH Sponsoring body to champion one's work and promote understanding on their part of our resource limitations and timeline, to help with reducing the likelihood and impact of high-risk DH process changes and the time required for approvals.
Ease on finance resources	<ul style="list-style-type: none"> With Finance only concentrating on the supply of financial/accounting information and liaison with the NAO/Civil Service Pensions (which was enough of a job in itself!), this provided much needed easing of pressure given the design, printing and laying was being handled by another team. 	<ul style="list-style-type: none"> Assess the workload of team members and distribute responsibly, where available, to other members who have the capacity and capability of undertaking the job. This can reduce stress and be an opportunity for development.
	<ul style="list-style-type: none"> 	<ul style="list-style-type: none">

Doc name: Annual Report and Accounts 2013/14 End Project & Lessons Learned Report

Version: 1.0

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What went wrong

AREA	PROBLEMS IDENTIFIED	SOLUTIONS/ RECOMMENDATIONS
<p>Late finalisation of financial/accounts information</p>	<ul style="list-style-type: none"> • HM Treasury, via the NAO, announced a number of late additional requirements during the review stage, when information was already placed in the first draft of the designed version. This was only discovered during the HTA's AR production and thus required the Head of Finance to work beyond her hours for its completion. Initially we thought that these requirements were from the NAO. The true situation was not communicated to us at all until the AGC papers were released to the NAO in June 2014. Although the changes (as it turns out) came from the Treasury, it remains the case that all such changes are always communicated to us by the NAO, rather than the Treasury themselves, since the NAO determine how such changes should be interpreted and implemented by us. • Civil Service Pensions did not fully confirm all the pensions information until 26 June 2014 – which was during the NAO Auditor General's review. 	<ul style="list-style-type: none"> • In order to proactively manage the timely receipt of third party information and potential changes, the Head of Finance will continue her oversight of the FReM requirement. The Director of Finance and Resources and the Head of Finance will ensure any changes to the FReM or Companies Act are communicated as early as possible, during the planning meetings with NAO. • The Project Manager is to contact the NAO on a monthly basis to confirm any expected changes/updates and an HFEA representative should be placed on the HM Treasury distribution list so that we can detect, for ourselves, changes that will have probable implications for the Annual Report. • The NAO team was also new – and the same thing will happen next year, since we understand that most of this year's team have been moved on into other roles. We should think now about how to induct the new NAO team in advance of the audit period, so that

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END PROJECT & LESSONS LEARNED REPORT

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	<p>This is extremely late. The Head of Finance requested this information on 4 April 2014 with little response. Jerry Page, Cabinet Office staff member and member of the AGC provided welcome assistance in June 2014. It was found that the Civil Service Pensions supply of information is late every year and there is little that the HFEA can do to control this.</p>	<p>they have a better understanding of our needs and our timetable, and can be more realistic and reasonable in the demands they place on us.</p> <ul style="list-style-type: none"> • Organisation to build DH/Cabinet Office support who are in a position to apply pressure on Civil Service Pensions on our behalf for the supply of required pensions information in a timely manner.
<p>Delayed finalisation of NAO [REDACTED] audit</p>	<ul style="list-style-type: none"> • This had to be rearranged from 12-23 May 2014 to 27 May – 9 June 2014 in order to have sufficient Finance resource availability during the internal audit. During the audit there were further unexpected changes and more testing needed to be conducted by the auditors. As such the accounts were not finalised until 13 June 2014 – which was the maximum extent of the built in contingency, and as such, extremely worrying at the time. • Due to this there was an impact on the AGC and DH reviewing the absolute final draft. The document had to be updated and re-sent with these changes for final review and comments by 16 June 2014, during the Authority’s approval stage. This was quite a 	<ul style="list-style-type: none"> • Establish and agree a more organised and controlled approach with NAO • To meet the subsequent deadlines, the NAO Audit must be held earlier in the process with a gap of no less than two weeks between completion and subsequent delivery to the Auditor General. The NAO need a better understanding of the process we need to go through and to be aware of our external dependency on designer time. • In addition, should the accounts information be submitted after the audit, the format should be the same format as per earlier instructions. This will enable the designer to update within the given period. • Change the manner in which we produce the AR to enable greater

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	<p>messy situation for the Committee, who nonetheless adapted to the situation and were very helpful.</p> <ul style="list-style-type: none"> • There were even some changes being received after the proof reader had completed her proof, so it was not ideal. It made it challenging for the designer to complete all these changes and meet the deadlines. • The external proof reader was unable to verify the accounts due to inconsistencies and changes being received after this stage, and indeed right up until the last minute before NAO sign-off and printing. 	<p>control, flexibility and reduce stress:</p> <ul style="list-style-type: none"> ○ <u>Option 1</u> – MS Word Version with designed cover ○ <u>Option 2</u> – Produce two versions as per HTA (MSWord Statutory version laid in Parliament by the NAO and designed non-statutory version published when preferred).
<p>Inconsistencies with version control between MSWord and the designed version leading to additional burden with “typesetting” and proofing of information</p>	<ul style="list-style-type: none"> • There were a number of inconsistencies during the final stage of the project between NAO audit finalisation and that of the external proof reader’s review for the final designed version. It was only during final proofing stage that these changes were realised as the MSWord document did not have changes/deletions highlighted and were not properly communicated to Communications to inform the designer. • There was an instance where changes 	<ul style="list-style-type: none"> • Given the number of changes to the accounts and financial information, and the way in which these were notified (one by one, rather than in an organised, grouped way) only submit to the designer after the NAO [REDACTED] Audit has been totally completed and confirmed to be over (i.e. iterative small changes not being notified in dribs and drabs each day). • For other sections of the report, remind colleagues that when submitting amendments, to clearly list the changes, outlining the owner/editor

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	<p>were made after Communications had sent some other changes to the designer. When Communications were checking whether the changes had been made, they were checking against the version of the Word document which they'd sent to the designer, not the skeleton document which had since been updated with further changes.</p> <ul style="list-style-type: none"> • This was picked up later than we would have wanted as there wasn't time to check through the document due to the changes from the NAO coming late. • The "typesetting" and proofing processes added additional complication and time when making changes. 	<p>and the date of each change.</p> <ul style="list-style-type: none"> • During the planning process, list every single set of amends that is going to be made and the date they are coming. Separate out each set of amends even if they are coming on the same date. • Build InDesign software resilience within the organisation so that more people can make minor last-minute edits if requested. • Change the manner in which we produce the AR to enable greater control, flexibility and reduce stress: <ul style="list-style-type: none"> ○ <u>Option 1</u> – MS Word Version with designed cover ○ <u>Option 2</u> – Produce two versions as per HTA (MSWord statutory version laid in Parliament by the NAO and designed non-statutory version published when preferred). If this option is considered we must ensure that 'the Annual Report project' is not relentlessly running all year around with two projects overlapping. Also, we must firmly commit to the non-statutory version's date of

Doc name: Annual Report and Accounts 2013/14 End Project & Lessons Learned Report

Version: 1.0

TRIM reference: 2014/011981

Release date: 2 September 2014

END PROJECT & LESSONS LEARNED REPORT

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		<p>publication, since taking it out of the statutory 'laying' realm will remove a powerful deadline, leaving the risk of endlessly tinkering and prevaricating about content, such that we will grossly delay its publication. This must be avoided at all costs.</p>
<p>Courier delivery to the NAO</p>	<ul style="list-style-type: none"> The CE signed AR was received by the NAO the following day as the paperwork did not specify to CQC reception that the package was for Same Day Delivery (it was assumed that courier delivery meant same day, whereas to CQC it turned out that the default was 'next day', and we were not aware of this). 	<ul style="list-style-type: none"> Ensure that CQC reception is informed of exact delivery requirement and request a confirmation of the request. Subsequent unrelated problems with the delivery by secure courier of other important HFEA paperwork may now mean that we cease using CQC reception for any courier services – this needs to be agreed organisationally.
<p>Budget Overspend</p>	<ul style="list-style-type: none"> The budget set for the production of the report was £6000 (excluding VAT). Both the print/publishing and external proof-reading came in on budget however, the designer cost increased from £3500 to £4500 due to additional work for changes from HM Treasury/ NAO/AGC/Authority, change of design from black and white to full-colour and image replacements. The final spend was £6117.25. 	<ul style="list-style-type: none"> It is inevitable that the design cost will be variable given changes we have to make from third parties. This can be controlled if we receive early notification of these changes before any work is undertaken. This can be outlined to them formally. They may not fully understand what the process consists of in a small organisation with no core publications team.

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	The design was already completed in greyscale when the increase in comms threshold was realised. As such there was an extra design cost for the change into colour.	
Communication lapse with designer	<ul style="list-style-type: none"> The emails sent to Grey Goose during the initial stage of the project were not always checked/responded to and we were not informed of a delay in sending us the first art-worked version. This however improved from this point. 	<ul style="list-style-type: none"> Send regular reminders to the designer and set a date for regular catch ups. Ensure that un-responded to emails are followed up with a phone call to check receipt.
Lack of InDesign in-house resilience	<ul style="list-style-type: none"> Further changes from the NAO came in at the last minute and the designer was unable to make the changes as she was on holiday. One staff member is trained to use InDesign (and the Mac) and he was out of the office when the changes needed to be made. This also created a risk in terms of version control. 	<ul style="list-style-type: none"> Two more members of the Communications team are being trained in InDesign so in future this should not be an issue (if we continue to have a designed report). However, this does not mitigate the risk in relation to version control. This would not be an issue if we designed the report all along in Word.
Designer chose for the first time to work mainly at home, on her own Mac, giving rise to a risk of a total loss of our material.	<ul style="list-style-type: none"> It emerged early in the process that the designer was intending to work mainly at home on our Annual Report. This gave rise to a risk that, should the designer experience a laptop theft, loss or equipment failure, our work would not be backed up, and the project could be jeopardised. 	<ul style="list-style-type: none"> We therefore put in place arrangements to ensure that we regularly had an up to date copy of the latest work securely in our possession. This is just something to be aware of for the future, especially if people are doing work for us on specialist packages which do not run on PCs

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Version: 1.0

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Release date: 2 September 2014

END PROJECT & LESSONS LEARNED REPORT

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		<p>and cannot be backed up nightly on our HFEA systems.</p> <ul style="list-style-type: none"> • With some types of material, this way of working might also present a serious data security risk, and this should be carefully considered before agreeing contractors' proposed ways of working.
<p>Errors in footnotes arising from them being added too late and proofread less often.</p>	<ul style="list-style-type: none"> • The final version of the report does contain minor (trivial) errors, in footnotes that were added very late in the process. 	<ul style="list-style-type: none"> • Department Reps to note that if the figures/information supplied require any explanation (e.g. poor performance against a KPI, Committee membership changes, etc. etc. etc.), the explanatory footnote should be provided along with the text, so that the footnote is subject to as much rigorous proofing as the rest of the document. Presently, the suppliers of the information often do not think about whether the information they have supplied needs a footnote, leaving it to the PM to decide. This needs to be flagged up to DepReps and Heads – they should be able to realise for themselves if a footnote is going to be needed, since this is largely a matter of common sense and awareness.

Doc name: Annual Report and Accounts 2013/14 End Project & Lessons Learned Report

Version: 1.0

TRIM reference: 2014/011981

Release date: 2 September 2014

END PROJECT & LESSONS LEARNED REPORT

What was not identified in the PID

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<p>Clear definition and understanding of information being collected</p>	<ul style="list-style-type: none"> There was a difference in thinking between Compliance and Licensing re the term 'PGD applications processed and presented to Statutory Approvals Committee'. This resulted in differing figures. 	<ul style="list-style-type: none"> The Head of Governance and the Director of Compliance reviewed and approved this statement to mean: <i>PGD applications which have been received and prepared by Compliance for SAC and subsequently appeared at a SAC meeting</i>. This will not include the signing of the minutes for the PGD application (which may happen after the Annual Report period, for the last meeting of the year). During the planning stage and the Departmental Reps meeting in January ensure that departmental representatives fully understand the interpretation and definition of the information being collected and that this is understood and agreed by the owner/Head/Director. In addition, when areas of work are being reassigned thorough handover and understanding should be conducted to ensure consistency and maintain an accurate audit trail.

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