



INDEPENDENT ASSURANCE

PROGRAMME: National Treatment Centres Programme

Gate 0 – Strategic Assessment

Template Version	V3.0 2021
Report Version:	Final Draft 1.0
Review Dates	07/03/2023 to 09/03/2023
Senior Responsible Owner (SRO):	[Redacted s.38(1)(b)]
Date Appointment letter issued to SRO:	No formal SRO appointment letter issued.
Draft report to SRO	09/03/2023
Final Report to SRO and PPPA	23/03/2023
Delivery Confidence Assessment:	[Redacted s.30(b)(i)] (Please note summary explanation)
Programme/ Project Director:	Not Applicable
Accountable Officer:	Caroline Lamb
Scottish Government Portfolio Accountable Officer:	Caroline Lamb
Investment Decision Maker:	Caroline Lamb
Business Case stage reached:	The Programme comprises several construction projects which are at different stages of business case production and approvals.
Decision/approval point this report informs:	Not applicable
Review Team Leader:	[Redacted s.38(1)(b)]
Review Team Members:	[Redacted s.38(1)(b)]
Previous Review:	AAP Review 02/08/2022 to 03/08/2022 [Redacted s.30(b)(i)] Gateway Review 0 04/10/2021 to 06/10/2021 [Redacted s.30(b)(i)]

About this report

This report is an evidence-based snapshot of the programme's/project's status at the time of the review. It reflects the views of the independent review team, based on information evaluated over the review period, and is delivered to the SRO immediately at the conclusion of the review.

This assurance review was arranged and managed by:

Portfolio, Programme and Project Assurance Hub
Scottish Government Directorate of Internal Audit and Assurance
Victoria Quay
Edinburgh
EH6 6QQ

More information about the Portfolio, Programme and Project Assurance Hub and guidance on the requirements for integrated assurance and approvals is available from:

PPPAssurance@gov.scot

1. Gateway Review Conclusion/ Stage Gate Assessment (SGA)

Stage Gate Assessment
[Redacted s.30(b)(i)]
[Redacted s.30(b)(i)]
[Redacted s.30(b)(i)]

The Stage Gate Assessment RAG status should use the definitions below.

RAG	Criteria Description
Green	<p>Successful delivery of the project to time, cost and quality appears highly likely and there are no major outstanding issues that at this stage appear to threaten delivery.</p> <p>Recommendation: The programme/project is ready to proceed to the next stage.</p>
Amber/ Green	<p>Successful delivery appears probable. However, constant attention will be needed to ensure risks do not materialise into major issues threatening delivery.</p> <p>Recommendation: The programme/project is ready to proceed to the next stage.</p>
Amber	<p>Successful delivery appears feasible but significant issues already exist requiring management attention. These appear resolvable at this stage and, if addressed promptly, should not present a cost/schedule overrun.</p> <p>Recommendation: This programme/project can proceed to the next stage with conditions but the programme/project must report back to the PPPA on the satisfaction of each time bound condition within an agreed timeframe.</p>
Amber/Red	<p>Successful delivery of the project is in doubt with major risks or issues apparent in a number of key areas. Urgent action is needed to ensure these are addressed and establish whether resolution is feasible.</p> <p>Recommendation: This programme/project should not proceed to the next phase until these major risks or issues are managed to an acceptable level of risk and the viability of the project/programme has been re-confirmed.</p>
Red	<p>Successful delivery of the project appears to be unachievable. There are major issues which, at this stage, do not appear to be manageable or resolvable. The project may need re-base lining and/or overall viability re-assessed.</p> <p>Recommendation: This programme/project should not proceed to the next phase until these major issues are managed to an acceptable level of risk and the viability of the project/programme has been re-confirmed.</p>

2. Summary of concerns, evidence and recommendations

Priority	Recommendation	Risk* and Issue Identified with Evidence	Status	Classification	Aligned with profession
[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]
[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]
[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]
[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]
[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]
[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]
[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]
[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]

[Redacted s.30(b)(i)]					
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All recommendations should be categorised as Critical, Essential or Recommended:

- **Critical (Do Now):** To increase the likelihood of a successful outcome it is of the greatest importance that the programme should take action immediately.
- **Essential (Do By):** To increase the likelihood of a successful outcome the programme should take action in the near future.
- **Recommended:** The programme should benefit from the uptake of this recommendation.

ACTION PLAN - You must within three weeks of the final report provide your intended actions for addressing each recommendation. You should then share it with the relevant Scottish Government Portfolio Accountable Officer and copy it to the SG`s Portfolio, Programme and Project Assurance Hub (PPPA). Thereafter, you are responsible for implementing the actions in response to the recommendations. If the review has identified serious deficiencies or difficulties (including probable failure to meet the planned budget) within the programme the appropriate Officer should inform the relevant Minister/s.

3. Blockers to delivery

Ref No:	Blocker	Describe specific nature of blocker	Consequence if not resolved.
[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]
[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]
[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]

4. Comments from the SRO

SRO Comments

I have reviewed the report and recommended actions and am content to accept the findings of the gateway review. I would wish to place on record my thanks to you and [Redacted s.38(1)(b)] for the professional way in which you conducted the review and for your commitment to concluding the process and sharing the findings in a timely and constructive manner.

In line with the requirements of the review I will develop an action plan and will brief the Director General and Cabinet Secretary accordingly.

In terms of a further review of the existing phase of the programme we will re-engage with the gateway process towards the end of the calendar year.

[Redacted s.38(1)(b)]
Senior Responsible Officer – NTC Programme 23/03/2023

5. Review Team findings and recommendations

5.1 Policy

[Redacted s.30(b)(i)]

[Redacted s.30(b)(i)]

5.4 Governance arrangements

[Redacted s.30(b)(i)]

6. Areas of good practice

Commending delivery of:	Describe specific details of successful delivery:
[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]
[Redacted s.30(b)(i)]	[Redacted s.30(b)(i)]

7. Acknowledgement

Review Team Acknowledgement

We thank the SRO, the National Care Elective Programme Director and all interviewees for their support and openness, which contributed to the Review Team's understanding of the project and the outcome of this review.

8. Next Assurance Review

Next Assurance Review

Annex C provides the Programme Team's update on the progress of the recommendations made in the last Gateway Review (Oct 2021 and supporting AAP)).

[Redacted s.30(b)(i)]

9. Distribution of Report

The contents of this report are confidential to the SRO and their representative/s

[Redacted s.30(b)(i)]

ANNEX A - Terms of Reference for Hybrid Review

This is a Gate 0 Review.

The standard terms of reference for all Guidance and Workbooks can be found [here](#) and does not need to be included within the body of the report UNLESS any amendments have been made to the original Terms of Reference.

ANNEX B – Background

Question	Answer
<p>Describe the aims of the project/ programme</p>	<p>The aim of the National Treatment Centres (NTC) Programme is to deliver a network of modern, efficient National Treatment Centres that will provide the infrastructure and elective capacity required to meet the needs of a growing and increasingly elderly population up to 2035.</p> <p>The Centres will deliver the highest standards of care to people across Scotland which will optimise both patient and staff experience and recruit, develop and retain multi-professional teams committed to the provision of both individual and collective excellence and innovation.</p> <p>Because of the increased backlog of patients waiting for treatment, the NTC Programme will have a key contribution towards achieving the increased additional activity set out in the NHS Scotland recovery plan – with the aim of undertaking 40,000 additional procedures by 2025/26.</p>
<p>Reasons for the project/ programme's existence, by type and description</p>	<p>The approach to health and social care, as set out in the Scottish Government Waiting Times Improvement Plan, is rooted in the right for people to have safe, effective and person-centred healthcare. Ensuring that we all have continuing, and improved access to high quality care is our guiding principle.</p> <p>In Scotland we are living longer, meaning we are often living with more complex health conditions than in the past. These are not unique challenges to Scotland and are being experienced across Europe and beyond. We have been focusing in recent years on shifting the balance of care to address the some of these evolving needs of the people of Scotland. However, increasing demand on our services makes it essential that we take action to guarantee our whole system of health and care has the capacity, co-ordination and workforce to deliver the best care possible in every setting.</p> <p>In response to this, in October 2015, the Scottish Government announced a major capital investment to deliver a network of elective, diagnostic and treatment centres across Scotland.</p>

<p>The impact if the project/programme fails to deliver e.g. any risks to or any material impact on citizens:</p>	<p>The NHS Recovery Plan sets out a requirement to deliver 40,000 additional procedures per annum with the NTC network being key to achievement of this target. The ability to reduce the number of patients waiting for treatment would be impacted if this level of additional activity was not achieved.</p> <p>At present the programme is on target to deliver the intermediary targets for additional activity set for 2022/23 and 2023/24 and mitigating plans around delivering a higher level of productivity through existing capacity (supported by national improvement programmes supported by the Centre for Sustainable Delivery) are being implemented as part of the Board medium term annual delivery plans.</p>
<p>Project/programme link to Scottish Government strategies or policies:</p>	<p>Key targets and policy commitments aligned to the project include:</p> <p style="padding-left: 40px;">NHS Scotland Recovery Plan commitments around 40,000 additional procedures and 1,500 additional staff by 2025/26</p> <ul style="list-style-type: none"> • Achievement of net carbon zero – all projects due to commence building after 1 April 2023 must be net carbon zero
<p>Projects/programme interdependencies [if applicable]:</p>	<p>The NTC programme is an integral element of the NHS Scotland recovery plan, with each NTC set a target towards achieving the target for additional activity across NHS Scotland. As the Centres are providing cross boundary activity to neighbouring boards, there are key interdependencies between boards to facilitate the treatment of patients and delivery the additional activity.</p>
<p>[Redacted s.30(b)(i)]</p>	<p>[Redacted s.30(b)(i)]</p>
<p>The procurement / delivery status:</p>	<p>The respective NHS Boards are responsible for the procurement of the individual projects in line with existing national frameworks established by Health Facilities Scotland.</p>
<p>Funding / Business Case:</p>	<p>Capital and revenue funding is in place to complete the current phase of the programme – NHS Golden Jubilee (Phase 1 and 2), NTC Fife, NTC Highland and NTC Forth Valley.</p> <p>[Redacted s.30(b)(i)]</p>
<p>[Redacted s.30(b)(i)]</p>	<p>[Redacted s.30(b)(i)]</p>

Programme/Project plan:	Does the project / programme have an appropriate plan in place? - Yes The initial programme plan was developed at the outset with target dates set for completion. The programme has been significantly impacted by pandemic. Despite these challenges four next centres will open in 2023 with target months for each project coming into operation agreed. [Redacted s.30(b)(i)]
Current position regarding previous PPPA assurance reviews:	[Redacted s.30(b)(i)] A summary of recommendations, progress and status from the previous assurance review can be found in Annex C.
Current position regarding NonPPPA assurance reviews	None

ANNEX C – Progress against previous assurance review

[Redacted s.30(b)(i)]

ANNEX D – National Treatment Centres Programme Overview and Current Progress Matrix

[Redacted s.30(b)(i)]

ANNEX E - List of Interviewees

Name	Organisation and role
[Redacted s.38(1)(b)]	NTCP SRO
Juliette Murray	Associate Clinical Director, National Centre for Sustainable Delivery
Gordon Frame	Director-Scheduled Care Performance & Delivery
[Redacted s.38(1)(b)]	NTCP SRO
Juliette Murray	Associate Clinical Director, National Centre for Sustainable Delivery
[Redacted s.38(1)(b)]	NTC Fife SRO
[Redacted s.38(1)(b)]	Finance Business Partner
[Redacted s.38(1)(b)]	Capital Projects Advisor, SG
Alan Morrison	Interim Deputy Director Health Infrastructure
[Redacted s.38(1)(b)], [Redacted s.38(1)(b)], [Redacted s.38(1)(b)], [Redacted s.38(1)(b)]	NTC Team
[Redacted s.38(1)(b)]	NTC A&A SRO
[Redacted s.38(1)(b)]	Head of Capacity Building and Recruitment Strategy
[Redacted s.38(1)(b)]	Unit Head, Sponsorship and Infrastructure

ANNEX F – Scottish Government Project Delivery Principles

Alignment	We align our programmes and projects to corporate priorities to ensure we deliver for the people of Scotland	Recommendations related to alignment to vision, strategy and policy.
Leadership	We lead from the start by clearly communicating the vision, agreeing approaches, providing resource, collaborating across teams and setting a delivery culture.	Recommendations related to that are aimed at the clarity of what success looks like; leadership and the necessary culture to ensure success.
Justification / BC	We secure a mandate for our work and ensure an ongoing justification is made by the benefits for the cost, or, stop any unjustified work.	Recommendations relate to the purpose, objectives and ongoing justification for the work
Sustainability	We understand our impacts on people place and value and ensure whole life value and whole life cost are central to decision making.	Recommendations related to the end-to-end procurement process including: Procurement strategy and planning, Approaches to the market, Contract negotiation and Contract management. Recommendations related to financial planning, organising, directing and controlling of financial activities.
Knowledge & Data	We ensure our projects are learning organisations from day one, we seek and use information & data for the benefit of our work.	Recommendations related to the process of capturing, developing, sharing, and effectively using organisational knowledge. It includes sharing knowledge and experiences or lessons.
Flexibility & Capability	Our multidiscipline teams contain flexible and skilled people who focus on required identified capabilities and outcomes, not positions.	Recommendations related to all aspects of the identification, supply, optimisation, prioritisation and maintenance of resources and appropriate skills.
Roles and Responsibilities	We assign and delegate roles and responsibilities within our projects flowing from the SRO's appointment letter/delegation/mandate	Recommendations related to the oversight, structure and decision making of a project/ programme. This theme also includes recommendations relating to alignment with pan-government priorities, strategies and controls.

Stakeholders	We identify, assess and then manage our stakeholders to leverage maximum chance of success.	Recommendations related to relationships with all parties with an interest in the outcome of the project/programme, whether internal to the agency, internal to government or external.
Benefits	We start with the end in mind, formally focussing on the intended outcomes of our investment.	Recommendations related to the identification, ownership, measurement and realisation of benefits and dis-benefits. Benefits can be either financial or non-financial
Planning	We consider all aspects of our projects and continuously plan; managing dependencies, agreeing and refining evidence-based assumptions and reporting on progress against milestones throughout	Recommendations related to all aspects of project, programme and portfolio management, but excludes recommendations on Risk, Issues and Dependency Management
Risk	We identify, communicate and act upon the threats or opportunities to and for our outcomes.	Recommendations related to the identification, analysis, impact assessment, response and the on-going review and management of Risks, Issues and Dependencies (i.e. outputs that are required by a project to succeed, but which will be delivered by parties not under the direct control of the project).
Transition	We provide focus and resource to understand the end needs from the supplier side and a commitment and capability to learn, manage and own the benefits/outcomes from the customer side.	Recommendations related to the Management of Business Change – all the work required with and in the business and with the customer to make ready for the initiative, in terms of changes to business processes including: business continuity planning, changes to work processes and resourcing, changes to organisational structures and staffing to support transformational or process changes to business delivery to ensure a smooth transition to BAU
Other	To be used only when one of the Principles does not apply.	