

Agenda

Audit and Risk Committee

NOTICE OF MEETING

Notice is hereby given that a meeting of the Audit and Risk Committee will be held in the

Kingston Room, Civic Centre 24 Jetty Road, Brighton

15 November 2023 at 6.00pm

Roberto Bria

Chief Executive Officer

Please Note: This agenda contains Officers' reports and recommendations that will be considered by the Committee. Any confidential items listed on the agenda will be circulated to Members separately.



1. Opening

The Presiding Member, Councillor Smedley will declare the meeting open at 6.00pm.

2. Kaurna Acknowledgement

We acknowledge Kaurna people as the traditional owners and custodians of this land.

We respect their spiritual relationship with country that has developed over thousands of years, and the cultural heritage and beliefs that remain important to Kaurna People today.

3. Apologies

- 3.1 Apologies received
- 3.2 Absent

4. Declaration Of Interest

If a Committee Member has an interest (within the terms of the Local Government Act 1999) in a matter before the Committee they are asked to disclose the interest to the Committee and provide full and accurate details of the relevant interest. Committee Members are reminded to declare their interest before each item.

5. Confirmation Of Minutes

Motion

That the minutes of the Audit and Risk Committee held on 18 October 2023 be taken as read and confirmed.

6. Action Items

7. Presentations

7.1 Nil

8. Reports By Officers

- 8.1 Policy Development Policy and Policy Framework and Manual (Report No: 369/23)
- 8.2 Project Management Policy, Framework and Manual (Report No: 370/23)
- 8.3 Prioritisation Policy, Framework and Manual (Report No: 371/23)
- 8.4 Service Review Policy, Framework and Manual (Report No: 181/23)
- 8.5 Organisational Generative AI Use Policy (Report No: 372/23)

9. Urgent Business – Subject to the Leave of the Meeting



10. Confidential Items

10.1 Nil

11. Date and time of next meeting

The next meeting of the Audit and Risk Committee will be held on Wednesday 13 March 2024 in the Kingston Room, Civic Centre, 24 Jetty Road, Brighton.

12. Closure

Roberto Bria Chief Executive Officer



Meeting	Agenda Item	Action Required	Action Required Responsibility		Current Status	
16 December 2020	7.1 Standing Items	Develop framework for Governance relationship between Alwyndor, Audit and Risk Committee and Council.	GMs Alwyndor and Strategy & Corporate	December 2023	Work is currently being undertaken by Alwyndor to address new governance requirements under the Aged Care Reform, which is due to be put in place by December 2023.	

 Item No:
 8.1

 Subject:
 POLICY DEVELOPMENT POLICY, AND POLICY FRAMEWORK AND MANUAL

Summary

Policy-making is an important part of Council's role in fulfilling its obligations under the *Local Government Act 1999* and other legislation.

To ensure that Council fulfills its legislative obligations effectively and is able to set and administer clear, well-considered, evidence-based, practical and useful policy, a Council Policy to guide policy development, and an associated Policy Framework and Manual have been developed and are provided to the Audit and Risk Committee for consideration and endorsement, ahead of being presented to Council.

Recommendation

That the Audit and Risk Committee:

- 1. recommends the Policy Development Council Policy (Attachment 1) to Council for adoption; and
- 2. recommends the Policy Framework and Manual (Attachment 2) for Council to note and Administration to adopt.

Background

According to the *Local Government Act 1999* the role of a council is to "provide for the government and management of its area at the local level and, in particular —

- (a) to act as a representative, informed and responsible decision-maker in the interests of its community; and
- (b) to provide and co-ordinate various public services and facilities and to develop its community and resources in a socially just and ecologically sustainable manner; and
- (c) to encourage and develop initiatives within its community for improving the quality of life of the community; and
- (d) to represent the interests of its community to the wider community; and
- (e) to exercise, perform and discharge the powers, functions and duties of local government under this and other Acts in relation to the area for which it is constituted."

Fulfilling this role requires Council, and Administration on Council's behalf, to set and administer policy. 'Policy' is the collective term for policy statements, policy instruments and policy documents. It articulates the decisions of Council (or Administration) and sets out an agreed position and direction concerning particular matters. Policy is important because it sets out boundaries and expectations, steers direction and decision-making and makes commitments to particular positions or courses of action.

Report

To ensure that Council fulfills its legislative obligations effectively and is able to set and administer clear, well-considered, evidence-based, practical and useful policy, a Council Policy governing policy development has been developed and is provided as Attachment 1.

As part of the review of policy development practices undertaken to inform this new recommended policy, and coupled with the recent branding refresh, a new set of templates has been developed for strategies, plans, policies and procedures. The proposed policy is in the new *Council Policy* template, which makes roles and responsibilities clear at the beginning of the document, simplifies the content and moves administrative details (such as document numbers, references and dates published) to the end of the document. Existing Council Policies will be transferred to this format as they become due for review/renewal.

Refer Attachment 1

The Policy Development Council Policy defines the differences between Council Policy versus Organisational Policy, sets review parameters and establishes key processes to ensure effective policy development.

To support this policy, an associated Policy Framework and Manual has been developed, which is provided as Attachment 2.

Refer Attachment 2

The Policy Framework and Manual has been developed based on extensive research of similar frameworks across multiple sectors and combines the best elements found in each. The document is nevertheless contextualised for the City of Holdfast Bay and articulates the service models and process by which policy will be developed within the organisation.

While the Policy Framework and Manual is based on a typical policy development process, it incorporates elements of human-centred design¹ to introduce 'user' voices into policy development wherever feasible and to support building these key capabilities in the organisation.

In keeping with the human-centred design approach, it is intended that the Policy Framework and Manual will be a living document, which is updated as lessons are learned and improvements are identified.

¹ Human-centered design is an approach that aims to make services and systems usable and useful by focusing on the users, their needs and requirements. It differs from typical policy development processes (or service and product design processes) in a number of key ways: (1) it starts with the human need, not an organisational goal, (2) it is rooted in empathy, not process, (3) it requires co-design, not consultation, and (4) it is iterative and built on feedback, not presented 'fully formed'. Importantly, it devotes significant time to understanding and securing agreement on the problem to be solved, which saves resources and effort at the solution-implementation stage and is more likely to address root causes rather than symptoms.

3

Budget

There are no budget requirements associated with this proposal.

Life Cycle Costs

There are no life cycle costs associated with this proposal.

Strategic Plan

High quality policy development ensures alignment with strategic directions can optimise the delivery of strategic objectives and aspirations.

Council Policy

Policy Development Council Policy (proposed)

Statutory Provisions

Local Government Act 1999

Written By:	Manager, Strategy and Governance
General Manager:	Strategy and Corporate, Ms S Wachtel

Attachment 1





Policy Development

Council Policy

1. Purpose

The purpose of this policy is to ensure consistency in the development and review of all policy, in order to minimise risk to Council and set a standard of good governance practice across the organisation.

2. Scope

This policy applies to Council, with the exception of Alwyndor.

3. Roles and Responsibilities

Council	Adoption, amendment and revocation of Council policies, strategies and plans.			
Senior Leadership	Adoption, amendment and revocation of Organisational policies, Procedures			
Team (SLT)	and plans. Adoption and periodic review of the Policy Framework and Manual.			
Leadership Team	Reviewing, providing input on and endorsing the content of policy documents,			
	prior to SLT consideration.			
Policy Owners	Responsible for ensuring documents are correct, up to date, reviewed as			
	necessary, maintained, implemented and monitored for compliance.			
Employees	Required to comply with policy documents.			
Strategy and	Responsible for:			
Governance Team	 maintaining the Policy Framework and Manual 			
	- maintaining the policy register			
	- reporting on policy documents			
	- providing advice on the most appropriate policy instrument to achieve			
	goal			
	- triggering policy document reviews according to agreed review schedules			
	- supporting Policy Owners in developing policy documents.			

4. Policy Statement

- 4.1 'Policy' is the collective term for policy statements, policy instruments and policy documents. Policy articulates the decisions of Council (or Administration) and sets out an agreed position and direction concerning particular matters. Policy is important because it sets out boundaries and expectations and steers our direction and decision-making. Policy manages and reduces risk by ensuring we are fulfilling our regulatory functions and legislative obligations, fostering credibility and trust in government.
- 4.2 Policy is an expression of Council's commitment to a particular position or course of action. Therefore, Council and Administration are bound by the policy instruments and policy documents they adopt. Exceptions may, on occasion be warranted, but these should be granted judiciously and conservatively.





- 4.3 Council policy instruments and policy documents, including any significant amendments or revocations, must be adopted formally by Council. Minor amendments such as updated legislative references, typographical improvements, or other editorial improvements that do not change the intent of the policy may be made with the approval of the Chief Executive Officer, without being returned to Council.
- 4.4 Organisational policy documents, including any significant amendments or revocations, must be adopted formally by the Senior Leadership Team. Minor amendments such as updated legislative references, typographical improvements, or other editorial improvements that do not change the intent of the policy may be made with the approval of the Manager, Strategy and Governance, without being returned to the Senior Leadership Team.
- 4.5 A Policy Framework and Manual will be developed and maintained on Council's behalf by Administration to guide policy development. This document may be updated from time to time as best practice changes, or as lessons from implementation need to be applied. Updates must be approved by the Senior Leadership Team.
- 4.6 A Policy Register will be maintained, which documents all Council and Organisational Policies, their owners and review dates.

Developing New Policy

- 4.7 As all policy instruments must be both implemented and monitored for compliance, it is important that the most appropriate policy instrument be selected to achieve desired outcomes.
- 4.8 Administration will assess all proposals for new policy instruments and will provide advice to the relevant authority regarding what type of policy instrument is most appropriate to achieve the desired outcome.

Reviewing Existing Policy

4.9 All policy instruments should be reviewed periodically. Review periods are:

Document	Frequency	Notes
Strategic Plan	Within 2 years after each	Legislative requirement, LG Act, S8(4)(b).
	general election	
Strategy	3-10 years	
Long Term Financial Plan	Annually	Legislative requirement, LG Act, S8(4)(a)(i).
Asset Management Plans	Within 2 years after each	Legislative requirement, LG Act, S8(4)(b).
	general election	



Council Policy

Document	Frequency	Notes
Plans	3-5 years	
Annual Business Plan	Annually	Legislative requirement, LG Act, S123.
Council or Organisational Policy		If a policy relates to high-risk activities or relates to a fast-changing topic, earlier review intervals may be set.
Procedure	Four years	Earlier review intervals may be set as required.

- 4.10 It is appropriate to periodically revoke policy instruments. Advice on revocations is to be provided by Administration to the relevant authority.
- 4.11 Adopted Council policy documents will be public and must be published on the Council's website.
- 4.12 Adopted organisational policy documents will be published on appropriate organisational information channels and may be made public at the discretion of the Chief Executive Officer.

5. Definitions

Key term or acronym	Definition
Administration Council	Staff, processes and systems that make up the organisation which delivers services to the community under the guidance of Council. The elected body.
Council Policy	 Policy documents adopted by Council that: are legislatively required of Council (ie, mandatory), and/or apply to the City (not the organisation), and/or relate to elected members and/or the operations of Council, and/or are deemed to be of strategic importance by the Chief Executive Officer.
Organisational Policy	Policy documents adopted by the Senior Leadership Team that: * are legislatively required of the organisation, and/or * apply to the organisation, and/or * relate to the operations of the organisation / staff only.
Policy documents	Relevant policy instruments that make policy statements.



Council Policy

Policy instruments	Policy instruments include legislation and regulations, international conventions, intergovernmental agreements and other legal instruments, strategies and plans, policies, procedures and similar documents, as well as tools used to implement policy positions (for example, fees and charges, permits, etc).
Relevant Authority	Council is the relevant authority for Council policies, strategies and plans. The Senior Leadership Team is the relevant authority for Organisational policies, procedures and plans.
Strategy	A strategy is a Council-endorsed, strategic document that defines Council's direction and objectives in a focus area. Strategies are primarily concerned with where we want to be in the future. They commonly contain policy statements and are, therefore, a type of policy instrument.

6. Administration Use Only

Reference Number:			
Strategic Alignment:	This policy supports the delivery of the Strategic Plan by		
	ensuring policy alignment		
Strategic Risk:	This policy mitigates strategic risk by ensuring strategic		
	alignment throughout all policies		
Responsible Officer(s):	Manager Strategy and Governance		
First Issued / Approved:			
Minutes Date and Council Resolution			
Number:			
Last Reviewed:			
Next Review Date:			
Applicable Legislation:	Local Government Act 1999		
Related Policies:			
Other Reference Documents:	Policy Framework and Manual		

Attachment 2



Policy Framework and Manual September 2023

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	Purpose

Message from the CEO

In its strategic plan, *Our Holdfast 2050+*, Council describes its vision for the city:

Protecting our heritage and beautiful coast while creating a welcoming and healthy place for all in South Australia's most sustainable city.

This vision drives all Council activities and is supported by three focus areas:

- 1. Wellbeing Good health and economic success in an environment and a community that supports wellbeing
- 2. Sustainability A city, economy, and community that is resilient and sustainable
- 3. Innovation A thriving economy and community that values life-long education, research, creativity, and entrepreneurialism.

As we navigate the complexities of the rapidly changing environment we work in, we need to be cognisant of the impact that well-crafted policies can have on the lives of individuals, the vitality of communities, and the sustainability of our planet.

This framework is designed to inspire mindful decision-making and purposeful, aligned action. At its core, it is a call to action to recognise that policy is not a passive reflection of rules but a dynamic force that can shape behaviour, drive innovation, and foster collaboration.

Embedded within this framework is the understanding that policy positions, when crafted thoughtfully and implemented effectively via the correct instruments, can drive transformative change in our organisation and community. They can pave the way for inclusive economic growth, ensuring that prosperity is shared and no one is left behind. They can safeguard the rights and dignity of individuals, fostering an environment of justice and equality. They can steward our natural resources, preserving the beauty and vitality of our City for generations to come.

Our journey towards being the most sustainable city in the state necessitates a departure from narrow silos of thought. Ethics and integrity lie at the foundation of every effective policy initiative. This framework puts a strong focus on being clear, taking responsibility, and making sure everyone's rights are protected. We're facing challenges, but we're not backing down. We're making choices that match our values and will lead us into the future.

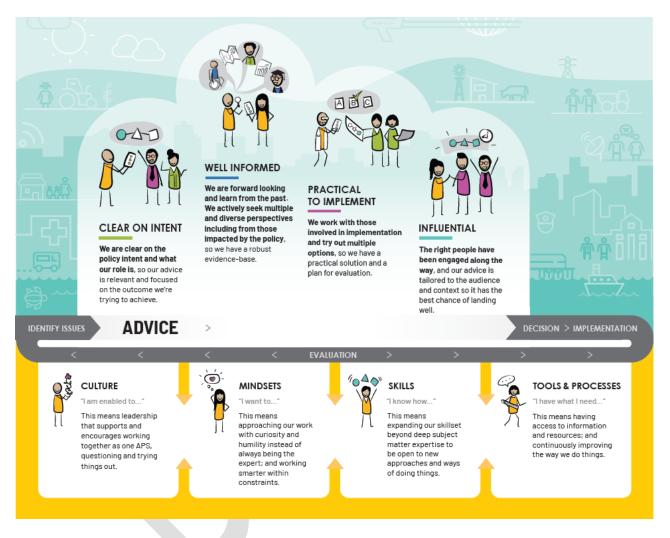
Our journey forward is about learning, working together, and being flexible. By sharing ideas and listening to different views, we're keeping our community strong and our policies effective.

So, let's come together, think positively, and join in the ongoing conversation. We have the power to shape our future, making sure everyone is treated with respect and creating a world where generations to come can flourish.

1. Purpose

We have designed this document to guide consistent and effective policy development in our Council organisation.

Having a common language and process to align with ensures we can provide high-quality policy advice to Council and create high-quality policy for our city. Through clear, evidence-based, and practical policy directions and instruments, we can ensure that our decisions are wise, strategically aligned, consistent, and equitable.



Source: <https://www.policyhub.gov.au/model>

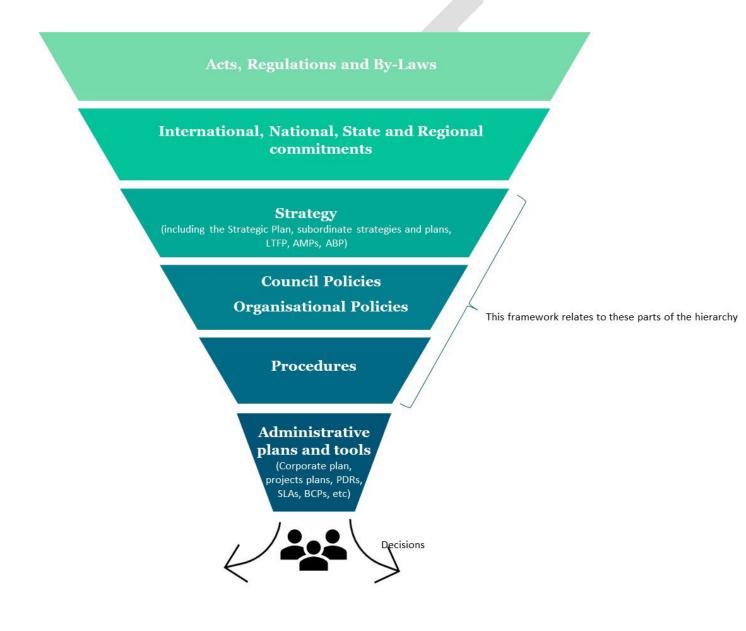
2. Background

Local government in South Australia is established under the *Local Government Act 1999* (SA) and forms part of Australia's third tier of government. Local government has legislative responsibility for many functions, activities and services in addition to the traditionally recognised 'roads, rates and rubbish'.

How a local government chooses to invest in its resources (dollars and staff) can significantly affect the area and the wellbeing of the communities that live within it.

Each local government is a body corporate. It is thus a legal entity with all the legal powers to act within its legislated jurisdiction. It can sue and be sued, issue lawful directives and make lawful decisions either directly or through delegations.

Local government operations are governed by a hierarchy of policy instruments, as indicated below.



3. Definitions

City – relates to the geographic area within the council boundaries of the City of Holdfast Bay.

Council – refers to the Elected Members as the decision-making body.

Council Policy – defines what Council will do and why for our customers and community.

Council's Strategic Vision – contained in *Our Holdfast 2050+*, 'Protecting our heritage and beautiful coast while creating a welcoming and healthy place for all in South Australia's most sustainable city'.

Leadership Team (LT) – refers collectively to the organisation's managers.

Organisation – refers to the administration of the City of Holdfast Bay.

Organisational Policy – defines what the administration will do and why and relates to the internal operations/workings of the organisation.

Policy – the collective term for policy statements and policy instruments.

Policy Author – refers to the employee who is responsible for writing or reviewing a policy.

Policy Coordinator – refers to the employee within the Strategy and Governance Team who ensures the process of developing, approving, reviewing, and rescinding (revoking) a policy is managed effectively for the organisation.

Policy Owner – refers to the employee who is accountable for a particular policy and is a subject-matter expert.

Policy Instruments – legislation and regulations, international conventions, intergovernmental agreements and other legal instruments, strategies and plans, policies, procedures and similar documents. The term can also be applied to tools used to implement or give effect to policy positions such as fees and charges, permits and licences—but for this framework, the term refers to documents that make policy statements.

Policy Statement – a statement of intent, a position, or a commitment.

Procedures - instructions on how to apply policies.

RelianSys – an online policy/procedure register for scheduling, issuing reminders, tracking, and centralising all critical information in one place.

Senior Leadership Team (SLT) – refers collectively to the organisation's Executives.

Subject Matter Expert (SME) Lead – Policy Owner for strategies and plans.

Strategic Document – makes policy statements that define Council's direction, approach, or objectives.

Strategy Lead – refers to the employee within the Strategy and Governance Team who partners with SME Leads to review and/or develop strategies and plans.

Work Instructions – relates to internal workplace health and safety (WHS) documents.

4. Principles

The foundations that underpin this framework are our corporate values and behaviours, captured in the acronym ARISE:

Achievement – delivering things that matter in ways that work

- Respect constantly asking questions, not being seduced by our own expertise
- Innovation challenging ourselves to keep improving
- Simplicity doing the hard work to make it simple
- Engagement feeling what the service user feels.

The planning, review, and implementation of policy is driven by ARISE, along with these supporting principles:

- **User-centric**. Policies exist for users and should be assessed against how well they meet user needs. Users may include individual persons, groups, and the whole community.
- **Future-focused**. Policy development must consider current best practice, as well as improvements in the short and longer term. We are committed to pursuing both innovation and continuous improvement.
- **Evidence-based**. Policy informed by data and evidence, so that sound decisions can be made.
- Value for money. Policy development should consider value-for-money principles to ensure the best outcomes are achieved within available resources.
- **Outcome-oriented**. Policies must be outcome-oriented, rather than establishing process for process' sake.
- **Sustainability**. Policies should be geared towards achieving the best possible outcomes for the social, environmental, and economic thriving of the community and our city.
- **Systems thinking**. Most policies relate to and operate in complex adaptive systems. To ensure outcomes can be achieved efficiently and effectively, a systems-based approach should be used whenever possible.
- Inclusion and equity. All policy must ensure equity and further inclusion.

The Australian Government has also articulated the mindsets underpinning great policy advice that policy writers should consider:¹

- **Humble**. We have expertise but not all the answers. We can't solve everything on our own.
- **Proactive**. We develop policy options ahead of being asked for them—we are ready to respond.
- **Curious**. We are interested in the evolving issues and new approaches as they emerge.
- **Timely**. We see timeframes as a boundary rather than a constraint. We work smarter rather than harder and can deliver great policy advice in any timeframe.
- **Collaborative**. We involve those affected by the policy, not just to tell them what we're doing but to get their input into the best way to go about it.
- **Consider the wider context**. We understand how policy issues are linked and work together across government to solve problems.
- Adaptive. We avoid the approach that one size fits all, ensuring our approach, advice, and solutions are appropriate to the context.
- **Practical**. We test and iterate possible solutions to make sure our policies will work in the real world.

¹ <https://www.policyhub.gov.au/model>

5. What is a Strategy?

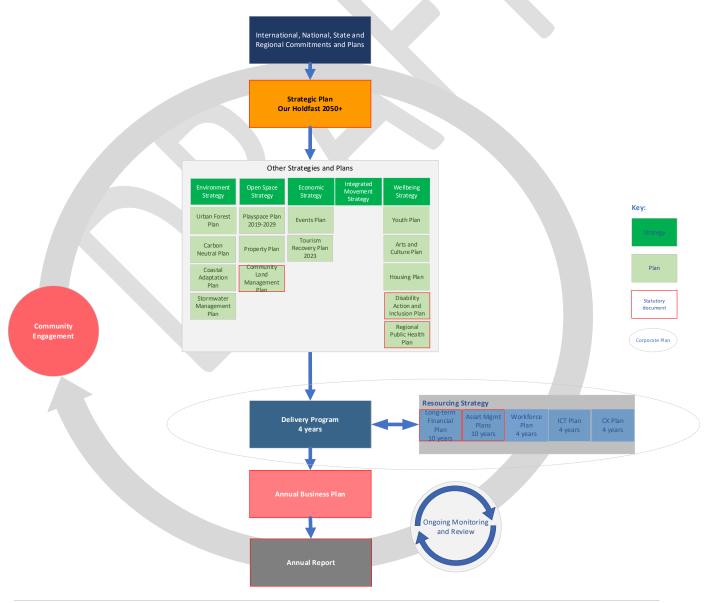
In simple terms, a strategy is a plan for getting from A to B.

In the context of this framework, a strategy is a Council-endorsed, strategic document that defines Council's direction and objectives in a focus area. Strategies are primarily concerned with where we want to be in the future. They commonly contain policy statements and are, therefore, a type of policy instrument.

A strategy can be broad like our strategic plan *Our Holdfast 2050+,* which covers the whole of the City and multiple focus areas with a long-time horizon, or it can be narrower like the Environment Strategy, which relates primarily to one focus area (environmental outcomes) and has a shorter time horizon.

Strategies are necessary for planning because they set a vision and articulate objectives to achieve it. Strategies are generally higher level and holistic with longer time horizons, while plans tend to be shorter term and may be discipline-specific and action-oriented. The one exception to this rule of thumb is the Annual Business Plan. Although its time horizon is short (one financial year), it is a statutory document (i.e. required by legislation) that relates to the whole of the City. It is not a strategy, but as a statutory document it is hierarchically above administrative plans.

The organisation's Strategic Planning Framework is represented in Figure 3 below.



6. What is a Policy?

Policies are decisions of Council that set out an agreed position and direction concerning an area of organisational responsibility. They are important because they set out Council's boundaries and expectations and steer organisational direction. They manage and reduce risk by ensuring Council is fulfilling its regulatory functions and legislative obligations, fostering credibility and trust in Council.

A policy contains principles, statements of intent or position statements that define what we will do and why. It can:

- set parameters for decision-making
- provide guidance on what must or may be done and why
- regulate a behaviour, action, or activity
- translate values into the way we operate
- achieve compliance with our responsibilities and legal obligations
- help achieve *Our Holdfast 2050+* and other strategic documents
- help manage risk.

Policies are either Council policies or organisational policies.

Council policies

- are legislatively required of Council (i.e. mandatory)
- apply to the City (not the organisation)
- relate to elected members and/or the operations of Council, and/or
- are deemed to be of strategic importance by the Chief Executive Officer.

Organisational policies

- are legislatively required of the organisation
- apply to the organisation, and/or
- relate to the operations of the organisation/staff only.

7. What is a Procedure?

A procedure prescribes the specific actions needed to implement a policy or other requirement, such as a legal obligation or work instruction. It sets out the how, when, and who to:

- provide clear instructions on how to implement a policy or work instruction
- ensure uniformity and compliance across the organisation.

Procedures are written when controls are required over certain processes. Flowcharts, checklists, and forms are often helpful addendums to procedures, but they must link to a policy or procedure to be officially approved.

Standard Operating Procedures such as WHS SOPs are a type of procedure. Material Safety Data Sheets are a type of procedure because they relate to controls over high-risk activities. These documents describe controlled activities and specify sequences of actions.

Individual job manuals, checklists, or guidelines created by individuals to assist colleagues to understand processes are not procedures for the purposes of this framework. As such, they are not enforceable.

Procedures are only ever administrative, even if they relate to a Council policy. This is because they strictly relay the steps involved in implementing an existing policy direction. They are operational in nature and, therefore, do not require Council decision-making.

8. Outcomes Sought

To ensure Council's policies are effective, this framework seeks to achieve the following outcomes:

Communication	 Strategies, plans, policies and procedures communicate important instructions and, therefore, must be clear, written in plain language where feasible and inclusive in nature. Strategies, plans, policies and procedures must be accessible and available to their intended audience.
Consistency	 Policy decisions align with Council's vision, objectives, and strategies. Policy documents align with relevant strategies, plans, and existing policies. Policy owners comply with this framework.
Compliance	 Policy supports the management of organisational risk compliance and legislative requirements. Policies that outline mandatory requirements use language such as 'will' and 'must', and appropriate monitoring and enforcement activities are factored into implementation plans.
Engagement	 External engagement is undertaken for policies as mandated by legislation, where there are significant trade-offs that the community should help decide and where it is determined that the community could provide valuable evidence, insights, or deliberative contributions. Internal engagement is undertaken through the LT and the SLT; however, policy owners should engage internally across the organisation, as needed, to create well-developed policies. Council strategies, plans, and policies are published on the Council website. Organisational policies and procedures are published on the Council intranet, Baywatch.

9. The Approach

Policy development is an ongoing activity that contains rich opportunities for learning organisations. A learning organisation is one skilled in creating, acquiring, and transferring knowledge and at modifying its behaviour to reflect new knowledge and insights.²

The City of Holdfast Bay is committed to inclusion and honouring lived experience. Accordingly, it takes a human-centred design approach to policy development.

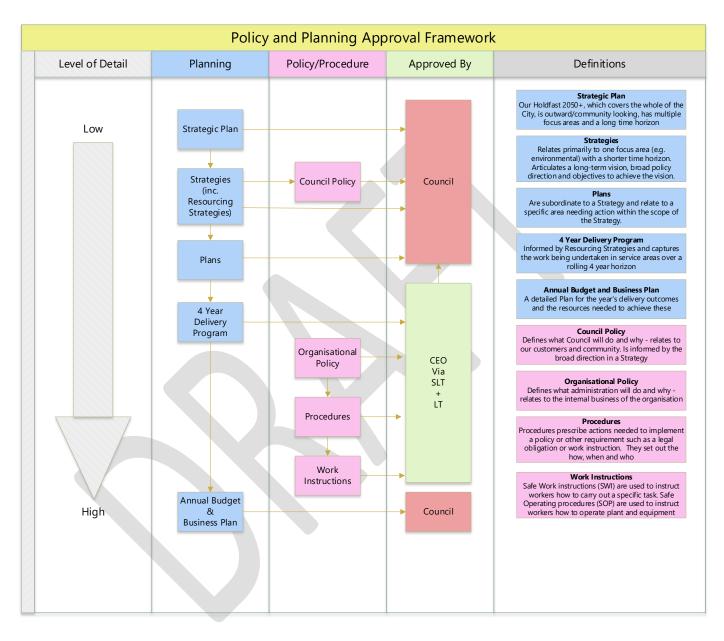
Our approach is based on:

- Human-centred design principles
 - o Start with the human.
 - o Talk to real users—feel what they feel.
 - o Make sure you understand the problem you're trying to solve.
 - o Ideate divergently before you converge on solutions.
 - o Test your hypothesis(es).
 - o Prototype quickly, iterating from there (to get from A to B, build the skateboard first, not the Rolls-Royce).
 - o Keep testing/getting feedback and keep building.
- Engaging in the process with an explorer's mindset
 - o Assume nothing.
 - o Ask why at least five times, and then ask some more.
 - o Dig for the root cause.
 - o We are all creative given, the space and opportunity.
 - o No idea is stupid, albeit some are less practical in shorter timeframes.
 - o Moonshots are worth exploring.
 - o It's OK to change your mind.
 - o Look for all the shades of grey.
 - o Divergence before convergence—seek out unexpected lenses to view through.
- Understanding that learning may cause us to fail, which is best done fast and forward
 - o A failed first attempt in learning is nothing to be ashamed of or fear.
 - o Failures are an important part of continuous improvement cycles.
 - o Fail in order to learn, not to embed poor practice.
- The underpinning principle of agile delivery is: iterate, iterate, iterate.
 - o Don't expect to get it right the first time.
 - o Try, collect feedback, tweak, rinse, repeat.
- A deeply held belief that progress is a team sport and we're all playing on the same team.

² <https://hbr.org/1993/07/building-a-learning-organization>

10. Governance

Council is ultimately responsible for policy positions and decisions for the City and community, while the CEO is responsible for matters related to the organisation. The figure below illustrates the different types of policy documents, the level of details they typically contain, and the responsible body.



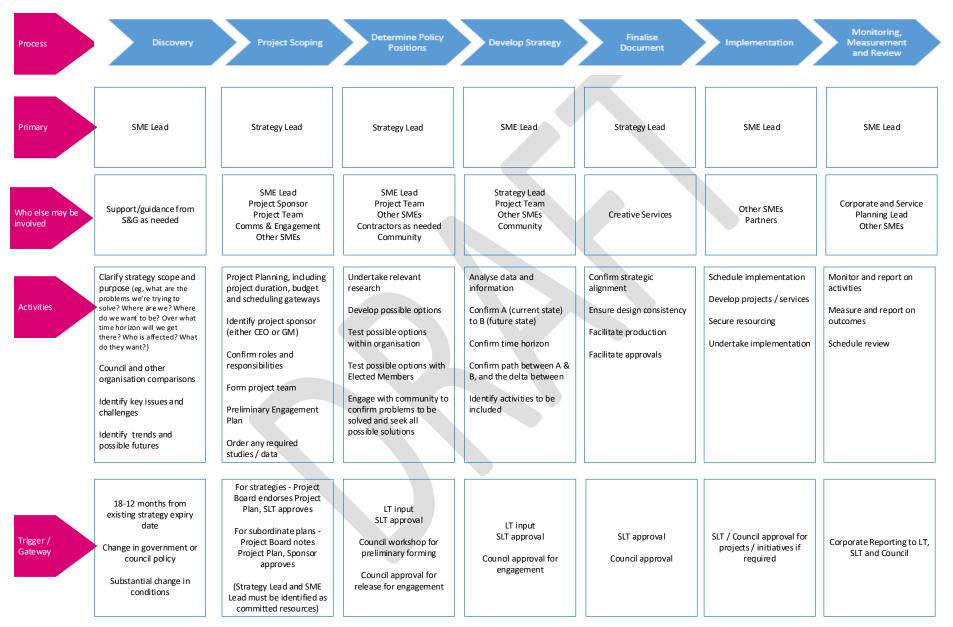
The approval pathways for documents are given in the table below.

DOCUMENT	NEW DOCUMENTS		EXISTING DOCUMENTS				
ΤΥΡΕ	Endorsement	Adoption	Minor Amendments on Review	Substantive Amendments on Review	No Amendments on Review	Revocation on Review	
Strategy	SLT	Council	Council	Council	SLT	Council	
Plan	SLT	Council	SLT	Council	Policy Owner	Council	
Council Policy	LT + SLT	Council	Policy Owner	Council	Policy Owner	Council	
Organisational Policy	LT	SLT	Policy Owner	SLT	Policy Owner	SLT	
Procedure	LT	SLT	Policy Owner	SLT	Policy Owner	SLT	

Administering the overall policy program is the responsibility of the Strategy and Governance Team, which:

- establishes and maintains the policy framework
- assists in the development of policy per agreed service delivery models (see Tables 4 and 5)
- maintains the policy register
- ensures scheduled policy reviews occur
- champions policy documents through LT, SLT, and Council endorsement/approval.
- monitors and reports.

Strategy Service Model



Policy service model

Process	Discovery	Determine Policy Positions and Develop Policy	Approvals	Implementation	Monitoring and Measurement	Review
Primary	Policy Owner	Policy Author	Policy Coordinator (S&G)	Policy Owner	Policy Owner	Policy Coordinator (S&G)
Who else may be nvolved	Support/guidance from S&G as needed Policy Author Subject Matter Experts (SME)	Policy Owner Policy Coordinator (S&G) SMEs	Policy Owner Policy Author Line Manager Leadership Team	SMEs	Policy Coordinator (S&G) Line Manager	Policy Owner
Activities	Clarify policy scope and purpose (eg, what are the problems we're trying to solve? Is a policy/procedure the right instrument to use? Who is affected?) Council and other organisation comparisons	Policy/procedure development (eg, what are the positions protoposed? What are the activities or behaviours we're seeking to regulate? What do the people the policy applies to need to know? How will training and communications be delivered? How will compliance be monitored and measured?) Confirm roles and responsibilities Consider who needs to be consulted, including workshop with EMs if relevant	Finalise documentation for relevant approval via 1. Leadership Team for review 2. SLT for endorsement 3. Audit Committee if relevant 4. Council if relevant	Communicate the contents of the policy to relevant stakeholders Deliver any required training Implement any relevant systems or processes Consider how compliance will be monitored and measured	Monitor and measure compliance Consider consequences of non-compliance	Schedule review Advise of need to commence review 6 months from existing policy expiry date or as conditions change
Trigger / Gateway	6 months from existing policy expiry date Change in government policy or council position Substantial change in conditions	Liaise with S&G re: timing of engagements to ensure adequate time for subsequent stages	LT input SLT approval for organisational policies and all procedures Council (and Audit Committee where relevant) approval of Council Policies	SLT / Council approval for projects / initiatives if required	Reporting to Line Manager, SLT, Audit Committee, Council as required	6 months from existing policy expiry date Change in government policy or council position Substantial change in conditions

Other Key Roles

Policy/Procedure Coordinator

The Policy/Procedure Coordinator (in the Strategy and Governance Team) ensures that the process of developing, approving, reviewing, and rescinding (revoking) a policy/procedure is managed effectively for the Council and organisation. This function is undertaken by the Strategy and Governance section, which also administers the policy/procedure register/rationale and stores the policies and procedures via ECM, Baywatch, the City's public-facing website, and RelianSys.

Policy Owner/Subject Management Expert (SME)

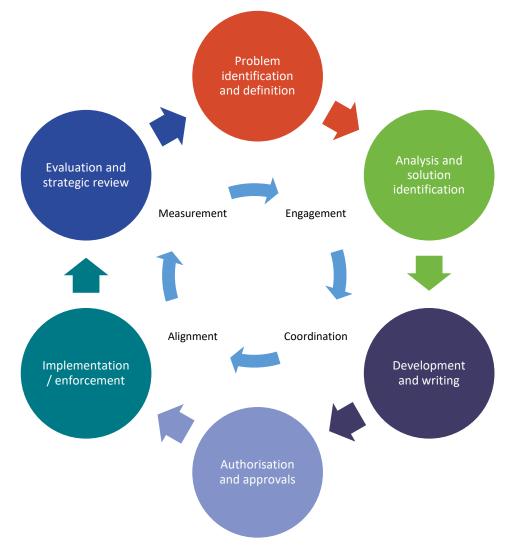
Employees who are relevant subject-matter experts are Policy Owners. This role ensures that the strategies, plans, policies and procedures they are accountable for are kept up to date, reviewed on time, and communicated effectively. The role is also responsible for policy implementation.

Policy Author

Policy Owners may assign the responsibility of writing or reviewing a policy to a Policy Author in their team. The Policy Owner still has accountability for the policy/procedure and must ensure it meets its objectives.

11. Policy Development Process

At the highest level, strategy, policy, and procedure development is similar:



Strategy, policy, and procedure development should be treated as projects (refer to Project Management Framework). Throughout the project, consideration must be given to:

- strategic alignment with Council's stated wellbeing, sustainability, and innovation objectives and aspirations
- ensuring the strategy or policy does not have a disproportionate effect on any one segment of the community
- the perspectives of Aboriginal and Torres Strait Islander peoples
- accessibility by people with disabilities and the aged
- social inclusion, including young people and those traditionally marginalised by government engagement
- the assessment and mitigation of risks
- compliance with relevant other policy instruments, including legislation
- ensuring all feedback, issues and questions have been considered and addressed
- ensuring an implementation strategy has been developed, including education or promulgation and compliance or measurement, as relevant.

Problem identification and definition

Aim	To understand the problem(s) we are trying to solve or the opportunities we're trying to create when we're thinking about creating policy
Key activities in this stage	 Discovery is undertaken (Policy Owner/SME). Project Plan is developed (Strategy and Governance).
Who is involved	 Policy Coordinator/Strategy Lead Policy Owner/SME Policy Author Project Sponsor Stakeholders as relevant
Outputs produced during this stage	Discovery artefacts (see Appendix 1)Project Plan
Things to think about	 What is the objective or purpose of the document? What is the current state? Who are the stakeholders and when should you engage them? What is the future state you're trying to get to? What's the gap (delta) between where we are and where we want to be?
Timeframe	 The development of new policy can commence at any time. Reviews of strategies and plans need to be factored into the budget process, so planning should commence the October/November before the financial year in which the document needs to be reviewed. Reviews of existing policies and procedures will commence six months prior, with a prompt from RelianSys. A kick-off meeting will be held firstly with the Policy Owner/SME
	Lead and Policy Coordinator/Strategy Lead to gather data for the project plan and agree on how the project will proceed. Expected delivery timeframe: 2–4 weeks
Templates	Project Plan (see Project Management Framework) Discovery Guide (See Appendix 1)

Analysis and solution identification

A.t	The second secon
Aim	To understand the range of possible solutions and narrow in on preferred options
Key activities in this stage	Solution identification
	Solution analysis
Who is involved	Policy Owner/SME
	Policy Author
	Policy Coordinator/Strategy Lead
	Project Sponsor
	Stakeholders as relevant
Outputs produced during this stage	Solutions evaluation artefacts
Things to think about	• Start by generating as many ideas as possible. Do not censor, limit, or evaluate them too early. Quantity over quality <i>first</i> . Evaluation is a separate process.
	• Including stakeholders in ideation and evaluation can provide fresh perspectives.
	• Ensure all ideation participants are clear on the problem to be solved.
	 Beware of cognitive traps. (See Appendix 2 and resources such as <<u>https://thedecisionlab.com/biases</u>, <<u>https://yourbias.is/</u>> and <<u>https://yourlogicalfallacyis.com/</u>> to better understand biases and heuristics.)
Timeframe	The timeframe will depend on the size and complexity of the topic. Broadly, the steps in this stage are:
	1. Ideate to come up with a range of solutions.
	2. Analyse the pros and cons of the solutions identified.
	3. Evaluate the feasibility of solutions.
	4. Prioritise solutions.
	Expected delivery timeframe: 2++ weeks (depending on complexity).
Templates	Cognitive traps to avoid (see Appendix 2)
	Ideation Guide (see Appendix 3)
	Analysis Guide (see Appendix 4)

Development and writing

Aim	To develop policy positions and write the document(s)
Key activities in this stage	 Policy development Writing content Document production
Who is involved Outputs produced during this stage	 Policy Owner/SME Policy Author Policy Coordinator/Strategy Lead Project Sponsor Draft policy instrument(s)
Things to think about	 Clarity in policy positions being expressed Legislative requirements—what is the extent of Council's authority? Plain language
	• Are there any supplementary documents that need to be produced (e.g. communications plan, implementation plan, explanatory documents, FAQs, covering memo, or Council report)?
Timeframe	The timeframe will depend on the size and complexity of the policy instrument being produced. Broadly, the steps are:
	1. Develop proposed policy positions.
	 Verify/socialise them as needed (e.g. via discussions with stakeholders, Council workshops).
	 Draft your content (including setting a review date). (See Appendix 6.)
	4. Edit for plain language.
	 Produce the draft document (via Creative Services for strategies and plan, or via the pre-prepared templates for policies and procedures).
	Expected delivery timeframe: 1 week++ (depending on complexity).
Templates	Strategy or plan (facilitated by Creative Services, via Strategy and Governance)
	Policy Template (available via Word)
	Procedure Template (available via Word)
	Document Checklist (see Appendix 7)

Authorisation and approvals

Aim	To secure relevant authorisations and approvals and to publish documents
Key activities in this stage	LT review and endorsement
	• SLT review and endorsement and adoption
	Audit Committee review and endorsement (if required)
	Council review and adoption (if required)
	Publication on websites
Who is involved	Policy Coordinator/Strategy Lead
	• LT
	• SLT
	Council and relevant committees (if required)
Outputs produced during this stage	Final document(s)
	• Report to Council or covering memos to LT/SLT
Things to think about	Do any of the approving authorities need a workshop or
	briefing before receiving the document(s) for approval?
	• What are the appropriate publication channels?
Timeframe	The timeframe will depend on meeting availability and how many endorsing/approval bodies are involved.
	Expected delivery timeframe: 1–6 weeks.
Templates	Council Report (available via Word)
	Memo (available via Word)

Implementation / enforcement

Aim	To implement the policy instruments and policy within them
Key activities in this stage	 Implementation actions Monitoring Enforcement activities (as required)
Who is involved	 Policy Owner/SME Other stakeholders Policy Coordinator/Strategy Lead
Outputs produced during this stage	 Expiations (if required) Responses to requests (as appropriate) Licences (if required) Project plans and reports (as required for individual actions) Six-monthly report to SLT
Things to think about	 What is the best way to ensure your stakeholders are understanding and abiding by your policy instruments? How often do you need to educate/remind? How might you spot-check/internally audit compliance with your policy instrument? What are you learning along the way that you can carry forward to a review when the time comes?
Timeframe	Implementation and enforcement continue for the life of your policy instrument.
Templates	Implementation Guide (Appendix 8) Lessons Learned Log (Appendix 9)

Evaluation and strategic review

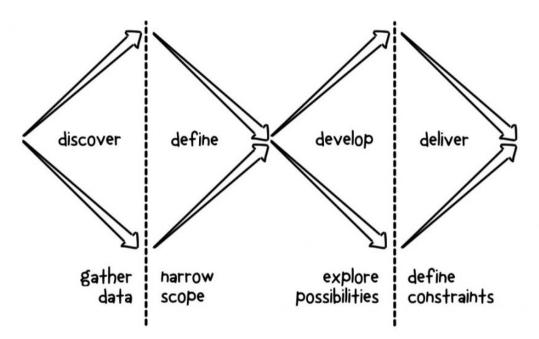
Aim	To continue adapting and improving to meet user needs
Key activities in this stage	EvaluationReview scoping
Who is involved	Policy Owner/SME/Policy Coordinator/Strategy Lead
Outputs produced during this stage	 Evaluation (see Appendix 5) Lessons Learned (see Appendix 8) Review scope (to inform the Project Plan—see 'problem
	identification and definition' stage)
Things to think about	• Consider whether conditions have changed—for example, social changes, new technologies, changes in state or federal policies, unexpected events (pandemics, natural disasters, conflicts, etc.), trends, etc.
	• Keep an eye on strategic alignment.
	• What lessons have been learned during implementation?
Timeframe	Per Appendix 6, review timeframes may be legislated or set by the organisation.
	Reviews should commence in plenty of time to ensure deadlines are met.
Templates	Evaluation Guide (Appendix 5)
	Lessons Learned Log (Appendix 9)
	Project Plan (see Project Planning Template)

12. Appendices

Appendix 1 - Discovery Guide

Problem identification and definition is a crucial step in the development of policy. The primary purpose of this stage is to explore widely and deeply and to make sure that all relevant stakeholders agree on the problem to be solved or the opportunity being pursued. This is not the stage to come up with solutions, so resist the urge to put forward and evaluate potential options at this time.

A human-centred design approach emphasises unbiased discovery to ensure that problems are correctly defined before solutions are developed and evaluated. The process requires different phases of divergence and convergence:



The first part of this stage—problem identification—is all about asking questions and gathering data. But before you begin your discovery journey, make sure you know who your stakeholders are.

Stakeholder identification

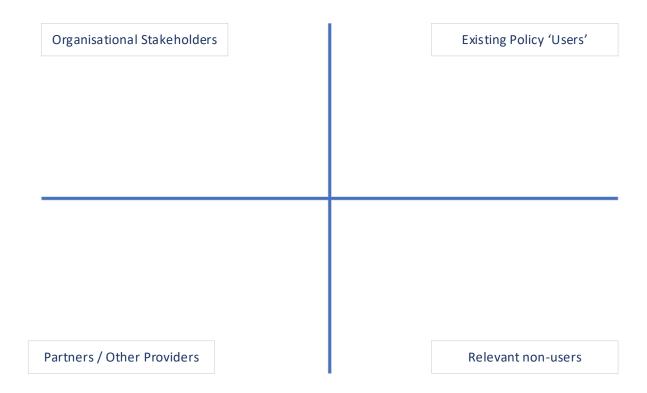
A stakeholder map is a visual representation of the various individuals and groups involved with the policy you're creating. A stakeholder is any person or organisation that may be positively or negatively impacted by the policy, that contributes to or may be able to affect it, or that may be regulated by it.

Types of stakeholders may include:

- specific demographic groups
- interest groups
- people who are inadvertently affected
- government agencies and regulatory authorities
- funders
- service partners

- suppliers
- other teams who are part of the policy eco-system
- decision-makers (managers, GMs, LT, SLT, Council, etc.)
- the general community.

There are many ways to represent who your stakeholders are visually. This template is suggested, but you are welcome to use others if you prefer.



Post-it notes work well with one stakeholder per note, including quantities if known (e.g. '300 women aged 45–55', '20 men aged 20–30'). Information can then be transcribed to a digital format, or a photo can be taken.

Discovering policy

Below are some questions that might help you explore the problem space related to your strategy, plan, or policy. This list is neither exhaustive nor prescriptive—you don't have to answer every question. The aim of this list of questions is to stimulate deep and broad thinking.

• What is the objective or purpose of the document?

- How does this align with Council's strategic vision and any other parent plan(s)?
- What are you providing guidance/direction for?
- o What will change/be better/be different because of this document?
- Are there any matters that are obviously in or out of scope for this document? (e.g. legislative requirements)?
- Are there any ethical, social, environmental, economic or philosophical matters you should consider?

What is the current state?

- What are the problems you're trying to solve? Who are they a problem for?
- What are the risks, strengths and weaknesses or the pros and cons of the current state?
- What are the known or likely trade-offs?
- What are you legally obligated to do?
- What is the behaviour you're trying to regulate?
- How successful is compliance currently?

Who are the stakeholders?

- Who are you trying to reach, serve, or impact?
- What are the characteristics and needs of your target audience(s)?
- Who is the target audience(s) for the document?
- \circ Who might need to be involved in providing inputs to this document or policy position?
- $\circ~$ Who will be or should be involved in making decisions on this topic?
- o Who might we have traditionally left out of giving input or decision-making on this subject?

- What are the key points or messages you want to convey before, during, and after strategy development and adoption?
- \circ $\,$ What are all the ways you might engage your stakeholders (internal and external)?
- What are all the ways your stakeholders might influence or direct your direction, tactics, or communications?
- What is the future state you're trying to get to?
 - What are the opportunities you're trying to create or capitalise on? Who would the opportunities benefit? Who might miss out? Who might lose out?
 - What are you expecting to change, or will change?
 - What specific results/outcomes are you trying to achieve?
 - What are the objectives or measures that will indicate whether you're achieving the desired outcomes/changes?
 - What trends or changes in the external environment could affect your future state or your plan to get there?
 - \circ $\,$ What risks will be mitigated and what new risks might be created?
 - What's the gap (delta) between where we are and where we want to be?
 - What policy positions need to be in place to achieve the intended results/outcomes?
 - What is an appropriate time horizon for managing the delta?
 - What's the case for change?
 - $\circ~$ How much support or opposition is there likely to be to change? From what sources?

You can explore these questions as written text (via interview transcripts) and/or quotes from stakeholders (via surveys or through creative tools such as mindmapping, card sorting, journey mapping, or empathy walls). If you need ideas or assistance, please contact Strategy and Governance.

Discovering procedures

While the questions above might be of some use when considering the context for developing a procedure, these are much more pragmatic documents. These require a more practical process to identify problems and opportunities. Process mapping is a useful tool to unearth these.

A process map visually shows the steps of a work activity and the people who are involved in carrying out each step. When mapping a process, you simply draw a box for each step and connect the boxes with arrows to show a flow.

You can use software to create process maps but a whiteboard or Post-it notes on a wall work just as well, particularly in group settings. A basic process map looks like this:



Business process mapping is a discipline in its own right. Different types of maps can be developed and around 30 standard shapes can be used.³ For complex services, it may be worth having a Business Analyst undertake the business processing mapping activity with the review team; however, for most services, an analogue process involving internal participants should suffice.

³ See <<u>https://creately.com/blog/diagrams/process-mapping-guide/</u>> for more detailed information.

Method

- 1. Gather all relevant stakeholders.
- 2. List all the human tasks. What are all the things that humans do as a part of this process? This is often best done with one task per Post-it note.
- 3. List all the system tasks. Examples might include data transfers, bulk notifications, or workflows. Again, one task per Post-it note is most useful.
- 4. Determine who is responsible for each task, whether it's a person or a group.
- 5. Determine the sequence of tasks until you map the service from end to end. What needs to happen first? Can some tasks be done at the same time? Which tasks are dependent on others? When is the process complete? What are the decision points?
- 6. If the process is lengthy, transcribing it in appropriate software may be worthwhile. Alternatively, for simpler processes, a photo can be taken of the final version of the process.

NB:

- Choose a meeting space appropriate to how you're planning to map. If you're using Post-it notes, make sure there are enough walls or tables to put up sequences of notes.
- There should be group consensus at each step.
- There may be more than one way some processes run—record all that apply. Separate maps may be needed.

It is important to record what is *actually* happening, not what should or is supposed to happen.

Summary

However you choose to record your discovery process, keep the artefacts created along the way so that you can return to them as you move through the process as a way of checking in—that is, have you strayed from your original purpose/problem definition, or has your understanding of the problem changed?

By the end of this stage, you should be able to produce a problem statement, which will serve as a guide for the next stages. A problem statement is a short, clear explanation of an issue or challenge that sums up what you want to change. It helps you, your team members, and other stakeholders to focus on the problem, why it's important, and who it impacts.

A problem statement should consider:

- Who are the stakeholders that are affected by the problem?
- What is the current state, desired state, or unmet need?
- *When* is the issue occurring, or what is the timeframe involved?
- *Where* is the problem occurring? For example, is it in a specific department, location, or region?
- *Why* is this important or worth solving? How is the problem impacting your customers, employees, other stakeholders, or the organisation? What is the magnitude of the problem? How large is the gap between the current and desired state?

A good way to test a problem statement for bias is to ask questions like those given in the table overleaf.

Question	Action
Does the problem appear to have only one possible solution?	Look for ways to rephrase it to open up more possibilities.
Does the statement describe a symptom instead of the problem?	Dig deeper for the root cause.
Does the statement suggest the problem is that you don't have enough time, money, or people?	Find a way to pose the problem that will lead to more creative solutions.
Does the problem statement lack an obvious solution?	Great! You're probably ready to start exploring solutions.
Does the statement stimulate brainstorming and discussion?	Good job! Keep the discussion going by asking why.

⁴ Source: <https://www.betterup.com/blog/problemstatement#:~:text=A%20problem%20statement%20is%20a,important%2C%20and%20who%20it%20impacts>

Appendix 2 – Cognitive Traps to Avoid⁵

When developing policy, we need to understand the full complexity of the issues we're dealing with. This means we must be authentic in our approach to learning through discovery, not just look to have our existing ideas confirmed. When undertaking policy research, we must be aware of our biases and how they can affect our research.

Many biases and heuristics routinely play in our psyches, but the main five to consider are described below. Ultimately, the key is to understand the cognitive biases that might be at play; just being aware of these—and taking practical steps to address them—can help us make better decisions.



Confirmation bias

What is it? – Our tendency to focus on information that confirms our assumptions rather than letting the data in front of us speak for itself.

Impact – During research, we might inadvertently ignore important facts and 'pain points' that users are raising because they don't fit with our existing assumptions.

How to avoid – Be very careful not to build preconceptions of what users need before you see the research. Listen to them with an open mind for anything possible. Don't validate—discover!

Anchoring

What is it? – Our tendency to rely too heavily on, or 'anchor' our thinking to, the first thing that we hear and therefore give less importance to what comes next.

Impact – Information we receive before going out and doing user research can anchor us, which might lead to confirmation bias during the research-insights consolidation phase.

How to avoid – Be especially mindful that things you learn before, during, and after user research have equal weight, especially the things mentioned by the users, whom we're here to serve.

Overconfidence effect

What is it? - Our tendency to be too sure that we're right.

Impact – This bias can affect users who are being interviewed. During the Discover stage, the team can be led to believe that one thing a user said is the most important thing and applies to everyone. The team can also be too confident about what they can achieve. Can we really interview 100 people in a week?

⁵ Adapted from <https://www.dta.gov.au/blogs/5-cognitive-traps-avoid-discovery>.

How to avoid – Confirming information with multiple users; not fully relying on one person's answers when they claim that something is their biggest pain point and they are completely sure about it.

Social desirability bias

What is it? – Our tendency to make more 'socially acceptable' decisions when in the presence of someone else, which differ from the decisions we might make when left alone or acting independently.

Impact – Be aware that users being interviewed in your research might not behave the same way that they would if they were elsewhere, not being observed or not in a group situation.

How to avoid – As much as possible, observe users in their real environments, under the real conditions that they will be using a service. This maximises the likelihood that they will behave how they usually do when not being 'researched'.

Blind-spot bias

What is it? – Our tendency to lack awareness of our biases and think, 'These biases affect other people, not me'. If this thought has crossed your mind while reading this, the chances are you've just experienced blind-spot bias.

Impact – Not being aware of our biases might lead us to make poor decisions not based on evidence.

How to avoid – Pay attention to the lived experience of others, be curious about things that are different about others' experience and understand that many biases might be at play.

Appendix 3 – Ideation Guide

By now, you should have a solid understanding of the problem(s) that need to be solved.

Questions to consider during this stage might include:

- What do we know about the journey from current to future state?
 - What trends or changes in the external environment could impact the journey?
 - What might be the major milestones, signposts, or checkpoints?
 - What might be the tactics, actions, or steps to achieve desired outcomes, and who might be responsible?
 - What are all the ways the organisation might need to change to deliver the desired outcomes?
 - o What financial, human, technological, or other resources might be needed?
 - o What are all the ways your strategy might be funded/resourced?
 - $\circ~$ Are there any partnerships that can or need to be leveraged?
 - How might we track progress and measure success?
 - o Are there any constraints or limitations that need to be considered?

• How are others managing this issue?

- o What are other councils in South Australia and interstate doing?
- $\circ~$ Are there any international models to learn from?
- Are there examples from other sectors where this is being managed effectively?

• Are there any known constraints?

- Are there legislative limitations?
- Are there resource constraints?
- Are there technology constraints?
- Are there political constraints?
- Are there physical, geographic, or other practical constraints?

• How might we create new opportunities?

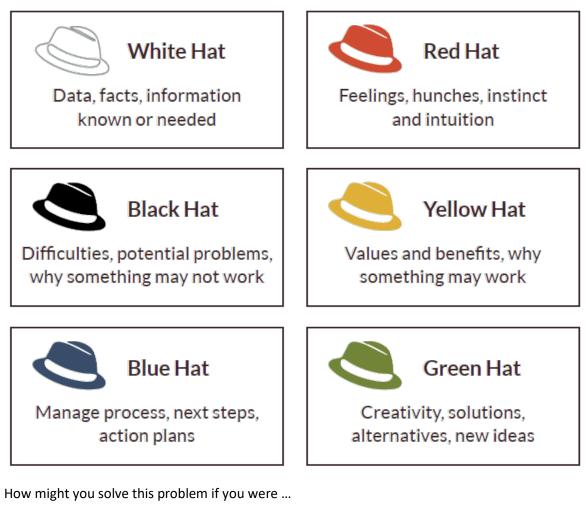
- Are there opportunities to simplify?
- Are there opportunities to address root causes?
- Are there opportunities to improve quality?
- Are there opportunities to digitise?
- $\circ~$ Are there opportunities to be more inclusive?
- Are there opportunities to be more sustainable?
- What are the implementation options for the proposed options?
 - What are the implementation needs in the organisation?
 - What are the implementation needs in the community?
 - How might we implement them through partnerships?
 - How might we implement them creatively or unexpectedly?

This list of questions is not exhaustive nor prescriptive but is designed to stimulate deep and broad thinking.

The purpose of 'ideation' is to come up with as many ideas for solutions as possible. It is important not to be bound by any existing constraints at this point. This is not the time to analyse the ideas or to filter them (that happens later).

The most common way of generating ideas is brainstorming. Allowing a short amount of time for the exercise (around three minutes is ideal), just write down any and every idea that comes to mind as a solution to the problem you're trying to solve. Consider framing your problem as a 'How might we ...?' question to help the team's brains get going. No filters, no ideas are bad, and no ideas are off the table at this stage.

If you're stuck and struggling to generate sufficient ideas or worried that the ideas aren't going to solve the problem(s), take inspiration from de Bono's Six Thinking Hats to move your thinking along.



- a developer at Google
- a designer at Apple
- the head of the UN
- a centenarian
- a child
- an astronaut
- a dancer

- an engineer
- a politician
- an army general
- a travelling circus performer
- a pilot
- an advocate
- an alien?

The point of this exercise is not to worry so much about the character/role but to 'try out' scenarios/ thinking from different and especially unexpected or unlikely perspectives.

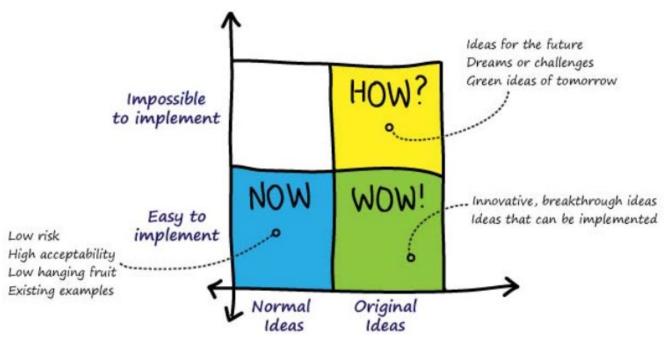
Another simple way of expanding ideas is to build on the ideas of others by saying 'Yes, and ...' or thinking 'What if ...'.

⁶ Source: <https://readingraphics.com/uploads/2015/06/Six-Thinking-Hats_The-6-hats.png>

Appendix 4 – Analysis Guide

There are many ways to analyse ideas.

The first step is always to sort ideas, removing duplications and finding themes, and then working out which ideas are worth pursuing early and which might need more work. Sorting can be done in various ways—for example, via a speed versus cost matrix or something like this:



Once you have a smaller number of ideas, you can analyse them further through a range of different lenses—for example:

• pros versus cons

7

- risks versus rewards
- costs versus benefits
- level of reach or impact
- strategic alignment
- contribution to wellbeing, sustainability, or innovation
- likelihood of community acceptance.

Drawing either matrices (like the one above) or Venn diagrams or relationship maps can be a way to visualise analyses, particularly when comparing numerous ideas and assessing their relative benefits.

The following list of questions might also help you assess which ideas to take further.

⁷ Source: <https://www.sessionlab.com/methods/how-now-wow-matrix>

Who	is this harmful to? would be the makes decisions about this? will be the k	so heard discuss this? e best person to consult? wy people in this? cognition for this?
What	is another perspective? is most/le is another alternative? can we de	st/worst case scenario? east important? o to make a positive change? ; in the way of our action?
Where	are there similar concepts/situations? de is there the most need for this? w	an we get more information? o we go for help with this? ill this idea take us? re the areas for improvement?
When	would this benefit our society? has this would this cause a problem? can we	know we've succeeded? s played a part in our history? expect this to change? we ask for help with this?
Why	is it relevant to me/others? has it be is this the best/worst scenario? have we	people know about this? een this way for so long? allowed this to happen? a need for this today?
How	does this disrupt things? does th do we know the truth about this? do we s	is benefit us/others? is harm us/others? ee this in the future? change this for our good?

Ideas relating to who	Ideas relating to what	Ideas relating to where
Are there different solutions for different users?	If you were counter-arguing, what other solutions might you propose?	If the location of the solution changed, what else might be possible?
Ideas relating to when	Ideas relating to why	Ideas relating to how
If the solution were to be beamed from the future, what might it look like?	If the solution had to create a best-case scenario or mitigate a worst-case scenario, what might it look like?	If the solution was to disrupt the status quo, what might it look like?

Appendix 5 – Evaluation and Prioritisation Guide

Option evaluation

Once you have analysed your options, you can evaluate and prioritise which ones you're going to propose/include in your policy.

As you're progressing through your evaluation and prioritisation, keep in mind:

- How might we evaluate success/failure?
 - $\circ~$ What is the review period for your strategy, plan, policy, or procedure?
 - How will you measure success?
 - Who do you need to report your evaluation(s) to?
- How might we adapt as needed?
 - How will you incorporate changing conditions or learnings?
 - How will you manage any necessary adaptations?
- What cognitive traps have we fallen into? (See Appendix 2 and resources such as <<u>https://thedecisionlab.com/biases</u>>, <<u>https://yourbias.is/</u>>, and <<u>https://yourlogicalfallacyis.com/</u>> to better understand biases and heuristics.)

Evaluation is the process of arriving at a conclusion. Prioritisation is the process of determining what's most important.

Your evaluation and prioritisation method will depend on the complexity of your topic, your policy response(s) and what was identified in your analysis.

A simple way of evaluating and prioritising your options can be found in the Prioritisation Framework, which provides a matrix of impact and urgency.

Another simple evaluation tool is the RACAP method:

Relevancy	Is the solution relevant to the problem(s) identified?
A ppropriateness	Is the solution appropriate for all relevant stakeholders?
C urrency	How long will the solution remain current/viable?
Authority	Do we have authority to implement the solution?
Bias	Have we corrected for any biases in our decision-making?

Implementation evaluation⁹

Depending on the significance and complexity of your policy instruments, the following types of evaluation may be appropriate:



Post-commencement evaluation

A 'check in' on a policy instrument soon after its commencement, focusing on initial implementation, design, and delivery. Reporting to internal stakeholders enables issues to be identified and corrective action taken early in the program lifecycle.



Monitoring evaluation

An assessment of a policy instrument's progress in its 'business as usual' phase, focusing on short and medium-term outcomes and contribution to Council's vision and objectives. It is also an opportunity to test data sources/evidence. Reporting is primarily intended for internal stakeholders but can also include external stakeholders.

⁹ Adapted from <https://www.policyhub.gov.au/resources/evaluation-question-bank-diis>.



Impact evaluation

An assessment of a policy instrument's performance against its objectives, together with its impact. It may also assess value for money, cost-effectiveness and other attributes. In most cases, the evaluation report is intended for external publication.

Questions that may be asked in each type of evaluation include the following: (This list is neither prescriptive nor exhaustive and Policy Owners/SMEs should use evaluation criteria that are applicable to their policy instrument.)

KEY QUESTION: H	low ap	pro	priate was the design of the policy instrument?
	Ques	tion	S
Original rationale for the policy instrument			 What was the nature, magnitude and distribution of the problem or opportunity that the policy instrument was designed to address? What was the concern or opportunity that gave rise to the policy instrument? How many people were potentially affected? Who were they? What costs or obstacles were apparent? What potential benefits were being forgone?
			What particular areas were affected?What services or service improvements were needed?
	U		 What actions were needed to overcome the problem or exploit the opportunity?
	0	•	What was the likely consequence of not addressing the problem or opportunity?
			 Had no action been taken, how likely is it that the problem or opportunity would have continued?
			 To what extent might the problem have worsened or the opportunity dissipated in the absence of any action? How many people might have been affected? What might have been the consequence for those people?
	0	•	Did changes in the nature of the problem or opportunity occur over the policy instrument's lifetime that warranted a change in the policy instrument's design or scale? If so, how was this addressed?
Continuing	M	•	Is there still a need for the policy instrument?
rationale for the policy instrument	•		 Has the nature, magnitude, or distribution of the problem or opportunity changed since the introduction of the policy instrument? If yes, how, and to what extent, and does the policy instrument still address this changed need?
			 How and to what extent would businesses and the economy be affected if the policy instrument were to be reduced or abandoned?
	PC	•	Are the original and current policy objectives still relevant?
	M		• Have changes in the situation or environment overtaken the policy objectives? What, if any, amendments to the objectives would enable a more effective response to the problem or opportunity?

	PC M	 Are the original targets or outcomes still desirable and achievable?
Original		 Was it appropriate for Council to intervene? Why/why not?
rationale for Council intervention		 Were existing or prospective activities likely to be less than fully effective in resolving the problem or maximising the potential benefits?
		 Was a 'market failure' apparent? What gaps or barriers prevented a solution from being reached independently of Council involvement?
Continuing	PC	 Is Council intervention still appropriate?
rationale for Council intervention	M	• Are others still unlikely to deliver effective outcomes?
Alignment with strategic objectives	All	To what extent was the policy instrument consistent with Council's vision and objectives?
Interaction with other policy instruments	PC M	 How well did the policy instrument align or interact with other government or community policy instruments targeting similar objectives, clients, or activities?
		 Did any other government or community policy instruments target similar objectives? If so, to what extent did the objectives of the different policy instruments complement or conflict with each other?
		 Did any other government or community policy instruments engage in similar activities? If so, to what extent did the activities of the different policy instruments complement or conflict with each other?
		 Were conflicting incentives being delivered?
Level of government	All	Was the activity undertaken by the most appropriate level of government?
		 Did the activity lie within the powers and responsibilities of Council? If not (or not solely), what was the reason for Council involvement?
		 Did other levels of government take action instead of, or alongside, Council? Why or why not?
		 To what extent were federal, state, territory, and other local governments involved in policy instrument activities?
Policy instrument	All	 Did the policy instrument have clear and consistent objectives?
design	All	 Did clear, evidence-based links exist between the policy instrument's inputs and activities and its expected outcomes?
	All	 Were mechanisms in place for outcome achievement to be assessed?
		 Were appropriate KPIs identified?
	All	 Was the policy instrument adequately resourced to undertake its planned activities?
	All	 Did the policy instrument design address the need?

			• Did any changes reduce the effectiveness of the original design
			 Did any changes reduce the effectiveness of the original design elements? Could changes to elements of the design have produced a better outcome?
	All	•	What evidence supported the design choice to use this type of policy instrument? What alternatives existed?
	All	•	Were lessons from previous policy instruments or previous rounds considered when designing the policy instrument?
		•	If previous reviews or evaluations of the policy instrument had been conducted, were the findings considered and recommendations actioned?
	All	•	Have any changes or improvements been made to the design of the policy instrument since its inception (because of continuous improvement or other)? How effective were they?
Governance	All	•	How effective were the policy instrument's governance arrangements?
			 Were the roles and responsibilities of all parties involved in the administration of the policy instrument clearly defined?
			 Were lines of accountability clear for all parties involved in the administration of the policy instrument?
			 Are there record-keeping procedures to demonstrate compliance and ensure consistency in decision-making?
			 Are there procedures to identify and manage potential conflicts of interest?
			 Is the governance structure appropriate to achieve the intended objectives?
	All	•	Were there areas for improvement in the policy instrument's governance structure?

KEY QUESTION: \	Nas the	policy instrument administered and delivered efficiently?
Category	Quest	ons
Rollout	PC	 Was the policy instrument rollout completed within the expected timeframes? If not, what obstacles were encountered? What, if any, action was taken to overcome them?
	PC	Was the policy instrument rollout completed on budget? If not, why not?
Administration	All	Did operations and procedures work effectively?
	PC	 Were delivery timetables realistic? Were there delays? If so, what caused the delays? What action was taken?
	All	Were any significant administrative constraints or costs experienced?
	All	 Was the policy instrument clear enough to enable consistent administrative decision-making?
	All	 Were there mechanisms to enable continuous improvement? If so, how effective were they?
	All	 Were there areas in which the policy instrument's operations and procedures could have been more efficient? What changes or improvements were introduced? How effective were they?
Inter-or intra- organisational cooperation	All	If other organisations or teams were involved in the administration of the policy instrument, how effective were the joint working arrangements?
Risk management	All	What were the major risks associated with the policy instrument? How well did the policy instrument design anticipate and mitigate those risks?
	All	 Were there changes made to policy instrument operations or governance arrangements to improve the management of identified risks?
	All	What were the consequences of facing or managing policy instrument risks?
Participation	All	 To what extent did the characteristics of stakeholders match those of the policy instrument's intended stakeholders?
	All	 To what extent did stakeholder needs match the policy instrument's intended focus?
	All	 Were efforts made to increase awareness of the policy instrument among traditionally under-represented or marginalised groups? What was the outcome of those efforts?
Project/Activity management	All	 Did all projects/activities envisaged in the policy instrument commence as planned? If not, what obstacles were encountered? How were they dealt with?
	All	Were all projects/activities completed as planned? Why/why not?
	All	In what ways did projects/activities that were completed differ from those that were not completed? What obstacles were encountered?
	All	 Were the reporting requirements and processes adequate and effective?

Project/Activity reporting	All		Were reports submitted in a timely way?
Project/Activity monitoring	All	•	Was oversight efficient and effective?
	All	•	To what extent were projects/activities able to change course to accommodate unexpected barriers or developments, or to take advantage of unexpected opportunities?
Policy instrument	All	•	Was the policy instrument implemented on budget and on schedule?
monitoring	All	•	Did the financial records provide a transparent, accurate, and reliable view of how policy instrument funds were allocated and used?
	All	•	Was reporting sufficiently informative and timely to ensure that problems or opportunities could be identified and addressed quickly?
Monitoring and evaluation	All	•	Were the KPIs appropriate and related to the policy instrument objectives?
			 Were there data to demonstrate that the policy instrument addressed the problem underpinning its rationale?
			 Were there measures to assess high-level policy instrument attributes (such as cost-effectiveness and value for money)?
			 Were there measures to assess contributions to high-level outcomes?
	PC M	•	Are more or different KPIs required?
	All	•	Did the policy instrument have sound data-collection methodologies?
	All	•	Were any problems encountered with data collection? If so, how were they resolved?

KEY QUESTION: Did the policy instrument work?			
Category	Ques	tions	
Achievements to date	M	 What data are available to determine initial outputs and early outcomes of the policy instrument? 	
	M	 What early outcomes or indications of future outcomes are suggested by the data? 	
	M	Are the desired outcomes occurring as expected?	
		What is the likelihood that they will continue to be achieved?	
	M	 Are there mechanisms for robust later assessment of the policy instrument's outcomes and impact in terms of: 	
		 what was achieved 	
		 how much was achieved 	
		 who was affected 	
		 where the outcomes were concentrated 	
		 how/why the outcomes were achieved (attribution vs contribution) 	
		 unintended consequences? 	

	M -	Is there a mechanism for identifying and analysing lessons learned from the policy instrument?
Obstacles and success factors	PC ·	Have any issues or developments emerged that might limit the achievement of intended outcomes? If so, what actions are being taken to address them?
	M .	Have any issues or developments emerged that might reinforce the achievement of intended outcomes? If so, what actions are being taken to exploit them?
	All	Have external factors affected the policy instrument's operations or outcomes in any way? If so, is mitigating action required?
	M •	What obstacles, if any, have been encountered by policy instrument managers or policy instrument participants?
	M .	What characteristics distinguish the most successful projects and participants from those that are less successful?
What was achieved	0.	Did the policy instrument achieve its intended outcomes?
How much was achieved	0.	What was the magnitude of the changes that occurred?
	0.	Did the outcomes meet the targets, if any, established for the policy instrument?
	0.	How do the outcomes compare with those of related or alternative policy instruments?
	0.	Was the policy instrument's reach sufficient to realise the required scale of change?
	•	How durable or sustainable are the outcomes?
		 To what extent do participants have sufficient ownership, capacity, and resources to maintain outcomes after the funding has ceased?
Who was affected	0.	What were the characteristics of the policy instrument's participants and beneficiaries (size, sector, etc.)?
	0.	Did the actual participants/beneficiaries differ from the intended participants/beneficiaries?
	0.	Were any groups negatively affected by the policy instrument? If so, how?
Where the outcomes were	0.	To what extent did the outcomes differ by demographics or geography?
concentrated	0.	Did particular people or areas participate in, or benefit from, the policy instrument more than others?
	0.	Did the actual distribution of the outcomes differ from the intended?
How/why the outcomes were achieved	0.	What were the main factors contributing to the outcomes?
	0.	What obstacles, if any, were encountered? What was done to reduce their effect?
	0.	What external factors, if any, affected the policy instrument's operations or outcomes?
	0.	Were the assumptions underpinning the policy instrument correct?

Unintended consequences		Did the policy instrument have any unintended consequences, positive or negative? If so, what were those consequences? How and why did they occur?
	All	What action, if any, was taken to reinforce positive unintended consequences and reduce negative ones?
Counterfactual		Were methods considered or developed to determine what the situation would have been had the policy instrument not been conducted?
	0.	What would have been the situation had the policy instrument not been conducted?
Return on investment	0.	To what extent can the return on investment be quantified for the policy instrument?
Cost- effectiveness	0.	Were methods considered or developed to enable future assessments of the cost-effectiveness of the expected activities, outputs, outcomes, impacts, and benefits?
	0.	Was the policy instrument cost-effective? How did its outcomes compare with similar policy instruments elsewhere or with alternative ways of achieving the same outcomes?
	0.	To what extent did the benefits of the policy instrument outweigh the costs?
Evaluation- readiness	M •	How ready is the policy instrument for evaluation of its outcomes and impacts?

KEY QUESTION: What lessons does this policy instrument offer for future design?				
Category	Quest	ion		
Lessons learned		 What lessons, if any, can be drawn from the policy instrument to improve the efficiency or effectiveness of future policy instruments? (What went well? What didn't go well? What can be improved? How can we improve it?) 		

Appendix 6 - Setting a Review Date

The need to commence a new or amend an existing strategy, plan, policy, or procedure may be triggered by a range of events—for example:



The review of a policy or the development of a new policy may be commenced by teams, Strategy and Governance, or at the request of Council, the SLT, the LT or General Managers.

At a minimum, reviews must be undertaken as indicated in the following table, noting that if legislation requires a particular review frequency, that will override the guidelines provided here. Reviews may also be brought forward if needed to respond to changing conditions or in response to events.

Document	Frequency	Notes
Strategic Plan	Within 2 years of each general election	Legislative requirement, LG Act, s8(4)(b)
Strategy	Every 3–10 years	
Long Term Financial Plan	Annually	Legislative requirement, LG Act, s8(4)(a)(i)
Asset Management Plans	Within 2 years of each general election	Legislative requirement, LG Act, s8(4)(b)
Plans	Every 3–5 years	
Annual Business Plan	Annually	Legislative requirement, LG Act, s123
Policy	Every 3 years	If a policy relates to high-risk activities or relates to a fast-changing topic, earlier review intervals may be set.
Procedure	Every 3 years	Earlier review intervals may be set as required.

Policy register

The Policy Coordinator will enter a document's review date in RelianSys and reminders will be sent:

- the October before the start of the final year of the strategy/plan
- six months in advance for each policy/procedure review.

Reminders will not be sent for the strategic plan, long-term financial plan, asset management plans, or annual business plan.

Every six months, a report will be provided by the Policy Coordinator to the SLT on the status of review dates. The Policy Owner/SME will be responsible for ensuring the review schedule is met.

Appendix 7 – Document Checklist

΄ , Χ	Question	Notes	
or N/A			
	Are you clear, and do you have agreement, on the problem you're trying to solve/what you're trying to achieve?	How you frame the problem/task/mission will greatly influence the tool(s) you select for the job to be done.	
	Have you contacted Strategy and Governance to let them know of your needs and plans?	Strategy and Governance will help you meet the requirements of this framework and manual.	
	Have you applied wellbeing, sustainability, and innovation lenses to your problem definition and proposed solutions?	This will ensure thorough evaluation and alignment with the strategic plan.	
	Have you applied a First Nations perspective?		
	Have you considered inclusion AND accessibility?		
	Have you considered people from culturally and linguistically different backgrounds?	Consider a wide range of diversity and inclusion	
	Have you considered people of varying gender and sexual orientations?	matters.	
	Have you thought about who is normally missing from this discussion due to their age, socio-economic conditions, power, or other constraints?		
	Have you considered including the people affected by your document in its development?	Consider whether you can use a human-centred approach to confirming the problem and identifying solutions.	
	Have you selected the right policy instrument?	If you're not setting a direction or regulating a behaviour, you may not need a tool within this framework and manual.	
	Does your document set a new direction that will take a long time to achieve?	You may need a strategy.	
	Does your document work within existing directions over a shorter timeframe (e.g. less than 10 years)?	You may need a plan.	
	Does the document align with existing strategies or plans?	You may need another strategy or plan.	
	Does it set out things for others (external people or organisations) to do, or is it for Council staff only?	It may need to be an administrative plan.	
	the document relate to a matter that only neiling has delegated decision-making powers?		
Does the document relate to Elected Members specifically or the Council as an elected body? Does the document relate to a service or resource of Council provided to the Community?		If you have answered YES to one or more of these questions, then the document should be developed	
		and approved as a Council Policy. This should be taken into consideration when assessing, consulting and creating the content.	

Benchmark against documents adopted by other councils.	Use your networks and the internet. Being specific in what you are looking for will save time. Selection of councils is generally based on size. However, depending on the topic, a larger or smaller council could be useful, or any councils known to be leading in this area.
Undertake a review of any lower-level City of Holdfast Bay documentation at the same time.	Such as associated procedures, forms, or templates.
Identify links to other City of Holdfast Bay documentation.	For example, another policy, procedure, or strategy, Council's Code of Conduct, its strategic plan <i>Our</i> <i>Holdfast 2050+,</i> or the Council Budget.
Consider compatibility with other requirements where relevant, e.g. <i>Local Government Act 1999</i> (SA), <i>Aged Care Act 1997</i> (Cwlth).	Council must consider the implications of the strategy on all relevant legislation and obligations it adheres to.
Are any future changes anticipated that will impact the policy?	For example, legislation under consideration or a report about to be published.
Identify what has changed since the last review.	Internal and external to Council.
For a review, identify if the document is still relevant and in use.	Are there any examples to support this?
Is the policy consistent with the Council Plan and not in conflict with any other policies or strategic documents?	Council requirement and good practice.
Identify the purpose, scope, and objective.	If there is any doubt, a brief should be prepared and endorsement sought from the responsible manager or the SLT before work commences.
Identify who will be affected by the policy and any other stakeholders.	Or who is affected by the problem? Could be internal and or external to Council. Includes internal committees (e.g. risk, Occupational Health & Safety, consultative committee).
Determine who else within the organisation should be involved.	Consider who the policy will impact. For a complex issue, a working group may be appropriate.
Identify any relevant legislation, regulations, guidelines or codes.	When doing a review—is there anything new?
Does the document relate to the management or principles of financial transactions of Council?	
Does the document relate to a specified statutory requirement of Council?	
Does the document need to be publicly available to and accessible by the community?	

Research or review for any guidance on best practice.	Use your networks, the internet, and publications by the Local Government Association or other relevant authorities. Reports by the Auditor- General's Department or the Ombudsman are a good source of guidance.	
Are there any delegations applicable?	Check against instruments of delegation to identify any statutory powers, duties, or functions that apply.	
Identify legal, financial, environmental, social, and political implications.	Ensure that policy development or review considers these implications.	
Consider risk analysis implications.	Refer to Council's risk management process.	
Identify potential policy options.	This could include doing nothing, saying no to an issue, educating rather than regulating, and developing a 'for and against' case for a range of options.	
Identify any discretion that may be required in implementing the policy.	Include the basis for that discretion with the policy.	
Prepare a draft document using the appropriate template. For a review of an existing policy or procedure, track the changes proposed to the existing document.	Use the Policy Template and guidance included ir the Strategy Policy and Procedure Framework.	
Take an overall look at the document and identify any improvements or potential changes required.	Use possible scenarios to test the policy to ensure no unintended consequences.	
Check that the document does not stray into irrelevant considerations.	Irrelevant considerations must not be taken into account in making administrative decisions.	
Identify how the document will best be communicated once approved.	How, when, and to whom?	
Identify the appropriate timeframe for the document to be reviewed.	Refer to the criteria in the Strategic Document, Policy and Procedure framework. The maximum is four years.	
Obtain endorsement of the draft document.	From responsible authority (see Governance).	
Circulate to all stakeholders for feedback and amend or develop further as necessary, including presentation of the draft to the Management and Leadership Team meeting and endorsement by internal committees.	By this step, there should be no surprises in the feedback received, provided consultation occurred during the development of the document.	
Prepare report/s on new or reviewed documents for the relevant authority.	Refer to Governance for relevant authorities.	
Update Council records.	Once a policy is adopted or approved, provide the electronic version to the Policy Coordinator to add the Council resolution number, PDF the document update the policy register, and post the policy on the intranet or public-facing website.	
Implement.	Ensure implementation per the completed implementation guide.	

Communicate.	Confirm approval or adoption to all stakeholders involved in the process. Disseminate communication. Conduct training or information sessions if necessary.
Review.	Continue to schedule reviews according to the timeframe set—or earlier if changes are identified.

Appendix 8 – Implementation Guide

There is no single way to implement a strategy, plan, policy, or procedure; however, the following outline may assist you in developing an implementation plan appropriate to your policy instrument.

Implementation Task	Action Steps	Responsibility	Timeline
Communication:			
 awareness 			
 instruction(s) 			
Training/education			
Administrative changes			
System/ICT changes			
Associated policy or procedure updates			
Cost/resourcing plan			
Issues likely to arise during implementation			
Monitoring and measuring effectiveness			
Compliance			

Appendix 9 – Lesson-Learned Log

Collecting lessons that are learned while implementing a policy is extremely useful and can fast-track the evaluation/review stage, as well as improve the quality with each iteration.

There is no specific process or mechanism that must be used. Lessons learned can be captured collectively or individually, but sharing is encouraged.

A simple template could contain the following information and could be set up at the beginning of a process to ensure lessons learned are captured from the start.

ID	Lesson	Туре	Priority	Date	Logged by
1	Describe what was learned—it could be a failure, a problem encountered, an opportunity previously not perceived, a risk that grew or didn't eventuate, an unexpected exception/circumstance that hadn't been envisaged, etc.	Organisation	Very High		Name
T	that haan t been envisaged, etc.	Team	High		Name
			0		
		Process	Medium		
		User Need	Low		
		Myself	Very Low		

Item No: 8.2

Subject: PROJECT MANAGEMENT POLICY, AND FRAMEWORK AND MANUAL

Summary

The City of Holdfast Bay delivers millions of dollars of works and services on behalf of ratepayers every year. To prove that we meet community expectations, and adhere to approved budgets, schedules and quality standards, it is important that we properly prioritise, plan, execute and report what we do. Managing projects consistently and transparently is one aspect of this.

To ensure that Council fulfills its legislative obligations effectively and is able to effectively scope, schedule and deliver projects, a Project Management Council Policy and associated Project Management Framework and Manual have been developed, and are provided to the Audit and Risk Committee for consideration and endorsement, ahead of being presented to Council.

Recommendation

That the Audit and Risk Committee:

- 1. recommends the Project Management Council Policy (Attachment 1) to Council for adoption; and
- 2. recommends the Project Management Framework and Manual (Attachment 2) for Council to note and Administration to adopt.

Background

Pursuant to the *Local Government Act 1999* and other legislation, councils have a range of functions that results in 'projects'. A project is a group of interrelated activities that are planned and then executed to create a product or service, to agreed cost and quality criteria, within a specific timeframe, in order to achieve agreed results. Typical projects include building infrastructure, or deploying new technologies, but almost everything can be managed as a project.

Project management is a discipline that involves planning, executing, monitoring, controlling, and closing projects to achieve specific goals or objectives within defined constraints, such as time, budget, scope, and quality. It is a structured way of delivering agreed results, focusing on articulating and then delivering outputs that are to be delivered by a certain time, to a defined quality and with a given level of resources so that planned outcomes are achieved.

Report

The City of Holdfast Bay delivers millions of dollars of works and services on behalf of ratepayers every year. To prove that we meet community expectations, and adhere to approved budgets, schedules and quality standards, it is important that we properly prioritise, plan, execute and report what we do. Managing projects consistently and transparently is one aspect of this. To guide project management, a Project Management Council Policy has been developed and is provided as Attachment 1.

Refer Attachment 1

The Project Management Council Policy articulates key responsibilities and crucial decision points to ensure that investment decisions are being made prudently and the systems and processes to support their implementation are in place. This includes the establishment of a Project Management Board to oversee the delivery of key projects. The Project Board is established to provide a forum for review and oversight of projects being currently delivered and still in the pipeline. The Project Board is made up of three General Managers and four senior staff, selected for their skills (not their positions).

To support this policy, an associated Project Management Framework and Manual has been developed, which is provided as Attachment 2.

Refer Attachment 2

The Project Management Framework and Manual articulates the processes, tasks and tools needed to take a project at the City of Holdfast Bay from beginning to end. The document and the processes and tools within it are intentionally 'light-touch' and do not limit staff to a particular methodology. Rather, the intention is to ensure that a minimum level of scoping and planning is undertaken, and a minimum standard of information is available for decision-making.

The Project Management Framework and Manual has been tested with Project Managers, who confirmed that the bulk of the requirements are already being met. This document simply formalises and provides structure and rigour, as well as clarifying some accountabilities.

It is intended that the Project Management Framework and Manual will be a living document, which is updated as lessons are learned and improvements are identified. Furthermore, the organisation is currently working on the implementation of a technology solution for project lifecycle management, which is expected to digitise a significant proportion of project management processes and render many (if not all) of the templates redundant. Nevertheless, until the technology solution is deployed, the templates can be used, as well as inform the configuration of the technology solution.

Budget

There are no budget requirements associated with this proposal.

Life Cycle Costs

There are no life cycle costs associated with this proposal.

Strategic Plan

High quality policy development ensures alignment with strategic directions can optimise the delivery of strategic objectives and aspirations.

Council Policy

Project Management Council Policy (proposed)

Statutory Provisions

Local Government Act 1999

Written By:	Manager, Strategy and Governance
General Manager:	Strategy and Corporate, Ms S Wachtel

Attachment 1





Project Management

Council Policy

1. Purpose

The purpose of this policy is to ensure projects are delivered effectively, in order to provide the best possible outcomes for our community.

2. Scope

This policy applies to the whole of Council, excluding Alwyndor.

3. Roles and Responsibilities

Council	Adoption of the Project Management Council Policy, making decisions			
	about project variations over 5%.			
Senior Leadership Team (SLT)	Adopting the Project Management Framework and Manual.			
Chief Executive Officer	Making decisions about project variations over 5%.			
Project Sponsor	A nominated Executive with overall accountability for the delivery projects within approved scope, timeframes and budget, provid direction for projects, approves project documentation, appoints to project manager, signs off on project deliverables, makes decisions about project variations under 5%.			
Project Manager	Deliver the project with guidance from the Project Sponsor and Project Board within the agreed timeframe, to the required quality, and with an established budget.			
Project Board	Review and oversight of projects, ensuring that processes are followed governance requirements are being met, projects are being delivered to agreed parameters and appropriate connections are being made between activities across the organisation.			
Employees	Participation in projects as required.			
Strategy and Governance Team	 Responsible for: maintaining the Project Management Framework and Manual supporting Project Managers to comply with the Project Management Framework and Manual Executive Officer support to the Project Board. 			





4. Policy Statement

- 4.1 The City of Holdfast Bay delivers millions of dollars of works and services on behalf of ratepayers every year. To meet community expectations, and stick to approved budgets, schedules and quality standards, it is critical that activities are objectively prioritised, properly planned, effectively executed and transparently reported on.
- 4.2 A Project Management Framework and Manual will be developed and maintained on Council's behalf by Administration to guide project management. This document may be updated from time to time as best practice changes, or as lessons from implementation need to be applied. Updates must be approved by the Senior Leadership Team.
- 4.3 Without dictating a specific project delivery methodology, the Project Management Framework must ensure that all activities commence with a confirmation of need and that investment decisions are staged, to enable proper scoping and objective prioritisation.
- 4.4 The Project Management Framework will define which activities are within its scope, which in turn, defines the application of this policy.
- 4.5 A skills-based Project Board will be set up by the Chief Executive Officer to ensure effective project management across the organisation, which will be guided by the Project Management Framework and Manual.

Decision	Project Size	Approving Authority	Timing	
Identification – confirmation of	Small – Medium	Project Board		
need	Large	Council		
Approval of budget for	Small – Medium	Chief Executive Officer		
investigations	Large	Council		
Authorisation to undertake a Prudential Report	Large	Project Sponsor	Any time	
Based on the preliminary	Small	Project Sponsor		
assessment, what is the priority?	Medium – Large	Project Board		
	Small	Chief Executive Officer or		
Approval of budget for concept		Project Sponsor / GM		
design	Medium – Large	Council	As part of annual business	
			planning process	

4.6 Key decisions and authorities are:





Decision	Project Size	Approving Authority	Timing
Prioritisation based on the full	Medium – Large		
business case	(not required for small)	Project Board	Anytime
	Operational within approved budget	Chief Executive	Anytime
Approval of project budget	All capital and operational unfunded	Council	As part of annual business planning process
Approval of project plan	All	Project Sponsor	
Approval of detailed designs	All capital new	Council	
Variations in scope, time or budget	Up to 5%	Project Sponsor	
	Over 5%	Chief Executive Officer / Council	
Project review and lessons	Medium -Large	Project Board	Anytime
learned	Exceptions / significant issues	Council	
Launch / opening	All	Council	
Benefits review	Medium-Large	Project Board]

5. Definitions

Key term or acronym	Definition
Administration	Staff, processes and systems that make up the organisation which delivers services to the community under the guidance of Council.
Council	The elected body.
Project	A project is a group of interrelated activities that are planned and then executed to create a product or service, to agreed cost and quality criteria, within a specific timeframe, to achieve agreed results. The Project Management Framework and Manual will identify which projects it applies to.





6. Administration Use Only

Reference Number:	
Strategic Alignment:	This policy supports the delivery of the Strategic Plan by
	ensuring projects are appropriately assessed and scoped to
	ensure strategic alignment, and delivered efficiently and
	effectively.
Strategic Risk:	This policy mitigates strategic risks by ensuring projects are
	delivered to agreed time, quality and budget parameters.
Responsible Officer(s):	Manager Strategy and Governance
First Issued / Approved:	
Minutes Date and Council Resolution	
Number:	
Last Reviewed:	
Next Review Date:	
Applicable Legislation:	Local Government Act 1999
Related Policies:	
Other Reference Documents:	Project Management Framework and Manual

Attachment 2



Project Management Framework October 2023



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CEO Message

As a Council, we want to be known for delivering great things.

In its Strategic Plan – Our Holdfast 2050+, Council describes its Vision for the city:

Protecting our heritage and beautiful coast, while creating a welcoming and healthy place for all in South Australia's most sustainable city.

This vision drives all of the activities of the Council and is supported by three focus areas:

- Wellbeing Good health and economic success in an environment and a community that supports wellbeing.
- Sustainability A city, economy and community that is resilient and sustainable.
- Innovation A thriving economy and community that values life-long education, research, creativity and entrepreneurialism.

To deliver on this vision and be true to the intent of the focus areas, we need to ensure our projects are delivered effectively to time, budget and quality parameters.

With the large variety of projects we deliver each year, consistent and effective project management will be the cornerstone of success.

This framework isn't a one-size-fits-all solution, but rather, a practical toolkit. It's your go-to resource for every step of the project lifecycle, from pre-project identification, through execution to closure. Drawing on industry best practices and real-world experiences, it equips you with the methods and techniques needed to steer projects to success.

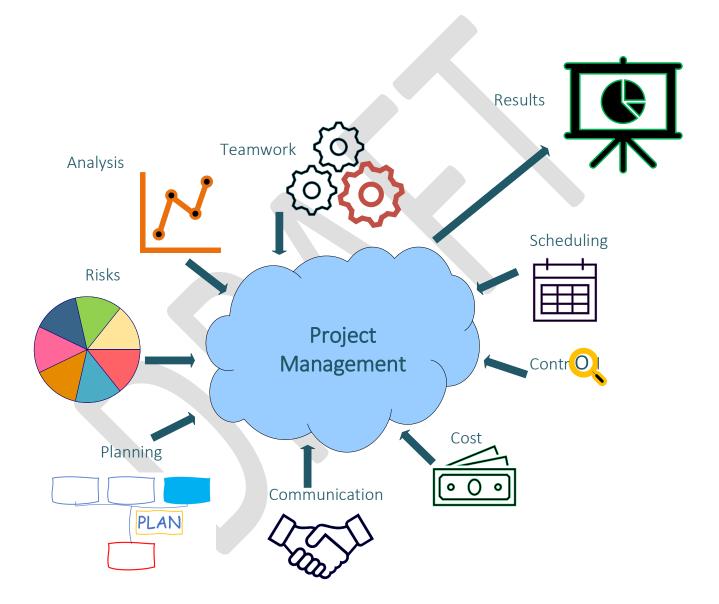
Every project comes with its own distinct challenges and the strength of this framework and manual lies in its adaptability. While we want to ensure rigour in our project management, we also don't want to create administrative burdens. Our approach is therefore to scale documentation to be appropriate to the size and complexity of the project.

I invite you to use this framework and manual actively and provide ongoing feedback to the Strategy and Governance team to ensure it can be optimised for our organisation, and it can grow as our capability does.

1. Purpose

The City of Holdfast Bay delivers millions of dollars of works and services on behalf of ratepayers every year. To prove that we meet community expectations, and stick to approved budgets, schedules and quality standards, it is important that we properly prioritise, plan, execute and report what we do. Managing projects consistently and transparently is one aspect of this.

This framework and manual articulates the processes, tasks and tools needed to take a project at the City of Holdfast Bay from beginning to end.



2. Background

Project management is a discipline that involves planning, executing, monitoring, controlling, and closing projects to achieve specific goals or objectives within defined constraints, such as time, budget, scope, and quality. It is a structured way of delivering agreed results, focussing on articulating and then delivering outputs that are to be delivered by a certain time, to a defined quality and with a given level of resources so that planned outcomes are achieved.

Project management provides:

- clarity of purpose and expectations
- clarity of commitments (budget, resources)
- assurance that we're taking an inclusive approach to decision-making
- accountability.

However, before project management begins, decisions are made about where to invest. As a public entity responsible for furthering the best interests of its community, Council must consider returns on its investments (social, environmental and financial) and make inevitable trade-offs.

Effectively analysing the cost of projects, planning them carefully and executing them effectively is a crucial skill-set for the organisation. It is also essential for the organisation to achieve strategic objectives, deliver value to the community, and comply with legislative obligations. It requires a combination of technical skills, leadership, communication, and adaptability to successfully navigate the challenges of different projects.

There are a number of project management approaches, including:

- Waterfall, where sequential phases are planned, with each phase dependent on the completion of the previous one
- Agile, which is an iterative and flexible approach, where requirements and solutions evolve through collaboration
- Hybrid, which combines elements of both waterfall and agile approaches to suit specific project needs.

This framework and manual does not intend to limit project managers to a specific project management approach. Rather, it sets a minimum standard of information that should be developed in order to pass through each governance gateway.

3. What is a Project?

A project is a group of interrelated activities that are planned and then executed to create a product or service, to agreed cost and quality criteria, within a specific timeframe, to achieve agreed results.

Not every activity is a project and projects can vary in size and complexity. For example, they may:

- result in something being built
- involve changes to existing systems, policies, and/or procedures
- create organisational change
- involve a single person or many people
- require the engagement and management of external resources
- range in cost, and/or
- range in time span.

The City of Holdfast Bay (COHB) does not consider ongoing business-as-usual activities as projects. Notwithstanding this, a General Manager/Project Sponsor may deem an activity to be a 'project' for the purposes of this Framework.

A group of related projects managed in a coordinated manner to obtain benefits and control not available from managing them individually is called a Program. Programs may include elements of related work outside of the scope of the individual projects within the program. A General Manager may determine that a program should be managed through the governance process outlined in this Framework and Manual.

4. Are All Projects Required to Follow This Framework?

Not all projects are required to follow this framework and manual, although it should be noted that it is based on good practice and therefore provides a useful structure to follow regardless of whether the gateways are deemed necessary.

Projects that **must** follow this framework are:

- initiatives that require dedicated funding as part of the annual business plan (new initiatives)
- capital new projects over \$20,000
- medium and large projects (to work out your project size, refer to Appendix 1)
- small projects with major dependences, high risks or significant inter-related projects, or
- other projects, programs or activities that do not meet the above criteria but are identified by Council, the Chief Executive Officer or a General Manager/Project Sponsor as being of strategic importance.

Projects that do not fall into these categories may choose to use the templates to apply minimum levels of project discipline, but are not obligated to follow the governance pathways in this document.

Exemptions to this framework and manual (unless otherwise indicated by the General Manager/Project Sponsor or Chief Executive Officer) are:

- capital renewal projects
- small projects
- programs
- other projects specifically exempt.

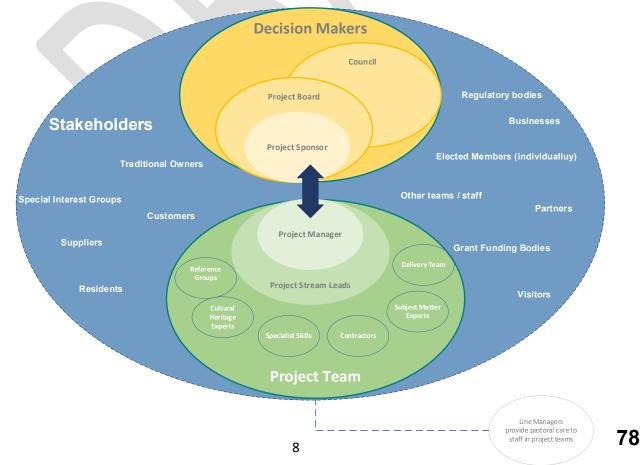
5. Governance

Projects will only succeed with effective governance. Governance refers to the processes and decisions that define expectations, grant authority and verify performance. Effective project governance ensures clear directions and alignment, effective decision-making and appropriate oversight so that projects deliver the value expected of them. Project management structures and processes are set up to enable good governance.



Project Governance Structure

Project governance should be scaled to the complexity of a project, however, in general, projects subject to this framework and manual work within the following structure.



Approval Authorities

Decision	Project Size	Approving Authority	Timing
Identification –	Small – Medium	Project Board	
confirmation of need	Large	Council	
Approval of budget for	Small – Medium	Chief Executive Officer	
investigations	Large	Council	
Authorisation to undertake a Prudential Report	Large	Project Sponsor	- Any time
Based on the preliminary	Small	Project Sponsor	Any time
assessment, what is the priority?	Medium – Large	Project Board	
Approval of budget for	Small	Chief Executive Officer or Project Sponsor / General Manager	
concept design	Medium – Large	Council	As part of annual business planning process
Prioritisation based on the full business case	Medium – Large (not required for small)	Project Board	Anytime
	Operational within approved budget	Chief Executive	Anytime
Approval of project budget	All capital and operational unfunded	Council	As part of annual business planning process
Approval of project plan	All	Project Sponsor	
Approval of detailed designs	All capital new	Council	
Variations in soona time an	Up to 5%	Project Sponsor	1
Variations in scope, time or budget	Over 5%	Chief Executive Officer / Council	Anytime
Project review and lessons	Medium -Large	Project Board	
learned	Exceptions / significant issues	Council	
Launch / opening	All	Council	
Benefits review	Medium-Large	Project Board	

Roles and Responsibilities

Project Board

A Project Board has been established to oversee the delivery of key projects.

The Project Board provides a forum for review and oversight of projects, ensuring that processes are followed, governance requirements are being met, projects are being delivered to agreed parameters and appropriate connections are being made between activities across the organisation.

The Project Board is made up of three General Managers and four senior staff, selected for their skills (not their positions).

The governance role of the Project Board is to monitor all projects to ensure the successful delivery of expected outputs and outcomes within scope, time and budget.

The Project Board is also responsible for:

- confirming the need for small-medium projects
- prioritising projects for referral to Council (refer Prioritisation Framework)
- forecasting any potential conflicts between projects
- oversee project delivery to ensure projects are delivered and outcomes are realised
- ensuring projects pass through each project gateway.

Project Board members are required to:

- attend Project Board meetings
- review regular status reports, ensuring compliance with project management processes
- evaluate small-medium proposals to confirm their need
- review business cases and participate in the prioritisation of proposals in accordance with the Prioritisation Framework and Manual
- ensure the project meets the organisation's statutory obligations and protects its interests
- ensure the project delivers the required benefits, and
- consider how to embed project lessons throughout the organisation.

Project Sponsor

Every project will have a Project Sponsor who is a member of the Senior Leadership Team. The Project Sponsor is ultimately responsible for the outcomes of their projects.

The Project Sponsor is also the project champion. They are responsible for defining the vision of the project and generating enthusiasm in participating stakeholders. The Sponsor must have a strong commitment to the project and must have the power to commit resources to the project.

Additional responsibilities of the Sponsor include:

- approving the project plan
- facilitating resolution of issues at a senior level
- ensuring adequate funding is allocated to meet project outcomes
- accountability for delivery of the project within approved scope, timeframe, and budget
- accountability for the benefits that the project delivers.

To achieve this, the Project Sponsor:

- provides direction and oversight
- ensures the project meets the organisation's statutory obligations and protects its interests
- appoints (or supports the appointment of) the Project Manager, and other key roles
- signs off on project deliverables
- ensures that resources are available to the project
- approves the Project Planning documents
- approves project scope, budget, objective, and planned changes according to delegated authority
- ensures that all risks are effectively identified and managed
- monitors progress against objectives
- ensures the proper financial and procurement policies and procedures are observed
- ensures the project delivers the required benefits/outcomes, and
- ensures the project is appropriately closed off and evaluated.

Project Manager

Every project will have a designated Project Manager, who will be formally identified as such at Phase 1.

The role of the Project Manager is to deliver the project with guidance from the Project Sponsor and Project Board within the agreed timeframe, to the required quality, and with an established budget.

The Project Manager directs day-to-day activities for the project team and is responsible for managing and operating within the processes, procedures, deliverables, and activities described in the project plan and this Framework. The Project Manager must have the authority to manage and bring together all resources and activities necessary to ensure the successful completion of any project.

The Project Manager can change throughout the life of the project. If this is the case, the changeover should be clearly identified and communicated accordingly.

The Project Manager must have the appropriate skills to deliver a quality project within time and budget expectations. When appointing the PM, the Sponsor should consider things such as:

- the type of project according to its technical nature or business domain
- risks associated with the project
- the politically sensitive nature of the project, and
- any other work commitments the project manager may have.

Any training requirements that the Project Manager might need prior to undertaking the task should be discussed by the Project Sponsor and the Project Manager at the outset of the project.

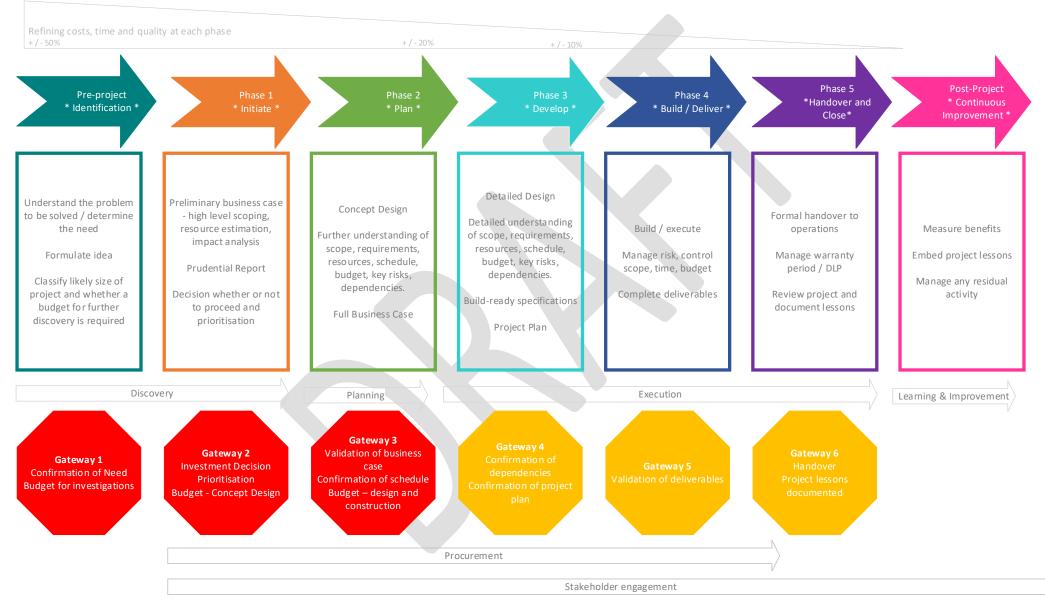
The Project Manager's responsibilities include:

- developing and maintaining the Project Plan and other key project documentation
- leading the Project Team
- day-to-day management of the project against the approved Project Plan, budget, and scope to deliver the specified objectives and benefits
- providing project communications to stakeholders
- maintaining all monitoring and control processes during the project execution
- managing change controls, including contract variations
- liaising with the Design Authority (if required)
- regularly reporting (monthly) to the Project Board via the Project Sponsor, ensuring progress against milestones, decisions and issues are effectively reported.

Staff Members

To be effective and efficient in carrying out their duties, any staff member may propose a project and participate in the pre-project phase to help identify issues that need to be addressed or improvements. The pre-project phase does not require a formal project manager to be identified.





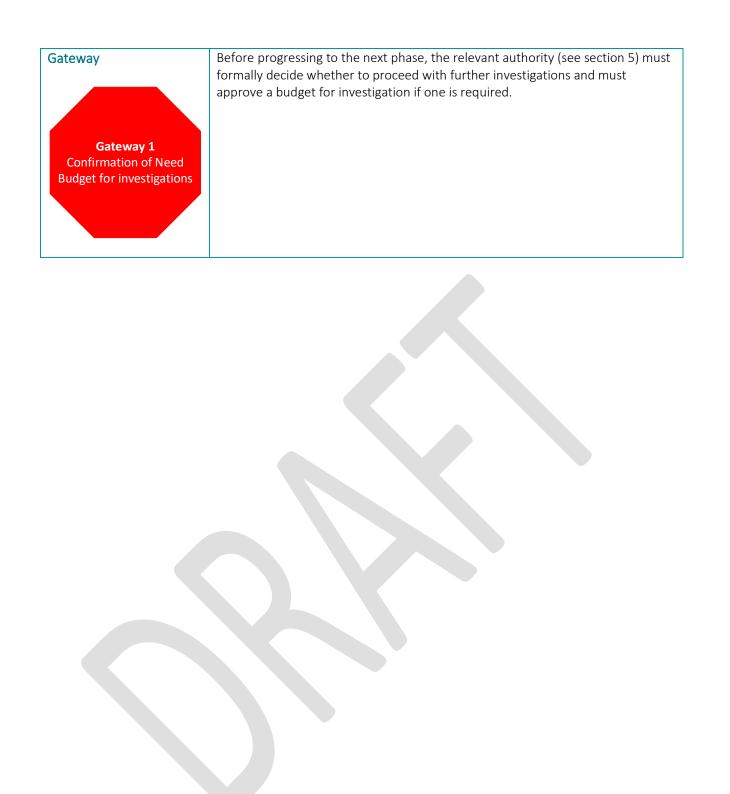


Projects can be arise from a number of triggers, for example:

- new initiatives proposed as part of the Annual Business Planning process
- motions by Elected Members
- operational requirements arising outside the annual budgeting process
- as a response to safety or other unexpected issues arising
- triggered by grant funding announcements that align with Council priorities
- asset renewal requirements, or
- ongoing program requirements.

Regardless of their origins, all projects start with the pre-project identification stage.

Aim	 The purpose of this stage is to: understand the problem(s) to be solved determine the need for action formulate ideas, and undertake a preliminary assessment of what may be required (project sizing and request for discovery investment).
Key activities in this stage	 Project is identified as subject to this framework and manual (refer section 4) Discovery is undertaken The need for action is confirmed A project sponsor is formally identified by the Project Board A budget for investigations is approved (if necessary)
Who is involved	 Staff members Project Sponsor Project Board
Outputs produced during this stage	 Project Identification document Budget allocation for investigations (if required)
Things to think about	 It is important to recognise that at conception, there may be limited information available and resource estimates are typically very preliminary. This stage should therefore concentrate on achieving agreement on the problem to be solved, rather than on potential solutions. What are the problem(s) to be solved? Who are they problems for? Is action required? What are all the ways we could frame the problem(s)? What size is the problem(s) and possible responses? How urgent is the problem(s)? What are the implications of not acting?
Templates	Project Identification Template - Appendix 2.
N-	





Phase 1 enables decisions to be made about whether to proceed with solving the problem(s) identified at the pre-project phase.

Aim	 The purpose of this stage is to: define the high level scope of the project estimate resources that are likely to be required assess the likely impact or value of proposed solution(s) undertake a Prudential Report (if required – refer to Council's Prudential Policy) develop a preliminary business case to enable decisions about further investment, and prioritise the project, thereby creating a project pipeline for the organisation.
Key activities in this stage	 Project Manager is formally identified by the relevant Project Sponsor Discovery is completed, with the high level project scope agreed Resource estimation Impact analysis Prudential reporting (if required) Prioritisation Investment approval - a budget for Concept Design is approved (if necessary)
Who is involved	 Project Manger Project Sponsor Project Board
Outputs produced during this stage	 Preliminary business case Prudential Report (if required – refer <i>Local Government Act 1999</i> or Strategy and Governance if unsure) Procurement Plan (if required – refer Procurement Officer if unsure) Communications and/or Engagement Plan (if required) Prioritisation Assessment Budget allocation for concept design if required
Things to think about	 Procurement activities may be required as part of this phase. Refer to Council's Procurement Policy and seek advice from the Procurement Officer if required. If stakeholder communications or engagement activities are required as part of this phase, a Communications Plan and/or an Engagement Plan should be produced and discussed with the Communications and Engagement Team. What are all the solutions possible? What are all the ways the solutions might be delivered? Who needs to be involved in assessing the efficacy and desirability of the potential solutions? What is in scope / out of scope? What are the implications of doing nothing (base case)? Does the Design Authority need to be engaged, and at what stage?

	 Will a cultural management plan be required, and at what stage? Have you considered resourcing costs and availability in the options being put forward?
Templates	Preliminary Business Case template – Appendix 3 Communications Plan - Appendix 4 Engagement Plan - Appendix 5
Gateway Gateway 2 Investment Decision Prioritisation Budget - Concept Design	 Before progressing to the next phase, the project <i>must</i> have: 1. been assessed for priority 2. been subject to an investment decision, and 3. had a concept budget allocated (if required).



Phase 2 enables high quality planning of the project and proposed solutions, as well as prioritisation of further investment.

Aim	 The purpose of this stage is to: refine the scope of the project refine requirements and project parameters confirm resource and budget requirements identify risks and mitigations undertake scheduling and identify inter-dependencies undertake concept designs (where relevant), and develop a full business case, based on all of this information.
Key activities in this stage	 Project scope is refined Concept planning is completed (where relevant) Full business case is completed Resource estimation to within 20% Prioritisation by Project Board Investment approval - a budget for Detailed Design is approved (if required)
Who is involved	 Project Manger Project Team Consultants / Contractors Project Sponsor Project Board
Outputs produced during this stage	 Full business case Procurement Plan (if required – refer Procurement Officer is unsure) Communications and/or Engagement Plan (if required – refer Communications and Engagement if unsure) Prioritisation Assessment Budget allocation for detailed design if required
Things to think about	Procurement activities may be required as part of this phase. Refer to Council's Procurement Policy and seek advice from the Procurement Officer if required. If stakeholder communications or engagement activities are required as part of this phase, a Communications Plan (Appendix 4) or an Engagement Plan (Appendix 5) should be produced and discussed with the Communications and Engagement Team, if it hasn't been produced at the previous stage.
	 Which of the solutions explored so far are the best contenders for further development? What the relative merits of each assessed option (including the base case of 'do nothing')? What re the likely costs and value to Council of undertaking this project? Who needs to be involved in assessing the efficacy and desirability of the selected solutions? What is in scope / out of scope?

	- Have you considered project resourcing costs and availability in the options being put forward? Consider also maintenance and ongoing operational costs, as well as whether any training, equipment or additional handover costs need to be factored into the project budget.
Templates	Communications Plan - Appendix 4 Engagement Plan - Appendix 5 Full Business Case template – Appendix 6
Gateway Gateway 3	Before progressing to the next stage, a business case <i>must</i> have been completed and accepted. The scheduling of the project needs to have been confirmed, and an appropriate budget <i>must</i> have been approved.
Validation of business case Confirmation of schedule Budget – design and construction	



Phase 3 commences solution delivery or project execution.

Aim	 The purpose of this stage is to: finalise the scope, requirements, resources, budget, risks, dependencies and schedules into a Project Plan undertake detailed design (if relevant), and issue build-ready specifications (as relevant).
Key activities in this stage	 Project scope is finalised Detailed is completed (where relevant) Build-ready specifications are issued Resource estimation to within 10% Project Plan is developed and approved
Who is involved	 Project Manger Project Team Consultants / Contractors Project Sponsor Project Board Operations and maintenance team(s)
Outputs produced during this stage	 Project Plan (Design Brief and Testing Plan if using Agile) Procurement Plan (if required – refer Procurement Officer if unsure) Communications and/or Engagement Plan (if required – refer Communications and Engagement if unsure)
Things to think about	 Procurement activities may be required as part of this phase. Refer to Council's Procurement Policy and seek advice from the Procurement Officer if required. If stakeholder communications or engagement activities are required as part of this phase, a Communications Plan (Appendix 4) or an Engagement Plan (Appendix 5) should be produced and discussed with the Communications and Engagement Team, if it hasn't been produced at the previous stage. What is in scope / out of scope? Are there any known constraints? What are the risks arising and who is responsible for management and mitigation? Are there any key dependencies?
Templates	Communications Plan - Appendix 4 Engagement Plan - Appendix 5 Project Plan – Appendix 7 NB: Design Brief and Testing Plan templates for Agile projects have not been developed. Project Managers may use their own preferred templates as required.

Gateway Gateway 4 Confirmation of dependencies Confirmation of project plan	Before progressing to the next stage, a project plan or design brief and testing plan must have been completed and accepted.



Phase 4 is when solutions are delivered, in accordance with approved plans and budget.

Aim	The nurness of this stage is to:
Aim	The purpose of this stage is to:
	 build or deliver the planned solution(s)
	- manage risk, and
	- control scope, budget and scheduling
Key activities in this stage	- Building / construction
	- Product development
	- Monitoring and controls
	- Reporting
Who is involved	- Project Manger
	- Project Team
	- Consultants / Contractors
	- Project Sponsor
	- Project Board
Outputs produced during	- Decision log
this stage	- Issues log
-	- Project Reports
	- Updated Project Plan (as required)
Things to think about	By this stage, stakeholder communications or engagement activities should be
Ū	well established, however, if not, a Communications Plan (Appendix 4) or an
	Engagement Plan (Appendix 5) should be produced and discussed with the
	Communications and Engagement Team as required.
	- Are there any risks emerging that were not anticipated?
	- Are conditions changing in ways that may impact scope, budget, time or
	quality?
Templates	Communications Plan - Appendix 4
remplaces	Engagement Plan - Appendix 5
	Project Plan – Appendix 7
	Project Report – Appendix 8
	Decision Log – Appendix 9
	Issues Log – Appendix 10
	issues Log Appendix 10
Cotoway	The deliverables should be formally signed off as completed by the Droject
Gateway	The deliverables should be formally signed off as completed by the Project
	Manager.
Gateway 5	
Validation of deliverables	



Phase 5 sees the transition from project to operations.

Aim	The purpose of this stage is to:
/	- manage warranty and defect liability periods
	- ensure that the product / solution is handed over correctly to operational
	teams,
	- undertake a project review, and document lessons learned.
Key activities in this stage	- Formal handover to operations
	- Manage DLP
	- Review project and document lessons
Who is involved	- Project Manger
	- Project Team
	- Consultants / Contractors
	- Operations and maintenance team(s)
	- Project Sponsor
	- Project Board
O des la secola de la desta e	
Outputs produced during	- Completed handover checklist
this stage	- Warranty schedule
	- Project Review
Things to think about	The handover to operations need to be formal and signed off by both parties,
	with clear responsibilities assigned for managing the defects and liability period.
	Everyone involved in the project should participate in project review and time
	should be allocated to identify lessons learned, document them and undertake
	any follow-up actions that may be necessary.
	Responsibility for any ongoing or residual activities or actions must be identified,
	and mutually agreed.
Templates	Project Report – Appendix 8
remplates	Handover checklist – Appendix 11
	Project review – Appendix 12
	Project review – Appendix 12
Gateway	Before progressing to the next phase, it is good practice to ensure handover has
Gateway	been formally completed and documented, and project lessons have been
	documented.
Gateway 6	
Handover	
Project lessons	
documented	



While a project may officially end in operational handover, residual activities may continue.

Aim	 The purpose of this stage is to: implement any lessons learned ensure continuous organisational improvements measure benefits over time.
Key activities in this stage	 Measuring the benefits of the project / solution(s) delivered Embedding lessons learned during the project Residual engagement or communications activities, or Related continuous improvements.
Who is involved	 Project Sponsor Project Manager – available for advice / comments Operations and maintenance team(s)
Outputs produced during this stage	 No specific outputs required, however, lessons learned should be formally captured to enable the rationale for changes in organisational practice to be captured
Things to think about	 Are there any current projects or activities the lessons should or could be applied to? Can the lessons be systematized to ensure their automatic uptake in organisational processes? What is the trajectory for benefits realisation?

Whole of project

Issue Management

Issues are addressed immediately to minimise impact to the project.

Issues need to be articulated, logged, and assigned to an owner that ensures actions are completed and brings the issue to a close.

Both a Decision Log (Appendix 10) and an Issues Log (Appendix 11) should be maintained throughout the project's life, regardless of the project management methodology used.

Record Keeping

All final project documents must be stored in ECM.

Risk

Projects use the corporate risk matrix and consequences tool, outlined in the Organisational Risk Management Policy and Procedure, to enable project risks to be captured and managed using the same principles as corporate risks. This ensures that projects are managed in alignment with other areas of service delivery and strategic decision making, and provides a single point of truth for the management of all project related risks and enables appropriate reporting and oversight at an senior management level.

Risks identified within each project will have a risk owner and adequate controls put in place to effectively manage and/or mitigate. Project Managers are responsible for the identification, management, control, review and reporting of all project risks until a project is finalised.

All risk related issues are addressed via regular reporting to the Project Board, with more urgent issues being escalated directly to the Project Sponsor. An action plan is then devised, and the issue is assigned to an owner who ensures actions are prioritised and completed.

Upon project completion, any residual risks are then transferred to the appropriate service delivery area for ownership and ongoing risk management.

Reporting

Project reports include a standard RAG rating against the baseline established in project documentation, as follows:

- Green 'on track' on schedule, on budget, scope on target
- Amber 'at risk', but within the tolerable range for the Project Manager to manage (ie, does not require intervention from the Project Sponsor)
- Red 'off track', and beyond the scope of the Project Manager to manage, therefore requiring the Project Sponsor, CEO or Council to intervene and re-set the baseline.

Change Control

Any variations to the project must be managed through a formally controlled change process.

Examples of possible changes include:

- Scope change, including reductions or increases to scope.
- Schedule variations, either to accommodate additional scope, or because the plan has changed due to slippage etc. Rarely does a schedule variation occur in isolation. Even if scope is unchanged, the resourcing and budget requirements will often require variation also.
- Budget / cost variation, which may be necessary to accommodate scope change, or simply to increase the available budget because costs are exceeding, or forecasted to exceed, the budgeted allocation.

The Project Manger will raise project change issues with the Project Sponsor, and it will be flagged via 'off track' (red) report indicator(s) on the regular project reports. Project Managers are required to exercise their full responsibility to recover the project. In raising the red status, the Project Manager is acknowledging that they have explored the possible corrective actions in full, have actioned (or are in the process of actioning) the corrective actions, or are raising request(s) to the Project Sponsor to exercise actions that are beyond the Project Manager's authority.

In actioning an 'off track' (red) indicator, the Project Sponsor (or Chief Executive Officer or Council) agree to a new baseline, which should therefore return the project to 'on track' (green).

Records of all prior baselines are recorded and are reported, for historical context, for the duration of the project. When assessing the performance of the project during the Closure review (and possibly earlier), the Project Board will examine situations that gave rise to the changes and re-baselining are scrutinised for lessons learned and performance reporting.

Appendix 1 – Project Sizing

	Small	Medium	Large
Size of Project Team (FTEs)	1-2	2-5	5+
Delivery Time	< 6 months	6-12 months	>12 months
Timeframe	Schedule is flexible	Schedule can undergo minor variations but deadlines are firm	Deadline is fixed and cannot be changed, schedule has no room for flexibility
Complexity	Easily understood problem, solution and the solution is readily achievable	Either difficult to understand problem, solution unclear or solution difficult to achieve	Both problem and solution difficult to define or understand, and solution difficult to achieve
Strategic Importance	Internal interest only	Some direct business impact and/or relates to an objective in the Strategic Plan	Affects core service delivery and/or directly relates objectives or aspirations in the Strategic Plan
Political Importance	No political implications to either proceeding or not proceeding	Some political implications	Major political implications
Total Cost	< \$50,000	\$50,000 - \$250,000	> \$250,000
Level of Change	Impacts a single business unit	Impacts a number of business units	Impacts whole of organisation, more than one organisation, or more than one tier of Government
Cultural Sensitivity	Nil to low risk activities (ie, no earthworks) and / or low risk areas	Includes some medium risk activities and / or medium risk areas	Includes any high risk activities and / or works in high risk or highly sensitive areas
Dependencies and Interrelated Projects	No major dependencies or inter-related projects	Some major dependencies or interrelated projects but considered low-risk	Major, high-risk dependencies or interrelated projects
Imperative	Optional	Committed via Council decision, Plan or Strategy	Legislatively required, and/or committed via Council decision, plan or Strategy

To size your project, place a tick \checkmark in the relevant box for each attribute.

A Large Project is where there is:

- a tick indicating that the project impacts on the whole organisation, more than one organisation, or more than one tier of Government, or
- includes any activities in an area that is deemed to be of high cultural sensitivity, or
- three or more categories with ticks in the Large column.

A Medium Project is where there is:

- four or more categories with ticks in the Medium column, or
- two categories with a tick in the Large column and three or more categories with ticks in the Medium column.

A Small Project covers the remaining combinations.

Documentation Requirements

Stage	Document	Small ¹	Medium	Large		
Project Identification	Project Identification (Template 2)	\checkmark	✓	✓		
	Preliminary Business Case (Template 3)		✓	✓		
	Communications Plan (Template 4)		Only if relevant			
Initiate	Engagement Plan (Template 5)		Only if relevant			
IIIIIIdle	Prudential Report		Only if re	equired		
	Procurement Plan		Only if relevant			
	Cultural Management Plan		Only if relevant			
	Full business case (Template 6)		\checkmark	\checkmark		
Plan	Communications Plan (Template 4)		Only if relevant			
PIdII	Engagement Plan (Template 5)		Only if relevant			
	Procurement Plan		Only if relevant			
	Project Plan (Template 7) (if using waterfall		✓	✓		
	or hybrid)		v	v		
Develop	Design Brief and Testing Plan (if using Agile)	\checkmark	\checkmark	\checkmark		
Develop	Communications Plan (Template 4)	Only if relevant				
	Engagement Plan (Template 5)	Only if relevant				
	Procurement Plan		Only if relevant			
	Project Report (Template 8)	\checkmark	\checkmark	\checkmark		
	Project Plan (Template 7) (if using waterfall or hybrid) Update only as required					
	Design Brief and Testing Plan (if using Agile)	Update only as required				
Build/Deliver	Communications Plan (Template 4)	Only if relevant				
	Engagement Plan (Template 5)	Only if relevant				
	Decision Log (Template 9)	\checkmark	\checkmark	\checkmark		
	Issues Log (Template 10)	\checkmark	✓	√		
	Project Report (Template 8)	~	✓	√		
Handover and Close	Handover checklist (Appendix 11)		Only if relevant			
	Project Review (Appendix 12)	\checkmark	✓	✓		
Continuous Improvement	Learnings should be recorded and shared as appropriate	\checkmark	~	\checkmark		

¹ Small and within scope of this framework and manual. Projects outside of scope may use the same templates, but are not required to do so.

Appendix 2 - Project Identification

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Project Identification

ls your propos	Jour u.					1.2	
project capital r over \$2 small pr major depend	m or large t I new project 20,000 oroject with dences, high r significant elated	What's the problem you're trying to solve or the opportunity? Provide a short description of the problem being solved or the opportunity being created or responded to. This description should focus on the problem and the desired outcome rather than the solution. The best solution cannot be known at the start of the <u>process</u> and it is best to keep an open mind about potential solutions. For example, the problem/opportunity might be a lack of access to library services in a particular geographical part of the council. The desired outcome is improved access and the solution could be a multitude of different mechanisms to increase access to services, such as a new library, an improved mobile service or providing transport to existing services, library services by mail, or integration into another council service.	Who is it a problem for? Consider: - demographics, eg, older people, younger people, people living with a disability, workers, business owners, residents, wisitors etc - extent of impacts (eg, ALL visitors, MOST residents, SOME business owners, etc	Why?	What is the desired out Some questions to conside What is the desired outco Is it improved safety or an Is it an improved service? Is it a long-standing issue Is the proposed project re- efficient service or outcon	er: me? henity? ; ;ponding to a service	e gap or delivering a better or i
identifie Council, Executiv	fied by il, the Chief tive Officer or eral Manager	Origins / history Provide a short description of the origins or history of the problem or opportunity. Some questions to consider include: Is it in the annual business plan or identified through another strategic process (policy development)					
	tance	Is it a long-known issue? Is it a Resident driven complaint or proposal? Is this an issue identified by Council administration? Is there a demonstrated need for the proposal (traffic report, engineer's report, resident petitions?)					
	al Manager/	Consequences of inaction	Strategic Alignment		Initial Resource Estimat	ies	
Project	t Sponsor	Some questions to consider: What will or might happen if no action is taken?	It is important to understand how a prop		Description	Amount	Brief description / note
ou are likely t	to need to	Is it a safety issue?	and policy approach of Council to ensure direction.	everytning we ao pulis in the same	Capital		
low the Proj	*	Is this a degenerative problem – ie, will it get worse? Are there legal consequences of non-action. Will CoHB be non-compliant or	Not all proposals will relate directly to an	existing document, but the impact of	Operating		
lanagement l nd Manual.	t Framework	negligent? Is this to provide a new service or guarantee continuation of existing service?	any proposal on existing policies and stra Some of the questions to consider:		Full time equivalents (internal staff)		
l Other		Is this a time-limited opportunity?	Is the proposal directly resulting from or a etc in any existing strategy or policy?	ligned to any existing objective, target	Equipment		
ou are not lik	ikely to need		Is the proposal outlined in current or prev		Software / Technology		
follow the P	'		If the proposal is not directly aligned, how strategies and policies?	v will it impact or support existing		1	
	t Framework						
1anagement I	out you may						
lanagement I nd Manual bu se the templa	lates if you	Any other considerations?					

Appendix 3 - Preliminary Business Case

Current State A	nalysis			Future St	ate Analysis						
<describe a="" and="" currently="" is="" it="" lies="" occurring,="" opportunity="" or="" problem="" the="" what="" where="" why=""></describe>				Target Group		Current I	Demand	Future Demand			
			 		<numbers description?<="" or="" th=""><th colspan="2">ers or description> <numbe< th=""><th colspan="2">bers or description></th></numbe<></th></numbers>	ers or description> <numbe< th=""><th colspan="2">bers or description></th></numbe<>		bers or description>			
					Future State		Outcomes	Benefits		Status Quo	
				<outline wh<br="">will be></outline>	hat the future state	<expected< th=""><th>outcomes></th><th><why for="" good="" is="" th<br="" this="">community? State both and tangible benefits></why></th><th>intangible</th><th><state not<br="" project="" the="" where="" will="">improve the current state (e.g. This project will/will not achieve significan tangible benefits in either staff numbe reductions or increased revenue).></state></th></expected<>	outcomes>	<why for="" good="" is="" th<br="" this="">community? State both and tangible benefits></why>	intangible	<state not<br="" project="" the="" where="" will="">improve the current state (e.g. This project will/will not achieve significan tangible benefits in either staff numbe reductions or increased revenue).></state>	
Strategic Alignr	ment			Stakehold	lers					I	
		Alignment to Strategic Plan		Engagemen	nt Activity Required			Stakeholder			
Wellbeing		Sustainability	Innovation 🗆			tivity require	d eg, survey, consultation	<state activity="" audience="" for="" intended="" the=""></state>			
<state objec<br="" which="">applies and how></state>			<state aspiration<br="" objective="" or="" which="">applies and how></state>	ion document etc>							
	Alig	nment to Other Council Plans and Poli	cies	Core Team			Involved Stakeholders			takeholders	
Plan or Policy Nam	ne	Objective or Target	Description of alignment		including project team members, bodies, project inputs, vendors		<stakeholders in<br="" involved="">stakeholders that need to</stakeholders>		<stakehold informed></stakehold 	fers who need or would like to be	
<name of="" plan<="" td="" the=""><td>or policy></td><td><state etc<br="" objective="" or="" target="" which="">applies ></state></td><td><state applies="" how="" it=""></state></td><td colspan="2">/contractors etc ></td><td colspan="2">></td><td colspan="2"></td></name>	or policy>	<state etc<br="" objective="" or="" target="" which="">applies ></state>	<state applies="" how="" it=""></state>	/contractors etc >		>					
Options Analys	is										
Title	Recommended	Option	Option 2		Option	3		Do Not	thing		
Description											
Benefits:	1. 000		1. 000		1. 000			1.000			
	2. 000		2. cap 3		2			2. 000			
Disadvantages/	1.000		1. 002		1. 000			1. 000			
detriments/	2.000		2. 000		2000		2.000				
drawbacks:	3		3		ä		3				
Costs:			l 								
Direct											
Indirect											
Recurrent								·			
Cost Savings:			i 								
Comments /											
Notes:	1										

Business Owner: Approved by <xx>

Authors: <xxx>

ŀ	ey Risks						Priority Assessment	
	Risk	Likelihood	Consequence	Risk Rating	Mitigations			_
				Extreme			IMPACT	-
				High			Public Value Breadth of Benefit	-
				Medium			Spatial Alignment	
				Low			Environmental	
1						11	Wellbeing	1

Cultural Sensitivity

<Identify the <u>cultural_risks</u> associated with the site(s) and / or activities that will be undertaken, and how these are proposed to be managed.>

Business Readiness

<Describe how ready the business is <u>undertake</u> the project. Include consideration of resource availability, any training needs to become ready, change management that will be required before, during, or after project is completed, whether maintenance funding/resources are available on completion, etc, >

Dependencies, Constraints & Assumptions

<Describe any known dependencies, constraints and assumptions >

Financial Assessment Cost Type	Amount	Notes / Comments	Funding Option	LTFP Impact	Reputational Impacts Amenity
Capital	\$ <u>xx,xxx</u>	<any comments="" notes="" or=""></any>	<capital new,="" new,<="" operating="" td=""><td>financial indicators and rates ></td><td>TOTAL IMPACT</td></capital>	financial indicators and rates >	TOTAL IMPACT
			capital renewal, operating, grant, part-grant, etc>		Urgency
Operating	\$ <u>xx,xxx</u>	<include how="" many="" over="" years,<br="">consider maintenance costs></include>			Safety
Depreciation					Statutory Requirements Strategic Value
Staff (FTEs)	X.X				Asset Life
					Resource Availability TOTAL URGENCY
Savings / Income	Amount	Notes / Comments			TOTALOKGLIVET
Income or savings sources	\$ <u>xx,xxx</u>	<any comments="" include<br="" notes="" or="" –="">over what period the income or savings will occur></any>			

Score / 5

Score / 20

Inclusion

Accessibility

Commercial Economic

Innovation

Regulatory

Strategic Alignment Existing Commitment Ease of Implementation

Risk to Council

Risk to Community Opportunity Costs Safety

Appendix 4 - Communications Plan

PROJECT OVERVIEW

Write a short summary of the project. This can be the project summary already reflected in your project plan.

COMMUNICATIONS STRATEGY

This section will be completed by the Communications Advisor in consultation with you, once the background and key messages sections have been completed.

KEY MESSAGES

Describe in bullet point form (one idea per bullet point) what you want people to know about your project. This should include the key information – What? When? Where? Who? Why? How?

Things to think about include:

What is the overall objective of the project?

How will it impact people in the short and long term?

Positive impact, negative issues etc.

For example, with an infrastructure project, you should include: what the project is, what the end result will be, how much it costs, who has provided the funding, when the construction will start, when it is anticipated to be completed, who are the third parties involved, details of the positive impacts and any challenges that may occur pre and during the project (e.g. road closures during construction, but improved access/facilities once project is completed).

It may help to group the key messages into sections (for example overarching messages about the project, but then having specific sections e.g. community engagement, construction, funding etc).

The Communications Advisor will then work with you to refine these key messages.

- <insert key messages>
- <insert key messages>
- <insert key messages>

FREQUENTLY ASKED QUESTIONS

The Communications Advisor will work with you to draft the FAQs once the key messages have been developed.

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Appendix 5 - Community Engagement Plan



COMMUNITY ENGAGEMENT PLAN

Project Name: Project Manager: Start and end date

Sign off	Name	Date
Project Manager submitted for approval		//
Reviewed by Communication and		/
Engagement		
General Manager approved		//

ECM No:

1.PROJECT OVERVIEW Write a short summary of the project. This can be the project summary already reflected in your project plan. If your project will have a YourHoldfast page, this overview will be used as the introduction/summary	
paragraph at the top of the web page.	
2. PURPOSE OF ENGAGEMENT Why are you asking the community to engage? What are the opportunities to be explored/ What do you intend to do with the data/ what is the decision to be made? What will this help you achieve? How will this help you make you decision?	
3. CALL TO ACTION On one sentence, what is the instruction to the community. Be specific.	
4. KEY MESSAGES Dot points	•
5. FREQUENTLY ASKED QUESTIONS Add the FAQs for the main questions you think someone with no prior knowledge of this engagement may ask.	<i>How can I provide my feedback?</i> You can share your ideas and feedback in the following ways: OR You can read the draft XX plan and provide your feedback in the following ways:
Some standard FAQs are already included in the template for possible inclusion.	Online yourholdfast.com/Elena-to-provide
	In person The draft plan and feedback forms are available at the Brighton Civic Centre (24 Jetty Road, Brighton) and the Glenelg and Brighton libraries.
	Mail Writing to us at: Name of engagement Reply paid 85436 PO Box 19 Brighton SA 5048

	Email mail@holdfast.sa.gov.au with the subject header (insert name of engagement) All feedback must be received by 5pm DAY DATE MONTH 202x. <i>What happens to my feedback?</i> The results from this engagement will be collated and used All personal details provided will be removed from council reports. <i>What are the next steps for this project?</i> Results from this engagement will be used to <i>What is the budget for this project?</i> A budget of \$xx has been included in the City of Holdfast Bay's 202x/202x business plan to <i>Who can l contact for more information?</i> Project Manager, position City of Holdfast Bay 8229 9999 mail@holdfast.sa.gov.au
6. Is the engagement legislative according to the LGA Act 1999 If yes what is required (i.e. print ad/ 21 days) if you are unsure please refer to the act	Yes21 daysAdvert in paper
7.OBJECTIVES/DELIVERABLES what do you hope to achieve Include how feedback will be used and any process that it goes through	Example: by holding a community engagement we hope to find out what option the community prefer and why. This information will help us refine the project specifications for the developers

8. STAKEHOLDER AND COMMUNITY ASSESMENT

Who is effected by, interested in or impacted by this project? Who can influence the outcomes of this engagement process? Who do we need to engage?

******Please ensure you consider the inclusion of people of diverse backgrounds and those living with disabilities**

Stakeholders, Community, Groups, International Stakeholders, Community, Groups, International Statements (Statements), St	Stakeholders, Community, Groups, Internal, Partners, Individuals, Media, Decision Makers, others						
Stakeholder (examples only below. please identify all your stakeholders)	Who to contact/leads	How to communicate/engage with them	Level of engagement (Inform, Consult, Involve, Active participation)				
Elected Members			Involve				
City of Holdfast Bay Staff (identify relevant staff)							
KAURNA							
Residents							
Local Businesses							
Residents groups – i.e. Holdfast Bay Residents Association / 5049 Coastal Community							
Access and Inclusion Representatives/Disability representative organisations							
Culturally and linguistically diverse Community							
Youth							

9. ENGAGEMENT APPROACH

Stage / task	Activity (the below are examples only)	<i>Stakeholders/ Who's involved</i>	Engagement level	Due Date	Organiser	Resources required*	Budget cost/code
Stage 1 (Prep)	Online platforms developed (YourHoldfast and CHB website) - Add timeline to website - FAQs – add the media questions - Timelines, budget, next steps etc. Plan onsite sessions with stakeholders		Involve			Depot/marketing/print/ Social Media	
	 Develop promotion Brochure with consultation details for letterbox drop and other customer sites Email / EDM notification Bin corflutes for site promotions Article for the project Holdfast news Social media campaign (EP) Banner – onsite Publish notification in CHB/JR EDMS 					Marketing / Print / Social Media	
Stage 2	Communications to SLT/EMs Elected Member pre-notification Drop collateral off at Civic, Community Centres, Libraries, HBDC, Alwyndor etc						

	Email external stakeholders listed in plan					
	Email database from previous engagement					
	Covid management for onsite sessions					
	Councillor briefing prior to onsite sessions				 Attachment of FAQ Points to remember if they would like to attend 	
Stage 3	Onsite drop in sessions x 2 Set up		Involve		Depot infrastructure (marquee, furniture, tables, chairs, games, white fence)	
Stage 4	Collate and evaluate results					
	Refine concept with consultants					
	Consultation summary report					
	Table findings and final concept at Council Meeting					
	Round back to elected members					
	Close the loop with consultation participants	Update project page – send notification to followers				

8. NEGIOTABLE AND NON- NEGIOTABLE	Negotiable		
What are the tangible things that can be influenced?			
What are the things that cannot be influenced, that you may need to clarify?	Not Negotiable		
9. ENGAGEMENT RISKS	Issue	Level	Mitigation strategy
What could go wrong in your	Engagement opportunities are not broadcast widely enough or it is perceived that the channels for engagement are inappropriate, inaccessible or too exclusive.	Low	Provide engagement opportunities in a variety of platforms and promote through a variety ways
engagement?	Information presented does not meet expectations - either it is not comprehensive or it's over complicated	Med	Develop clear concise messaging and consultation tools
What can you do to prevent this from happening?	Community expectations of Council's consideration to their input is not met	Low	Provide results of previous engagement results
	Low attendance at drop in sessions / not enough participants	Low/ medium	Promotion and marketing of the consultation
	Bad weather at drop in sessions	Medium	Arrange marquees and contingency
	The community dislike the proposal	Low	Ensure SLT, Council and architects approve the materials and concepts for consultation
	Under represented communities/diverse backgrounds are not reached		

12. EVALUATION	Examples only Over 30% of the residents within the area responded
What will a successful engagement look like for you?	Passive participation rate was high
engagement look like for you.	Participants from under presented groups responded.
Use your project engagement objectives as a guide (See section 6.)	Feedback helped inform next steps
13. DATA ANALYSIS Do you require an engagement Report findings summary. Who will analyse and report the data/feedback	
Is it going up to council for review)	
(External consultant/ engagement coordinator/project manager)	
14. REPORTING BACK – CLOSING THE LOOP	
How and when will you let people know that their input was considered?	
Do you need different reports for community and for decision makers?	

Levels of Engagement

For the City of Holdfast Bay, Community Engagement is a process that can involve one or a combination of three engagement levels as outlined below².

INFORM	CONSULT	ACTIVE PARTICIPATION	
Definition	Definition	Definition	
One-way relationship with the community in which information is communicated to the community and individuals. It covers both access to information via a range of mediums and active measures through education and awareness activities.	Two-way relationship with the community where the views of individuals and communities are sought on a range of matters that may affect them directly and/or interest them. Consultation can occur at various points in the process and can be used to help frame an issue and identify and assess options.	Multi-level relationship with the community, actively involving members of the community members to shape policy, project and program options and recommendations. Active Participation may extend further into collaboration where participants partner with Council, sharing the roles and responsibilities of a project. Like consultation, Active Participation can occur at various points in the process.	
Purpose To provide the community with balanced and objective information to increase awareness and assist them to understand the project, problem, alternatives, opportunities and/or solutions.	Purpose To obtain community feedback on projects, issues, proposals or/and options.	Purpose To work directly with the community throughout the process to ensure concerns and aspirations are understood and the community is included in the identification and development of alternatives and solutions.	
 Techniques Media Releases Promotional material Publications Website Advertising and Public Notices Displays and Exhibitions Public Information Sessions Community Events Fact Sheets YourHoldfast newsfeed and articles and database 	 Techniques Surveys Discussion Forums Your View Surveys and Forums Public Meetings Face to Face Conversations Written Submissions Polls Road Shows Open Days 	 Focus Groups Workshops Steering Committees Community Reference Groups Advisory Committees YourHoldfast Database 	

² Adapted from the IAP2 Public Participation Spectrum

Appendix 6 – Full Business Case



Full Business Case – Project Name

Author

Title

Date

Instructions for using this template

- Many elements of the Full Business Case will build on the Preliminary Business Case. For the Full Business Case, however, the information needs to be at a higher level of certitude and exactitude. For example, the capital costs should be based on a full itemised costing of a much more advanced and precise design than the one used for the Preliminary Business Case.
- In this template all *text in italics* needs to be replaced with project specific information.
- Please refer to the drafting instruction boxes for guidance and suggestions. These boxes should be deleted upon completion.
- Additional pages can be added to include photos, graphs, any visual representations and additional information but the total length of this document should not exceed 30-50 pages.
- Delete this page before submitting.

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Options Analysis – Conclusion

RECOMMENDATION AND APPROVAL

Document Control

Drafting Instruction

Outline document history and any previous iterations.

Project/Program name			
Project/Program location			
Project/Program sponsor	General Manager		
Document author			
Primary contact			
Document History	This is	ing Instruction s to ensure version control ar sworked proposal returning t	
Version no. Amendment na	ature	Amendment date	Amended by

Version no.	Amendment nature	Amendment date	Amended by

Drafting Instruction

Internal consultation

Outline any internal consultation undertaken and indicate that internal consultees agree with the assumptions in the proposal. Proposals will be approved by the Senior Leadership Team before presentation to Council. The results of the consultation can be included in the body of the Business Case. External consultation will not be appropriate or needed for all projects.

Person	Role	Date	Supportive of assumptions (i.e., agrees with the factual basis of the proposal – but does not imply support for the project

External consultation

Person	Role	Date

Drafting Instruction

EXECUTIVE SUMMARY

The executive summary should be considered as a stand-alone document. It should provide a brief description of the project and contain all the necessary information required to make a decision.

Include an Executive level overview of the business case outlining the purpose and reason for the project as well as the anticipated outcome. The executive summary should be no longer than 4 pages. This should adequately summarise key elements of the business case for decision making and should identify where this project is part of a larger program of work and whether it is critical for the success of that program.

Background

Outline the background to the project. This could include any decisions or changes or circumstances have led to the need for the project.

Summary

Drafting Instruction: Cleary indicated the status of each option and provide the option summary. Other summary positions such as viable option, preferred option.

Not Recommended	Recommended	Not Preferred	Not Considered Further
Option 1	Option 2	Option 3	Option 4
Do Nothing/Do Minimum/Base Case	Title	Title	Title
One line description	One line description	One line description	One line description
Final Costs	Final Costs	Final Costs	Final Costs
Key elements of the option	<i>Key elements of the option</i>	<i>Key elements of the option</i>	Key elements of the option
Additional info that might not be captured in the NPV – perhaps a key non- quantifiable element	Additional info that might not be captured in the NPV – perhaps a key non- quantifiable element	Additional info that might not be captured in the NPV – perhaps a key non- quantifiable element	Additional info that might not be captured in the NPV – perhaps a key non- quantifiable element

Summary of Benefits and Risks

	Key Benefits	Key Risks
Option 1	► <u>Outline key benefits</u>	► Outline key risks
Option 2	► Outline key benefits	► Outline key risks
etc	► <u>Outline key benefits</u>	► Outline key risks

Recommendation

Provide a clear recommendation of the preferred option based on the risks and benefits of the project and taking into consideration the financial analysis of the previous page

Drafting Instruction:

The project description section should provide a greater level of detail than the executive summary. There will be a degree of repetition which is unavoidable but use the space to explore the project in greater detail.

It is helpful to think of the description in terms of the following framework: 1) what's the problem, 2) what happens if the problem is not addressed 3) what are the benefits of the proposed solution.

The project description might have changed from the Preliminary Business Case. If it has not changed, the Full Business Case should confirm the description of the Preliminary Business Case but with a greater degree of precision and certitude.

PROJECT DESCRIPTION

Elaborate on the Project Description outlined in the Executive Summary. Outline the conditions and circumstances that have led to the need for this project. What is the need or the opportunity?

Describe the details of the project including the main steps and components. The main steps should be much better understood at this stage of the process than they were in Preliminary Business Case. There should be a much clear idea at this point whether the project will be staged or completed as one stage. There should also be a clearer indication of any disruption in service or traffic flow etc at this point. The benefits should also be more clearly understood and more highly verifiable. Include the result of any needs and demand analysis

Drafting Instruction:

The project description *might* include some architectural drawings. These can be included as an attachment.

STRATEGIC ALIGNMENT

The purpose of this section is to ensure that the proposal is aligned to the City of Holdfast Bay's broader strategic and policy intent. The tables below enable the proponent to demonstrate how the proposal specifically aligns to the objectives of Our Holdfast 2050+ Strategic Plan and the various supporting plans and strategies.

Again, this section might be just confirming what was in the Preliminary Business Case if there have been no changes to the proposed project.

Drafting Instruction:

The proposal should build upon and reinforce the Strategic objectives of CoHB. IF it does not but is still worthy of consideration, the Business Case will need to explain why.

> Please refer to Our Holdfast 2050+ Strategic Plan and any other relevant strategies or plans

	Detailed alignment to council plans				
Council Plan	Plan objective or action the proposal impact	Description			
Refer the relevant Plan – eg. Open Space and Public Realm Strategy 2018–2030	Outline the specific objective or action the proposal impacts	Outline how the proposal will help to advance or achieve the objectives or actions outlined.			

OPTIONS DESCRIPTION

Drafting Instruction:

- > Outline the potential options for analysis
- > Define the base case (or status quo) to allow incremental analysis against each of preliminary options identified. The base case may be a "do-nothing" or "do minimum" scenario.
- Consider existing refurbishment options / 'Brownfield' options as alternatives to 'new construction' / 'Greenfield' infrastructure solutions.
- Knock-on effects such as new hardware requirements.
- Consider resourcing implications for delivering the project across the organisation (not just the cost of a project manager)
- Is it an off-the shelf or tailored option?
- Additional training requirements.
- o Describe each option. Each option will be anlaysied in the options analysis section which follows

Provide detail of the options considered. Where an option is an infrastructure option, architectural plans (or engineering reports) will need to be provided and might be included as an appendix

BASE CASE

OPTION 1

OPTION 2

Etc

This section considers each option systematically.

Option 1 (Base Option)

Description

Describe the base case which can be a "do nothing" or a "minimum" action required for business as usual

Benefits and Risks

Outline the main benefits and risks of this option

Financial Impact -

Use either the Net Present Value (for commercial projects) or Lifecycle Discount Model (for noncommercial projects).

Net Present Value (Delete if not used)

Drafting Instructions for Net Present Value (best applied to projects with a commercial value)

- Complete the Financial Analysis Assumptions in Appendix 1
- > Develop an estimated whole of life cost (capital and recurrent) including a brief description outlining the basis for this estimate and any key cost assumptions
- > Outline savings or efficiency gains generated
- Outline changes to budgeted operational costs associated with the options i.e. additional FTEs, repairs and maintenance etc.
- > Identify and include infrastructure and ongoing IT and other technological requirements

Financial analysis							
	2018	2019	2020	2021	2022	Total nominal 5yr	25 yr NPV
(\$000s)							
Costs to CoHB							
Construction costs	-	-	-	-	-	-	-
Lifecycle costs	-	-	-	-	-	-	-
Operating costs	-	-	-	-	-	-	
Project delivery costs							
End of Life costs	-	-	-	-	-	-	-
Total costs	-	-	-	-	-	-	-
Benefits to CBH							
Quantifiable Benefits	-	-	-	-	-	-	-
Net benefit / (cost) to CoHB	-	-	-	-	-	-	-

Lifecycle Discount (Delete if not used)

Drafting Instructions for Lifecycle Discount (best applied to projects with a non-commercial value)

- > Input costs and known benefits as required (adding more columns if necessary)
- Outline changes to budgeted operational costs associated with the options i.e. additional FTEs, repairs and maintenance etc.
- > Identify and include infrastructure and ongoing IT and other technological requirements
- > Apply the 'discount' per the diagram in Appendix 2

Financial analysis						
	Year 1	Year 2	Year 3	Year 4	Year 5 (etc)	Total over lifecycle
Design and planning costs						
Construction costs	_	-	-	-	-	-
Lifecycle costs	_	-	-	-	-	-
Operating costs	_	-	-	-	-	-
Project delivery costs						
End of Life costs	-	-	-	-	-	-
Total cost	-	-	-	-	-	-
Income / savings						
Quantifiable Benefits	-	-	-	-	-	-
Total benefit						
Raw (cost) / benefit	-	-	-	-	-	-
Add any relevant discounts						
Adjusted (cost) / benefit						

Option 2 (Option Name)

Drafting Instructions: Repeat for as many options as required

Description

Describe the base case which can be a "do nothing" or a "minimum" action required for business as usual

Benefits and Risks

Outline the main benefits and risks of this option

Financial Impact

Net Present Value (Delete if not used)

Financial analysis							
Financial analysis							
	2018	2019	2020	2021	2022	Total nominal 5yr	25 yr NPV
(\$000s)							
Costs to CoHB							
Construction costs	-	-	-	-	-	-	-
Lifecycle costs	-	-	-	-	-	-	-
Operating costs	-	-	-	-	-	-	
Project delivery costs							
End of Life costs	-	-	-	-	-	-	-
Total costs	-	-	-	-	-	-	-
Benefits to CoHB							
Quantifiable Benefits	-	-	-	-	-	-	-
Net benefit / (cost) to CoHB	-	-	-	-	-	-	-

Lifecycle Discount (Delete if not used)

Financial analysis						
	Year 1	Year 2	Year 3	Year 4	Year 5 (etc)	Total over lifecycle
Design and planning costs						
Construction costs	_	-	-	-	-	-
Lifecycle costs	-	-	-	-	-	-
Operating costs	-	-	-	-	-	_
Project delivery costs						
End of Life costs	-	_	-	-	-	-
Total cost	-	-	-	-	-	-
Income / savings						
Quantifiable Benefits	-	-	-	-	-	-
Total benefit						
Raw (cost) / benefit	-	-	-	-	-	-
Add any relevant discounts						
Adjusted (cost) / benefit						

OPTIONS ANALYSIS

Drafting Instruction: Projects with shorter life-cycles may not benefit from an NPV and can be expressed in 5 year nominal terms. For projects that are not commercial in nature, use Lifecycle Discount model. Consider project delivery costs and resourcing impacts when costing projects.

Options Analysis - Financial Summary

- Outline and explain the nature of the calculations and analysis
- Explain the nature of large differences in quantifiable benefits and costs
- The table below presents the total nominal costs for the five years to the end of FYXX for the modelled Options, as well as the net present value ("NPV") as at 1 July 20XX for twenty five years.

Option	Option 1	Option 2	etc
	- <option title=""></option>	- <u><option title=""></option></u>	- <option title=""></option>
Costs			
Construction costs	-	-	-
Lifecycle costs	-	-	-
Operating costs	-	-	-
Project delivery costs			
End of Life costs	-	-	-
Total costs	-	-	-
Benefits			
Quantifiable Benefits	-	-	-
Net (cost) / benefit	-	-	-
Twenty five year NPV (\$000s) OR			
Lifecycle Discount			
Adjusted (cost) / benefit	-	-	-

Options Analysis - Benefits

Drafting Instruction: This is the opportunity to promote the value of the project. Outline all qualitative benefits identified. Benefits might include: operational benefits, improved community outcomes, improved efficiencies, meeting current standards or expectations, etc.

The benefits analysis is a high level qualitative assessment of the key benefits identified by CoHB and based on information available on project information to date. Use a five-tick system to indicate the individual benefits and the level of benefit. Five ticks indicates a very high benefit. The benefit analysis box can be expanded.

Option	Benefit Description	Benefit Analysis	Benefit Rating
	Describe benefit	Outline how it will benefit CoHB	<u> </u>
Option 1			
			<u> </u>
Option 2			<u> </u>
			<u> </u>
			<u> </u>
			<u> </u>
etc			<u> </u>
			<u> </u>

Drafting Instruction:

High level identification of key risks

Options Analysis – Risks

Referring to Council's Risk Management Policy and Procedure, identify any risks with the project (both in the construction and operational phases) and outline any risk mitigating actions or strategies that could be employed

Consider, ICT, commercial; commissioning; completion/construction; contractual; demand; economic; environmental; financial; implementation; investment planning; management; obsolescence; operations; organisational; political; regulatory; benefit realisation risks.

Option	Risks	Likelihood	Impact	Mitigating Actions
	Outline key risks	Almost certain	Extreme	Outline mitigating actions taken or planned
Option 1		Likely	High	
		Possible	Medium	
		Unlikely	Low	
		Rare	Low	
Option 2				
Etc				

Options Analysis – Multi-criteria assessment

IMPACT - Score / 5	Option 1	Option 2	Etc
Public Value			
Breadth of Benefit			
Spatial Alignment			
Environmental			
Wellbeing			
Inclusion			
Accessibility			
Commercial			
Economic			
Innovation			
Regulatory			
Strategic Alignment			
Existing Commitment			
Ease of Implementation			
Risk to Council			
Risk to Community			
Opportunity Costs			
Safety			
Reputational Impacts			
Amenity			
TOTAL IMPACT			

Urgency - Score / 20	Option 1	Option 2	Etc
Safety			
Statutory Requirements			
Strategic Value			
Asset Life			
Resource Availability			
TOTAL URGENCY			

Options Analysis – Conclusion

	Observations and Key Conclusions
Option 1	Outline the key strength and weakness of this option. This section should make it clear why this option has been endorsed or rejected.
Option 2	Outline the key strength and weakness of this option. This section should make it clear why this option has been endorsed or rejected.
Option 3	Outline the key strength and weakness of this option. This section should make it clear why this option has been endorsed or rejected.

RECOMMENDATION AND APPROVAL Clearly state the recommendation for the project

APPENDIX 1

Financial Analysis Assumptions

Drafting Instruction: Outline any construction, capital or operating assumptions upon which the options analysis is based.

Funding Assumptions

Outline any previously approved funding or use of funds from pre-approved programs.

Key assumptions/inputs

Model start date:	1 July 20XXX
Project start period:	FYXXX
CPI or LGPI	X.X% Either use a current CPI or LGPI or develop a model with none included in costs or revenue
End of life costs and residual value:	Outline the life cycle cost assumptions and any end of life costs – such as decommissioning or demolishing or making good commitments. Or explain why no end of life costs have been included, nor have costs been modelled into perpetuity.
Any other assumptions:	Outline any other assumptions made for the project maybe in relation to costs or savings made on the project. For example, there might be increased or decreased rental, hiring, or staffing costs. Outline any previously approved funding or use of funds from pre-approved programs.
Designet Consta	

Project Costs

Outline how the project costs have been obtained. Project costs might have been obtained from a quantity surveyor or through a quote for services.

Outline any assumptions or qualifications and allowances.

Operating Costs

The operating costs normally include costs for cleaning and utilities. There might also be license fees or other ongoing costs related to the project. There could also be staffing implications which should be considered. Please indicate whether escalation has been included.

Maintenance Costs

Outline the limitations or extent of maintenance programs considered and calculated in the maintenance costs.

Any other Assumptions or Exclusions

Outline any other matters or considerations that should be brought to the reader's attention.

APPENDIX 2

Lifecycle Discount Model



Connecting the community, connecting the region, connecting neighbours connecting people with services, connecting knowledge, mentors or champions 10% discount per annum

Appendix 7 - Project Plan

Title:	<project title=""></project>
Background/Context:	Provide a brief explanation of the background and/or context of the project.
Relevant Legislation, Policy or Rules:	Identify any policies, legislation or rules and document their impact on the project.
Objective:	What is the aim of this project?
	A useful way to frame the objective is to answer the question 'why are you doing the project?' The result is a one sentence statement, or series of statements, starting with the word 'To'
Target Outcomes	Target Outcomes are expressed in the past tense and usually start with a word ending in 'ed', such as improved, increased, enhanced or reduced. They are the benefits that the project intends to achieve.
	Include relationship to Objectives or Aspirations in the Strategic Plan and/or other plans.
How will the success of the project be measured:	Describe the measure(s) that will used to indicate that the project has been successfully completed.
	Each measure will be linked to one or more target outcomes. At the end of the project the measures will help answer such questions as 'what have we achieved?' and 'how do we know?'
Output(s):	What things will be delivered by the project? Outputs link with outcomes, in that the outputs are used by the project's customers to achieve the outcomes. Outputs are usually expressed as nouns.
Project Scope of Work and Schedule:	See Appendix 1 for detail. A high level description can be provided here.
Budget and Resources:	See Appendix 2 for detail. A high level description can be provided here.
Governance:	Describe the management arrangements that will be put in place to govern the project. As a minimum this will include the name and title of the Project Manager and Project Sponsor.
Reporting Requirements:	What is the reporting frequency, format and to whom?
Stakeholders & Communication Strategy:	List the key stakeholders or stakeholder groups who will impact the project or be impacted by the project and describe how they will be engaged. For medium and large projects an Engagement Plan should be developed (refer Communications and Engagement team)

Assumptions and Constraints:	Provide a list of any underlying assumptions and/or constraints. Assumptions might include: resource availability, environment, technology, security etc. Constraints might include: deadlines, finance and budget, legislation, etc.				
Related Projects:	List any projects which are dependent on this project, or projects that are interdependent on this project, or projects upon which this project is dependent. Briefly describe the relationship.				
Risk Management:	See Appendix 3 for details. A high level summary can be provided here.				
Issues Management:	What will be the process used to manage issues throughout the project, particularly in relation to issue identification, review and reporting?				
Capturing the Lessons Learnt:	Describe any review process (internal or external) to capture any lessons as they are learned throughout the project.				
Organisational Change	Where relevant (delete row if not)				
Management:	Organisational Change Management refers to the management of realigning an organisations practices and processes to meet the changing demands imposed by the delivery of project outputs.				
	Outline the following details in this section:				
	 Who are the outputs going to be handed over to (ie. Business Owner), and how? Describe the new roles and responsibilities for staff positions, if any are required. Who will be responsible for any ongoing costs (eg. Software licenses)? Are any outputs outstanding and has a delivery timeframe been agreed? Who has responsibility for any changes to ensure the transition is managed properly? What are the training requirements? What ongoing output maintenance arrangements have been made/are required once the project is completed? Will there be any contracts that require ongoing management, if so, by whom will they be managed? 				
Quality Control:	What levels of review will be undertaken throughout the development of the project outputs? For example the timing of output reviews, how the reviews will be conducted and who will be involved.				
Outcomes Realisation:	Outcome Realisation refers to the management of the utilisation of outputs to meet the specified outcomes, and bring about longer term benefits.				

Outline the following details in this section:

- At what point will the project be closed?
- How will you establish that the project has been successfully completed?
- What form of evaluation of the project will be undertaken?
- Who is responsible for monitoring progress and reporting towards outcome realisation once the work of the project team is finished?

Regardless of the size or complexity of the project, measurement of the project's success against well-defined criteria is necessary. Establishing criteria helps with the measurements taken during the project and after the project has finished. These measurements include determining whether key performance milestones are being met, how well managed the project is, and whether the specified project outputs have been delivered and the outcomes realised.

Consider the following:

- The timing for any reviews, which may be conducted at the end of a phase or each and every phase, and/or after all outputs have been delivered prior to the project being closed.
- What each review(s) will cover, for example:
 - A technical review of the outputs from the project;
 - A review of the success of the project;
 - A review of the processes used to produce the outputs;
 - Lessons learnt from the project; or
 - A combination of the above.
- Who is responsible for arranging and managing the review(s)?
- Who will perform the review(s)?
- Who is responsible for the post implementation review process?
- Who will the report(s) be delivered to?
- Who is responsible for accepting the reports produced by the process?
- Will all relevant stakeholders be included within the review process?
- What action will be taken once the report(s) have been received?
- At what point will the project be closed and what will be done to formally close the project?

Ideally, an independent person conducts a review and the cost for the reviews should be included in the project budget.

Evaluation:

Closure:

Projects can be closed because they are completed successfully, or because it is clear the proposed benefits of the project are unlikely to be attained or are unlikely to be relevant in the current organisational context.

To gain formal acceptance of project outputs, and confirm the realisation of the outcomes, the closing down of a project should be planned using the following formal Project Closure steps:

- 1. Business Owner(s) acceptance of project outputs
- 2. Issues Management
- 3. Risk Management
- 4. Project Team disbandment
- 5. Financial close-out
- 6. Asset Management Plan (where relevant)
- 7. Post Project Responsibilities
- 8. Post-project Review
- 9. Outcome Realisation Reporting
- *10.* Formal closure by the Project Board/relevant authority

DOCUMENT ACCEPTANCE and RELEASE NOTICE

This is <release/version> <n.n> of the <Project Title> **Project Plan**.

The Project Plan is a managed document. For identification of amendments each page contains a release number and a page number. Changes will only be issued as complete replacement. Recipients should remove superseded versions from circulation. This document is authorised for release once all signatures have been obtained.

PREPARED:		_DATE:	_/	_/
(for acceptance)	(<name>, <project title=""> Project Manager)</project></name>			
ACCEPTED:		_DATE:	_/	_/

(for release) (Project Sponsor, <name, title>)

Appendix 1 to the Project Plan - Scope of Work and Schedule

The scope of work is defined as a clear statement of the areas of impact and the boundaries of the work of the project. The following model will help to identify all of the project work that clearly falls within the scope of the project, that which is outside the scope, and any work that requires further consideration. Reviewing the Customer Map (see Appendix B) may assist in clarifying what is inside or outside the scope.

Where the project is dependent on other work being completed (i.e. outside the scope of the project), agreement must be sought in terms of who is responsible and timelines for completion. At the time that the Project Business Plan is endorsed by the Project Board as Version 1.0, there should be no work that remains uncertain or unresolved – it should be either inside or outside scope. Examples are provided:

Table 1: <Project Title> Scope of Work

Part of the Project (Inside Scope)	Responsibility	Not Part of the Project (Outside Scope)	Responsibility	Uncertain or Unresolved
Training operational staff to use the new system	Project Manager			
		Updating the induction manuals	People and Culture	Timeline for completion

Table 2: Project Activities and Milestones

Id	Description	Who	Scheduled Start	Scheduled Finish	Predecessor
1	Formal approval to commence project obtained				-
2	Complete consultants brief for documentation of current processes	Project Team			1
3	Document current processes	Consultant			2
4	Review of present processes documentation with Stakeholders	Project Manager			3
5	Investigate and develop enforcement methodology options	Project Manager			1
6	Decide on preferred option for development of business process	Steering Committee			5

Appendix 2 to the Project Plan - Budget and Expenditure

Identify and summarise the project's funding sources, budget and expected expenditure.

Where the project is beginning the transition to program mode, Business Owners need to be made aware of the level of recurrent expenditure required for ongoing maintenance of the outputs.

Table 3 - Funding Sources

Council	<i>\$XXX, XXX</i>
Department of (South Australian Government) <i>Remove row if not applicable</i>	\$XXX,XXX
Department of (Australian Government) Remove row if not applicable	\$XXX,XXX
Total project funding	\$XXX,XXX

Table 3a – Expenditure

Operating Expenses	<i>FY </i> \$,000	<i>FY <b c=""></i> \$,000
Salary		
Other Employee related expenses		
Total – Salary (1)		
Operating Costs (including maintenance)		
Communications		
Travel (including motor vehicle expenses)		
Advertising and promotion		
Consultancies		
Information Technology		
Other administrative expenses		
Total – Operating Costs (2)		
Capital Expenditure		
Construction Program		
Other Capital		
Total – Capital Expenditure (3)		
Total Expenditure (1)+(2)+(3)		

Table 3b – Total Project Budget Overview For multi-year projects only – remove if not applicable

Total Project funding	\$XXX,XXX
Budgeted Expenditure for <i>Financial Year A/B</i>	\$XXX,XXX
Budgeted Expenditure for Financial Year B/C (add more rows as needed)	\$ <i>XXX,XXX</i>
Remaining budget for life of project	\$XXX,XXX

Other Resources

List other resourcing requirements, for example accommodation, IT equipment and information requirements.

Procurement Plan

If relevant, identify how procurement will be undertaken (see Procurement Policy and Procedure).

Appendix 3 to the Project Plan - Risk Management

The purpose of risk management is to ensure levels of risk and uncertainty do not impede the success of the project. Any potential threat to the delivery of outputs (level of resourcing, time, cost and quality) and the realisation of outcomes/benefits by the Business Owner(s) needs to be properly managed. All projects require a risk assessment to be undertaken upon commencement, which is regularly reviewed throughout the project life, using the following process:

- Identification The assumptions and constraints should be included where relevant
- Analysis grading risks in terms of likelihood and seriousness
- Evaluation determining which risks require priority action
- **Mitigation** preventative and contingency planning, including accountability
- Monitoring & Review determining a strategy to keep abreast of risk related issues

Please refer to the Risk Framework.

A Risk Register is an essential chart to include in reports to convey a 'snap-shot' of current risks and management strategies for smaller scale projects. However, for more complex projects, an additional standalone Project Risk Management Plan may be necessary. Such documents can be maintained separately to avoid the need to continually re-release the Project Business Plan.

Persons involved in risk identification are: <enter names, titles>

Risks will be reviewed <enter review frequency> by <whom>

Reports will be provided to <enter audience> <enter frequency or dates>

Risk Matrix

Consequence Likelihood	Insignificant	Minor	Moderate	Major	Catastrophic
Almost Certain	Medium	Medium	High	Extreme	Extreme
Likely	Low	Medium	High	High	Extreme
Possible	Low	Medium	Medium	High	High
Unlikely	Low	Low	Medium	Medium	High
Rare	Low	Low	Low	Medium	Medium

Project Risk Register

Project Name:

Project sponsor:

Project Manager:

For Small and medium projects (delete whichever does not apply)

Id	Description of Risk	Consequence	Likelihood	Risk Rating	Mitigation Actions (Preventative or Contingency)	Individual/Group Responsible for Mitigation Action	Timeline for Mitigation Action			
<n></n>	<description of="" risk=""></description>	eg Minor	eg possible	eg Medium	<describe mitigations=""></describe>	<responsible person=""></responsible>	<by when=""></by>			
For large	For large projects (delete whichever does not apply)									

ID	Risk Event	Risk Statement	Issue / Cause Event	Root Cause	Inherent Likelihood	Likelihood Description	Inherent Impact / Consequence	Impact Description	Inherent Risk Rating	Existing Controls (in place and operational)	Control Description	Control Status	Residual Likelihood	Residual Impact Consequence	Residual Risk Rating	Treatment Recommendatio n	Type of Control	Impact on Risk	Treated Likelihood	Treated Impact / Consequence	Treated Risk Rating
Guide	Short Title given to Risk	Description of the risk event	Known possible Issues (These may be raised through the Issues Register)	How may the issue eventuate	Rating before controls	Description of likelihood of risk event	Impact before controls	Description of impact to Council	Combined score	Controls that are in place and operational	Describe what the control does, in addition to the scope and coverage of the control.	Description of current status (eg, effective, mostly effective etc)	Current likelihood (Considering operational controls in place)	Current Impact rating (Considering operational controls in place)	Combined score	Based on the known cause events / Issues, how can they be managed?	Description. Does the control help to Prevent, Detect, Respond or Recover	What the control does to the risk (Reduce likelihood/conse quence or both)	Planned or anticipated likelihood rating post implementation of new controls / improvements	Planned or anticipated impact rating post implementation of new controls / improvements	Combined score
									Υ Υ												
												-									

Appendix 8 - Project Board Report

Report for:	Project Name/Brief Description						
Project sponsor:	General Mana	General Manager's Name					
Project Manager:	Name of Office	Name of Officer Writing Report					
Project Objective:	As stated in th	As stated in the Project Plan					
Report Date:	Date of Projec	Date of Project Board Meeting					
PROJECT SCOPE:	Summary of overall objective (1 paragraph). Confirm if a multi-year program						
Project Status:	Select one of the following options below & remove the rest						
	On-track	On-watch	Off-track	Completed			

Recommendations

It is recommended that the Project Board:

1. Endorse / consider / recommend to SLT XXXXX or Note this report.

Activities and Issues in this Reporting Period

Describe activities, issues and scope changes in this reporting period. Dot points are acceptable.

•

Milestones / Program

This section should report on milestones listed in the Project Plan. Expected Date refers to new dates that differ from those originally scheduled in the Project Plan. Older milestones from previous reporting periods can be deleted.

Table 1 – Milestones / Program scheduled for achievement since last report and performance against those milestones:

Milestone / Program	Original Scheduled Delivery Date	Expected Date	Explanation of Variance and Effects
Description of affected/amended/changed milestone	dd-mm-yyyy	dd-mm-yyyy	Explain any variances and their effects

Budget

Table 2 – Overall Total Budget (Life of Project):

Council Identify & list source. Eg Budget / Council Report etc	\$XXX,XXX
Other Approved Sources Identify & list source. Eg Renewals / Budget Adjustments	\$XXX,XXX
Council - Uncommitted	\$XXX,XXX

Grants - Received to Date	\$XXX,XXX
(List name of Government Department / Organisation providing grant)	
Add more rows as needed	
Grants - Committed but not Received	\$XXX,XXX
(List name of Government Department / Organisation providing grant)	
Add more rows as needed	
Total Project Budget	\$XXX,XXX

Grant Funding Deadlines / Major Conditions

Additional comments. Dot points are acceptable.

Table 3 – Monthly Summary of Expenditure and Remaining Project Funds:

Project Ledger Account Code/s: PR Enter budget line account code/s that costs are being charged to.

Source below data from Tech One Ledger Account.

Available Budget Take figure from Total Project Budget row [last row in	\$XXX,XXX
bold] in Table 2 above	
Previous Year Expenditure (Multi-year Projects) From Ledger	\$XXX,XXX
Current Year to Date Expenditure From Ledger	\$XXX,XXX
Expected Remaining Expenditure for Current FY	\$XXX,XXX
Balance – Future FY	\$XXX,XXX

Budget Comments

Additional comments or changes to budget. Dot points are acceptable.

Resourcing

Table 4 – Resource Commitments for the Remainder of the Project:

Key staff resource commitments from this report's date until the end of the project. If there are significant external authorities that may affect the delivery of the project (for example, Kaurna Advisory Services, SAPN, SA Water), flag these in this table. If there are any availability issues or scheduling issues, identify them with commentary after the table.

This table should only include staff with an involvement likely to exceed one (1) day over a month. Team members should not be included on this list unless they have been consulted and have the capacity at the time.

Name	Project Team (PT) or Subject Matter Expert (SME)	Commitment	Start Date	End Date
Name	PT or SME	Number of days or % of FTE	dd-mm-yyyy	dd-mm- уууу

Resourcing Comments

Additional comments should be included to indicate reasons for the deficit/overspend or surplus/underspend in the monthly budget and anticipated expenditure for the year to date. Dot points are acceptable.

Project Risk Management

Table 5 – Changes to Risk in this Reporting Period: Select 1 option under each column per risk & remove all other. Add more rows as required

If a previously listed Risk is no longer a Risk, remove from table.

Risk	Likelihood	Consequence	Rating	Change
Brief description	Almost Certain Likely Possible Unlikely Rare	Catastrophic Major Moderate Minor Insignificant	Extreme High Medium Low	Increase Decrease New No Change

Risk Matrix

Consequence Likelihood	Insignificant	Minor	Moderate	Major	Catastrophic
Almost Certain	Medium	Medium	High	Extreme	Extreme
Likely	Low	Medium	High	High	Extreme
Possible	Low	Medium	Medium	High	High
Unlikely	Low	Low	Medium	Medium	High
Rare	Low	Low	Low	Medium	Medium

Comments

Include explanation of why the risk rating has been changed. Where the rating has been increased, include details of mitigation actions.

Discuss the effectiveness of risk mitigation strategies that have been applied to High and Extreme category risks. This can include any changes to risk mitigation strategies.

Dot points are acceptable.

•

•

Stakeholder Engagement

Brief description of any stakeholder engagement activities in this reporting period.

Table 6 – Stakeholder Engagement Summary for this Reporting Period

Stakeholder	Activities Undertaken in Reporting Period	Future Activities Scheduled
Name/Organisation	dd-mm — Activity ABC dd-mm — Activity XYZ	dd-mm – Activity ABC dd-mm – Activity XYZ

Appendix 9 - Decision Log

Project Name:

Project sponsor:

Project Manager:

ID	Decision	Rationale	Source	Owner	Priority	Decision Date	Status	Date Completed	Notes on Implementation	Further Reporting
Unique identifier	Brief description of decision made	Why was this decisions made?	<i>Meeting / conversation /person from which this need for a decision came</i>	Who is responsible for implementin g the decision	Relative priority: 1-High, 2- Medium, 3-Low	Date this decision was made	Status of item: 1-Not started, 2-In progress , 3- Complet e	Date this item was completed / implemented	Notes or results on the completion of this item, such as final decision document location, results of implementing requested fix, etc	eg, Council Report, SLT Report etc

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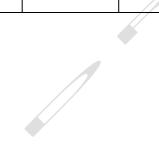
Appendix 10 - Issues Log

Project Name:

Project sponsor:

Project Manager:

lssue ID	Issue raised by	Date Raised	Туре	Description of Issue or Opportunity	Associated Risk?	Recommendation	Management Decision (Agreed Actions)	Authorised By	Target Completion Date	Action Officer	Status	Actions Completed to Date	Deliverables Approved	Date closed	Post Incident Report Reference (If applicable)
Notes	Outline where/how the issue was raised. Is the issue relating to general observation, opportunity for improvement or was it a near miss event or incident?	dd/mm/yyyy	Is it considered an Event, operational issue, opportunity for improvement or a non- compliance ? (This would help indicate its urgency)	Outline the findings / opportunity etc	Is the issue adding details / is relevant to an existing risk? Or has the issue created a new risk? (Refer to Risk and Improvement Officer.		Outline what has been agreed	Name	dd/mm/yyyy	Name	In Progress		When closing an issue make note of management review/approval of changes to validate the task is complete	dd/mm/yyyy	Link to an incident notification / post incident report if relevant



Appendix 11 – Handover Checklist

Project Name:

Project sponsor:

Project Manager:

DONE	DESCRIPTION	DATE DUE	DATE COMPLETED	STATUS	COMMENTS
	CLOSEOUT PER SPECIFICATION				
√				Not Completed	
				In Progress	
				Completed	
				Needs Review	
				On Hold	
				Overdue	
				Finalised - Accepted by Operations Team	
	REQUIRED TESTING				
	·				
	PUNCH LIST				

CERTIFICATES		 		
WARRANTIES / GUARANTEE	S			
OTHER				
PROJECT ACCEPTANCE		1	I	

PROJECT ACCEPTANCE

NAME	PROJECT MANAGER	SIGNATURE	DATE

NAME	PROJECT SPONSOR	SIGNATURE	DATE

NAME	OPERATIONS LEAD	SIGNATURE	DATE

Appendix 12 - Closure Report

Title:	<project title=""></project>
Background/Context:	Provide a brief explanation of the background and/or context of the project.
Outcomes Achieved:	Summarise outcomes achieved
Lessons Learned:	Articulate lessons learned and any suggestions for how they can be embedded in the organisation or other projects
Closure:	 Projects can be closed because they are completed successfully, or because it is clear the proposed benefits of the project are unlikely to be attained or are unlikely to be relevant in the current organisational context. To gain formal acceptance of project outputs, and confirm the realisation of the outcomes, the closing down of a project should be planned using the following formal Project Closure steps: Business Owner(s) acceptance of project outputs Issues Management Risk Management Project Team disbandment Financial close-out Asset Management Plan (where relevant) Post Project Responsibilities Post-project Review Outcome Realisation Reporting Formal closure by the relevant authority

Item No: 8.3

Subject: PRIORITISATION POLICY, AND FRAMEWORK AND MANUAL

Summary

Elected Members bear a heavy legislative burden when it comes to decision-making on behalf of the community. To enable Elected Members to fulfill their legislative obligations to make informed and responsible decisions on new investment proposals in the interests of the community, a Prioritisation Policy and a supporting Prioritisation Framework and Manual have been developed and are provided to the Audit and Risk Committee for consideration and endorsement, ahead of being presented to Council.

While transparent and evidence-based decision-making is necessary at all times, careful scoping and objective prioritisation is even more prudent with current economic conditions causing rampant cost increases and various supply-chain shortages.

The purpose of these documents is to support evidence-based decision-making by enabling objective assessments and prioritisation of options and projects.

Recommendation

That the Audit and Risk Committee:

- 1. recommends the Prioritisation Council Policy (Attachment 1) to Council for adoption; and
- 2. recommends the Prioritisation Framework and Manual (Attachment 2) for Council to note and Administration to adopt.

Background

The purpose of local government is to be a representative, informed and responsible decisionmaker in the interests of its community. As well as participating in public policy development and planning activities with other tiers of government, local government also provides a wide range of direct services to its community and a significant range of investments into various types of infrastructure.

Report

Council's role per section 6 of the Local Government Act 1999 is:

- (a) to act as a representative, informed and responsible decision-maker in the interests of its community; and
- (b) to provide and co-ordinate various public services and facilities and to develop its community and resources in a socially just and ecologically sustainable manner; and

- (c) to encourage and develop initiatives within its community for improving the quality of life of the community; and
- (d) to represent the interests of its community to the wider community; and
- (e) to exercise, perform and discharge the powers, functions and duties of local government under this and other Acts in relation to the area for which it is constituted.

In order to fulfil these roles, Elected Members (and those exercising delegated decision-making on their behalf) need to be well informed and need to have appropriate evidence upon which to base their decisions. Beyond this basic need, there is also an ongoing need to balance tradeoffs, as councils' ability to generate income often does not keep up with community expectations of services. Not all goals can be funded and delivered at the same time.

To manage this tension, investments need to be prioritised, so as to meet community expectations while maintaining organisational sustainability. While Elected Members, as community representatives, have the right to prioritise and make investment decisions, they must make informed and responsible decisions that are in the interests of the community.

Making such decisions without a transparent, objective and consistent framework has the potential to expose Elected Members to risks of unfair criticism if, for example, particular interest groups don't have their needs met. To mitigate these risks and support Elected Members in fulfilling their obligations of due diligence in decision-making, a transparent and objective methodology has been developed.

A proposed Prioritisation Council Policy has been developed and is provided as Attachment 1. The policy ensures prudent financial management by creating a system for ensuring that proposed activities can be objectively prioritised, properly planned, effectively executed and transparently reported on. It also introduces two levels of objectivity and rigour, in that prioritisation must occur both during the analysis of options (to ensure Council is informed about options explored and the rationale for recommendations made) and as part of assessing the overall project pipeline (to ensure Council can make informed investment decisions about how to best use available resources).

Refer Attachment 1

To support this policy, an associated Prioritisation Framework and Manual has been developed, which is provided as Attachment 2.

Refer Attachment 2

The Prioritisation Framework and Manual provides practical detail to guide prioritisation processes, ensuring the objectivity of assessments and securing sufficient information for Council to fulfil its obligation of making informed and responsible decisions. This includes the establishment of a Project Board with an appropriate level of expertise and to oversee the delivery of key projects and to assess potential projects through this framework and manual.

Additionally, the criteria developed ensures that Council's strategic priorities and values can be consistently applied. For example, in the 'Lifecycle Discount Model' which has been developed to enable the objective evaluation of options in non-commercial projects, Council's commitment to high quality spaces and services, as well as to the environment, is reflected in the discount rates. While all the domains in this model are important and valuable, the weightings allow Council's values to be applied in a practical and objective manner.

Furthermore, in assessing the relative priority of project X versus project Y, the Project Board (in preparation for providing advice to Council via the Chief Executive Officer / Senior Leadership Team) will be able to meet Council's obligations to ensure benefit to the whole community, through objective impact criteria such as 'Breadth of Benefit', 'Public Value' and 'Spatial Alignment'. These legislative obligations will be considered alongside others such as 'Inclusion', 'Accessibility' and 'Regulatory' as well as pragmatic considerations such as 'Organisational Readiness', risk to council and community, and 'Alignment with Strategic Plan'. Applying multiple lenses across both impact and urgency domains provides high levels of confidence that informed decisions can be made by Council.

Refining existing investment decision-making processes to ensure adequate scoping can be undertaken is particularly prudent at this time, when costs are unpredictable and, typically, rising rapidly.

While it is intended that the Prioritisation Framework and Manual will be a living document, which is updated as lessons are learned and improvements are identified, it is proposed that the Audit and Risk Committee, as part of their assurance role, review the document once each Council term for strategic alignment, and to ensure the parameters and values are valid.

Budget

There are no budget requirements associated with this proposal.

Life Cycle Costs

There are no life cycle costs associated with this proposal.

Strategic Plan

High quality policy development ensures alignment with strategic directions can optimise the delivery of strategic objectives and aspirations.

Council Policy

Project Management Council Policy (proposed)

Statutory Provisions

Local Government Act 1999

Written By: Manager, Strategy and Governance

General Manager: Strategy and Corporate, Ms S Wachtel

Attachment 1





Prioritisation



1. Purpose

The purpose of this policy is to ensure Council is able to make informed and prudent investment decisions about new initiatives and projects.

2. Scope

This policy applies to the whole of Council, excluding Alwyndor.

3. Roles and Responsibilities

Council	Adoption of the Prioritisation Policy, making investment decisions as		
	part of the Annual Business Planning process, putting forward proposals		
	for assessment		
Audit and Risk Committee	Reviewing the Prioritisation Framework and Manual once per Council		
	term to confirm strategic alignment		
Senior Leadership Team (SLT)	Adopting the Prioritisation Framework and Manual		
Project Board	Assessing potential projects through the objective measures outlined in		
	the Prioritisation Framework and Manual		
Employees	Participation in the analysis and scoping of potential initiatives, in		
	accordance with the Prioritisation Framework and Manual and Project		
	Management Framework		
Strategy and Governance Team	Responsible for:		
	- maintaining the Prioritisation Framework and Manual		
	- supporting compliance with the Prioritisation Framework and		
	Manual		
	- facilitating the Annual Business Planning process		
	- Executive Officer support to the Project Board		

4. Policy Statement

- 4.1 The City of Holdfast Bay administers millions of dollars on behalf of ratepayers every year. To meet community expectations, and ensure prudent financial management, activities must be objectively prioritised, properly planned, effectively executed and transparently reported on.
- 4.2 A Prioritisation Framework and Manual will be developed and maintained on Council's behalf by Administration to guide the investigation, development and analysis of potential initiatives, so that evidence-based recommendations about investment decisions can be made to Council. This document may be updated from time to time as best practice changes, or as lessons from implementation need to be applied. Updates must be approved by the Senior Leadership Team.





- 4.3 Once in every Council term, the Audit and Risk Committee will review the Prioritisation Framework and Manual to provide assurance that the objective parameters and the values reflected in option assessment criteria are valid and current.
- 4.4 The Prioritisation Framework must ensure that all new activities and potential projects commence with a confirmation of need and that investment decisions are staged, to enable proper scoping and objective prioritisation.
- 4.5 Prioritisation must occur both during the analysis of options (to ensure Council is informed about options explored and the rationale for recommendations made) and as part of assessing the overall project pipeline (to ensure Council can make informed investment decisions about how to best use available resources).
- 4.6 Project scoping, planning, analysis and evaluation for prioritisation may be undertaken at any time (i.e., as problems and opportunities are identified or initiatives are proposed), however, except in cases of emergency, investment decisions will be limited to being made as part of the annual business planning process. This will ensure both financial and staffing resources are available to deliver on investment decisions.
- 4.7 Proposals for activities should be framed according to the following steps:
 - an investigation to confirm the need
 - if a need is confirmed, approval of a budget to undertake investigations to inform preliminary scoping
 - preliminary assessment of priority by the Project Board
 - approval of budget for further investigations/concept design if priority is high (as part of Annual Business Planning processing year X)
 - development of full business case to confirm scope
 - approval of project budget (as part of Annual Business Planning process year X + 1)
 - detailed planning
 - delivery
 - handover and maintenance
 - applying lessons learned/continuous improvement.





5. Definitions

Key term or acronym	Definition
Administration	Staff, processes and systems that make up the organisation which delivers services to the community under the guidance of Council
Council	The elected body
New Initiative	A possible project or service proposed

6. Administration Use Only

Reference Number:		
Strategic Alignment:	This policy supports the delivery of the Strategic Plan by ensuring projects are appropriately assessed and scoped to ensure strategic alignment, and prioritised to ensure Council's stated policy positions and commitments are met	
Strategic Risk: This policy mitigates strategic risks by enable financial management and by providing an or transparent way of assessing the many poss Council could invest in, through ever recommendations		
Responsible Officer(s):	Manager Strategy and Governance	
First Issued / Approved:		
Minutes Date and Council Resolution Number:		
Last Reviewed:		
Next Review Date:		
Applicable Legislation:	Local Government Act 1999	
Related Policies:		
Other Reference Documents:	Prioritisation Framework and Manual	

Attachment 2



Prioritisation Framework and Manual October 2023



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CEO Message

In its Strategic Plan – *Our Holdfast 2050+,* Council describes its Vision for the city:

Protecting our heritage and beautiful coast, while creating a welcoming and healthy place for all in South Australia's most sustainable city.

This Vision drives all of the activities of the Council and is supported by three focus areas:

- Wellbeing Good health and economic success in an environment and a community that supports wellbeing.
- Sustainability A city, economy and community that is resilient and sustainable.
- Innovation A thriving economy and community that values life-long education, research, creativity and entrepreneurialism.

To deliver this bold vision, objectives and aspirations, Council needs to carefully prioritise its investments.

This framework serves as a structured methodology for evaluating and ranking the many initiatives that may be desirable, based on predefined criteria.

It helps us answer critical questions such as, 'what should we focus on first?', 'where should we allocate our time, money, and effort for maximum impact?', and 'how can we strike a balance between short-term gains and long-term goals?'

In essence, this Framework and Manual acts as a compass, guiding us through the maze of possibilities and enabling us to make informed choices that align with our strategic objectives and values. It provides transparency, accountability, and consistency in decision-making, thereby encouraging collaboration and buy-in from our stakeholders.

I invite you to use this Framework and Manual actively and provide ongoing feedback to the Strategy and Governance team to ensure it can be optimised for our organisation, and it can grow as our capability does.

1. Purpose

This Framework and Manual is designed to enable a clear, consistent and robust approach to the development and assessment of new investment proposals.

The bespoke prioritisation process outlined in this Framework and Manual is designed to accommodate the wide variety of projects undertaken by the City of Holdfast Bay, in a manner that is commensurate with the value of projects undertaken and the resources available. The purpose of this Framework and Manual is to:

- ensure Elected Members and other decision makers have the information they need to facilitate informed decision making
- allow the comparison of different proposals on an "apples for apples" basis by using standardised templates which will ensure that projects and initiatives can be more readily compared on similar terms
- ensure the impact of new proposals in relation to the longer-term strategic plans is understood
- help form an early understanding of the impact of new proposal on council budgets, debt ratios and, if required, council rates
- assist the prioritisation and scheduling of different proposals
- create a clear project pipeline that enables effective workforce planning, and accurate forward estimates and resource scheduling, and
- ensure that administration is appropriately prepared for, and resourced to deliver, on Council's decisions.

2. Background

The purpose of local government is to be a representative, informed and responsible decision-maker in the interests of its community. As well as participating in public policy development and planning activities with other tiers of government, local government also provides a wide range of direct services to its community and a significant range of investments into various types of infrastructure.

All of these activities require investment. However, councils' ability to generate income often does not keep up with community expectations. To manage this tension, investments need to be prioritised, to meet community expectations while maintaining organisational sustainability.

While Elected Members have the prerogative to make decisions at their pleasure, Council's role (per the *Local Government Act 1999*) is:

- (a) to act as a representative, informed and responsible decision-maker in the interests of its community; and
- (b) to provide and co-ordinate various public services and facilities and to develop its community and resources in a socially just and ecologically sustainable manner; and
- $(c)\,$ to encourage and develop initiatives within its community for improving the quality of life of the community; and
- (d) to represent the interests of its community to the wider community; and
- (e) to exercise, perform and discharge the powers, functions and duties of local government under this and other Acts in relation to the area for which it is constituted.

In order to fulfil these roles, Elected Members (and those exercising delegated decision-making on their behalf) need to be well informed and need to have appropriate evidence upon which to base their decisions.

This Framework and Manual provides a basis for objective, multi-disciplinary decision-making as a way of systematically structuring investment decisions so that the many competing interests and trade-offs that need to be considered can be reconciled.

3. Outcomes Being Sought

The outcomes have been aligned to Council's role, as defined by the Local Government Act 1999.

Outcomes	Elements to be considered	
Ensure informed and responsible decision-making	Understanding the impact and urgency of investment proposals	
	Being able to effectively compare different types of investment proposals	
	Understanding trade-offs	
	Ensuring proposals are effectively scoped	
	• Where possible, solving problems rather than managing them	
Social justice	Favouring equity over equality	
	 Applying Council's vision of a welcoming place for ALL 	
Ecological sustainability	Working within nature's constraints	
	Ensuring intergenerational equity	
	Taking a precautionary approach	
	 Applying Council's vision of being South Australia's most sustainable city 	
Quality of life	Investing in wellbeing	
	Investing in sustainability	
	Extending quality of life for ALL	
	• Applying Council's vision of protecting our heritage and beautiful coast	
	• Applying Council's vision of being a a healthy place for ALL	
Broad representation	Levels of reach/impact of investment proposals	
	Evaluation of opportunity costs	
	• Value for money for the whole community	

4. Prioritisation Approach

To manage the challenges of delivering a broad range of responsibilities in a way that is responsive to community expectations, both investment and resourcing need to be allocated thoughtfully.

The prioritisation approach adopts an outcomes-driven approach to assessing the merits of different investment opportunities by using multi-disciplinary criteria to categorise ideas and funding requests as short, medium or long-term priorities. Prioritisation based on such an approach is an efficient way of filtering and identifying options that are most likely to meet Council's strategic vision, assess and confirm the value of opportunities and prioritise resources accordingly.

To fulfill the purpose of this framework and manual, the priortisation approach:

- ensures the comprehensive exploration of problems to be solved and adequate time for project planning
- requires that investment decisions be staged, so that decisions can be made as information becomes available
- standardises assessments of benefits so that different proposals can be compared equitably
- provides an objective and inter-disciplinary methodology by which investments can be assessed and prioritised
- provides Elected Members with clarity about what might be traded off when decisions are made.

ABP Process

- Limited time for scoping
- Variable confidence in costings and options analysis
- Partially informed decision-making
- Over-runs likely
- Variable strategic alignment

Prioritisation Process

- Detailed scoping possible

- Higher confidence in costings and options analysis
- High levels of strategic alignment
- Informed and evidence-based decision-making

Ad-hoc investments

- Limited information available

- Inconsistent decisions

- Limited strategic alignment

- Subjective assessment of need

- Variable confidence in costsing and options analysis

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It is important to recognise that there is a separation of duties between (1) investigating and preparing proposed solutions, (2) analysing their merits and relative priority, and (3) making investment decisions.

Investigating and preparing proposed solutions is most appropriately within the remit of staff who have skills, experience and professional qualifications relevant to the matter in hand. Staff are best placed to correctly identify needs/problems/opportunities and provide evidence-informed recommendations on potential solutions.

Analysing the merits and relative priority of potential projects/initiatives is also best done by Administration who have a responsibility to provide 'frank and fearless' advice to decision-makers (Council). To enable an appropriate level of expertise and independence, a Project Board has been established to oversee the delivery of key projects and to assess potential projects through this framework and manual.

The Project Board provides a forum for review and oversight of projects being currently delivered and still in the pipeline. The Project Board is made up of three General Managers and four senior staff, selected for their skills (not their positions).

Making investment decisions is firmly within the remit and responsibility of Council. Nevertheless, to make effective decisions, Council must be well-informed of the consequences of potential choices. To this end, Council will receive advice on recommended options and the relative priority of projects in a methodical and ordered manner. Whether Council chooses to accept the advice provided will always remain a matter for Council.

5. Investment Prioritisation Principles

Principle	Definition
Investment decisions should be made in the context of long-term planning	Decisions should account for strategic commitments, interdependencies with other potential investments, changes in technology, and market and regulatory developments that are likely to impact community needs over the coming decades.
Investment decisions should be made in response to problems or opportunities, but must be contextualised in the broader systems they exist within	A shared understanding of the problem to be solved or opportunity to be pursued must be articulated before any investment decision is taken. Problems and opportunities should not be considered in isolation of other commitments, activities, outcomes or intentions.
Proposals must be well formulated	Adequate studies or investigations should be undertaken to identify risks to the viability and delivery of proposals. As part of this pre-planning, proponents should consider a range of options, including those that might make better use of resources. Investment in investigations should be proportional to the scale of the problem/opportunity and investment likely to be required.
An appropriate level of detailed analysis through a business case should be undertaken and preferred options should not be selected before undertaking detailed analysis involving multiple options	Business cases should include a rigorous examination of potential benefits relative to its costs, show the proposal to be resilient to change under a range of future scenarios, and show the split between public and private benefits.
Where a need for investment is identified, Council must ensure potential activities can be delivered affordably and efficiently	The overall pipeline of existing commitments should be considered as well as the most appropriate time frames and models of delivery.
Investment proposals should be evidence-based, strategically aligned, of demonstrable value to the community and prioritised for optimal community benefit	Investment proposals should be assessed for priority by a dedicated group of senior officers, using objective, multi-disciplinary criteria
Investment decisions should be taken incrementally, to avoid the sunk-cost fallacy	Investment proposals must be staged to facilitate adequate opportunity to correctly scope activities, and must provide an opportunity for proposals to be paused, deferred or abandoned when needed.
Trade-offs and opportunity costs must be considered	Advice to Council must include reference to trade-offs (for example, impacts on other activities) and opportunity costs (for example, activities that might need to be forgone if the proposal goes ahead).

6. Prioritisation Process

The prioritisation process provides a staged approach for:

- identifying problems and opportunities and assessing which of these are most important
- developing potential options to solve problems or realise opportunities and assessing these
 options to select those with the highest net value to the community
- developing in detail the preferred options in a business case. Ideally, this includes at least two
 options in addition to a 'do minimum' base case
- assessment of the proposal according to objective, multi-disciplinary criteria, and
- review of the implemented solution to understand whether benefits have been realised as expected, whether costs estimations were accurate, and what lessons can be learnt.

Prioritisation occurs at two levels, namely:

- the prioritisation of options within a business case (refer section 7), and
- the overall prioritisation of projects against each other (refer section 8).

The prioritisation process is, by necessity, closely aligned to planning and project management processes.



Gateways 1, 2 and 3 are 'hard' stops in that an idea cannot proceed to the next stage without authorisation an appropriate delegate, and without appropriate budgetary provisions being made to undertake necessary investigations.

Gateways 4, 5 and 6 are 'soft' stops in that they are concerned with monitoring and evaluation against already agreed criteria. Should there be departures from agreed expectations, matters may be escalated as necessary. **166**

Prioritisation analysis will occur at two intervals:

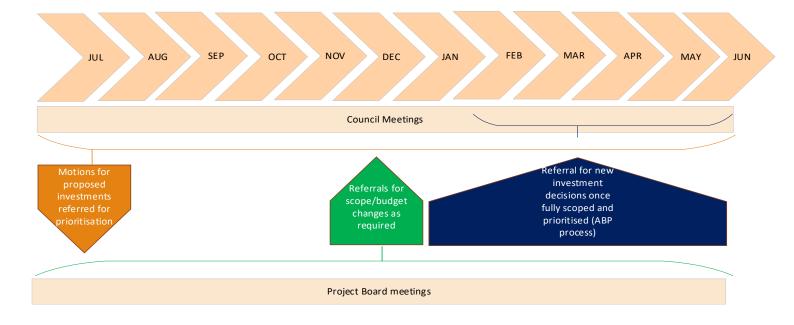
- 1. At Gateway 2 for the purposes of determining whether investment should be made in concept designs (or equivalent for non-construction projects), and
- 2. At Gateway 3 for the purposes of scheduling investments, thereby creating a project pipeline.

While the intention is to undertake project scoping, planning, analysis and evaluation for prioritisation at any time (i.e., as problems and opportunities are identified or initiatives are proposed) investment decisions will generally be limited to being made as part of the annual business planning process. This will ensure both financial and staffing resources are available to deliver on investment decisions.

It should be noted that proper scoping and planning, particularly for large or complex proposals, may take weeks or months to complete. Therefore, motions or initiatives proposed may not be ready for prioritisation or for an investment decision in the same year it is proposed.

Exceptions may be made in case of emergencies, but these should not be the norm. Therefore proposals for projects should be framed according to the following steps:

- 1. seek an investigation to confirm the need
- 2. if a need is confirmed, seek approval of a budget to undertake investigations to inform preliminary scoping
- 3. preliminary assessment of priority
- 4. approval of budget for further investigations/concept design if priority is high (as part of Annual Business Planning processing year X)
- 5. development of full business case to confirm scope
- 6. approval of project budget (as part of Annual Business Planning process year x + 1)
- 7. detailed planning
- 8. delivery
- 9. handover and maintenance
- 10. applying lessons learned/continuous improvement.



Approving Authorities

Decision	Project Size	Approving Authority	Timing	
Identification –	Small – Medium	Project Board		
confirmation of need	Large	Council	-	
Approval of budget for	Small – Medium	Chief Executive Officer		
investigations	Large	Council		
Authorisation to undertake a Prudential Report	Large	Project Sponsor	- Any time	
Based on the preliminary	Small	Project Sponsor	Any time	
assessment, what is the priority?	Medium – Large	Project Board		
		Chief Executive Officer or	-	
	Small	Project Sponsor /		
Approval of budget for		General Manager		
concept design			As part of annual	
	Medium – Large	Council	business planning	
			process	
Prioritisation based on the full business case	Medium – Large (not required for small)	Project Board	Anytime	
	Operational within approved budget	Chief Executive	Anytime	
Approval of project budget	All capital and operational unfunded	Council	As part of annual business planning process	
Approval of project plan	All	Project Sponsor	•	
Approval of detailed designs	All capital new	Council		
Veriations in soona time or	Up to 5%	Project Sponsor		
Variations in scope, time or budget	Over 5%	Chief Executive Officer /		
	Over 5%	Council	Anytime	
Project review and lessons	Medium -Large	Project Board		
learned	Exceptions / significant issues	Council		
Launch / opening	All	Council]	
Benefits review	Medium-Large	Project Board		

7. Prioritisation (Evaluation) of Options

To enable options within projects to be evaluated effectively, a full business case is required for mediumlarge projects that fall within the scope of the Project Management Framework and Manual.

The business case requires the use of either a Net Present Value or Lifecycle Discount Model to be used, so that options considered can be standardized within business cases.

Net Present Value

For commercial projects, a Net Present Value model will be used to evaluate options being considered.

Net Present Value (NPV) is the difference between the present value of cash inflows and the present value of cash outflows. NPV is used in capital budgeting to analyse the profitability of a projected investment or project.

The following is the formula for calculating NPV:

NPV = Cash flow / $(1 + i)^t$ – initial investment

i = required return or discount rate and

t = number of time periods.

A positive net present value indicates that the projected earnings generated by a project or investment (in present dollars) exceeds the anticipated costs (also in present dollars).¹

The NPV makes allowances that enables the cost to be expressed in present dollars – i.e. what the project would cost or earn in today's dollars over a fixed time period. The benefit of using an NPV is that it allows an assessment of the costs or revenue of projects over time and accounts for all monetary costs and benefits not just upfront costs. Many local government projects will have a negative NPV because the aim of the project is not to generate profit but to provide a social benefit, such as improved facilities or local services.

The NPV should include all known quantifiable costs and benefits such as capital costs, and other implementation costs such as license fees, training requirements, travel, on-going maintenance, operational costs including utilities and cleaning and any staffing implications. All revenue measures and identified savings need to be incorporated.

An NPV requires a discount rate which is used to allow for increasing uncertainty over time. The discount rate changes demand on the economic circumstances and the nature of the project. Two options are the overnight interest rate from LGFA or South Australian Government discount rates.

Projects with long life-cycles (over 20 years) must outline whole of life costs as an NPV. However, projects with shorter life-cycles may not benefit from an NPV and can be expressed in 5 year nominal terms.

An example of a NPV calculation follows.

Net Present Value				
	Option 1	Option 2	Option 3 –	
	Do nothing	Alternative Option	Preferred Option	
Benefits				
Rental income	319,350	584,180	405,030	
Residual Value	260,240	361,840	324,270	
Total Benefits	579,590	946,020	729,300	
Costs				
Capital costs	509,620	708,590	635,020	
Maintenance costs	65,880	91,600	82,090	
Operating costs	-	-	-	
Loss of existing income	354,800	283,890	-	
Total Costs	930,290	1,084,080	717,110	
NPV	-350,710	-138,060	12,200	

For complex commercial projects, it may be appropriate to engage a consultant to undertake the analysis and calculations.

Lifecycle Discount Model

For projects that do not have a commercial return for which NPV is not appropriate, a lifecycle discount model has been developed.

This model enables Council to prioritise (and adjust from time to time, as needed) the outcomes it values most and apply these values in a quantitative way.

Net cost / benefit is calculated by the formula:

total costs - total quantifiable project benefits = raw net (cost) / benefit

raw net (cost) / benefit – ((discount per annum x life of project) x raw net cost benefit) = adjusted (cost) / benefit

The discount rates are as follows:

Our spaces and services	20%
Environment	20%
Systemic equity	15%
Economic prosperity	15%
Community richness and identity	10%
Positive connections	10%
Positive state of being	5%
Formal and informal learning	5%

Our Spaces and Services

Healthy and active transport, health-supporting places, art and soul-nurturing, sports and leisure, community access to assets, welcoming places



Positive Connections

Connecting the community, connecting the region, connecting neighbours connecting people with services, connecting knowledge, mentors or champions

An example of a calculation follows.

Lifecycle Discount Model			
	Option 1 Do nothing	Option 2 Preferred Option	Option 3 – Alternative Option
Costs			
Capital costs	100,000	200,000	150,000
Maintenance costs (total over life cycle)	800,000	400,00	600,000
Operating costs (total over life cycle)	800,000	400,000	350,000
Opportunity costs (if known)	-	200,000	150,000
Total Costs	1,700,000	1,200,000	1,250,000
Benefits			
Partner funding	-	100,000	75,000
Income generated	-	50,000	25,000
Total Quantified Benefits	0	150,000	100,000
Raw net (cost) / benefit	(1,700,000)	(1,050,000)	(1,150,000)
Biodiversity Improvement (total environment discount over life cycle)	-	120%	-
Positive state of being (total over lifecycle)	-	-	35%
Adjusted (cost) / benefit	(1,700,000)	210,000	(747,500)

8. Prioritisation of Initiatives

To ensure that Council can discharge its legislative obligations to make investment decisions that provide the best outcomes for the community, a methodology has been developed to enable objective advice to be provided.

Prioritisation analysis will be performed by the Project Board and the outcomes will be presented to Council as part of the Annual Business Planning process each year.

Prioritisation analysis will occur via the use of transparent and objective criteria for impact (20 domains) and urgency (5 domains). The domains are:

Impact	Urgency
1. Public Value	A. Safety
2. Breadth of Benefit	B. Statutory Requirements
3. Spatial Alignment	C. Strategic Value
4. Environment	D. Asset Life
5. Wellbeing	E. Resource Availability
6. Inclusion	
7. Accessibility	
8. Commercial	
9. Economic	
10. Innovation	
11. Regulatory	
12. Alignment with Strategic Plan	
13. Existing Commitments	
14. Organisational Readiness	
15. Risk to Council	
16. Risk to Community	
17. Opportunity Costs	
18. Safety	
19. Reputational Impacts	
20. Amenity	

The definitions and scales for each domain follow.

Impact Criteria

	1. Public Value	2. Breadth of Benefit	3. Spatial Alignment	4. Environment	5. Wellbeing
Highly desirable 5	Uncontested / widely agreed as valuable to most	Beneficial to whole of the city / large number of people / or place of state or regional significance	Appropriate to the area / or substantially improves the area / or fills an identified gap in the area	Increases greening and/or improves biodiversity and doesn't negatively impact threatened species, and/or reduces greenhouse gas emissions, and/or reduces waste, and/or increases nature connection, and doesn't reduce water quality, doesn't create erosion or flooding and diverts stormwater away from the sea.	Proactively supports physical and/or mental health
Desirable 4	Strong and broad community support	Beneficial to a large part of the city / many people / or a place of district significance	Appropriate to the area / or improves the area	Contributes to greening, greenhouse gas or waste reduction, or biodiversity improvements	Contributes to good physical and/or mental health outcomes
Neutral 2	No significant community opposition	Beneficial to a ward / some people / or a place of neighbourhood significance	Marginal to no improvement to an area, but not inappropriate for the area	No detrimental impacts on environmental outcomes	No detrimental impacts on wellbeing
Low benefit 1	Minor community opposition / or supported by a small or localised cohort	Local benefits / or beneficial for a small/well-serviced cohort	Not ideal for the area, but some benefits relevant to some people	Neither improves environmental outcomes nor contributes to increased environmental impacts	Neither improves wellbeing, nor interferes with wellbeing outcomes
Undesirable 0	Widespread opposition / detrimental to most of the community	Exclusively benefits a well-serviced cohort / or of limited benefit to the city / or creates dis-benefits for some or more people	Inappropriate for the area / or creates problems for the area	Reduces greening or biodiversity, and/or increases greenhouse gas outputs or waste, and / or negatively impacts threatened species, and/or reduces water quality, and/or causes erosion or flooding, and/or increases stormwater loads	Contributes to ill health and / or impedes improvement of physical or mental wellbeing, and / or maintains a sub- optimal status-quo

	6. Inclusion	7. Accessibility	8. Commercial	9. Economic	10. Innovation
Highly desirable 5	Universal inclusivity by design / or actively encourages participation by marginalised groups	Full DDA compliance and accessible by design	Immediate and/or ongoing, substantial economic return to Council	Demonstrably contributes to economic development in the city	Encourages creativity or innovation / creates or supports an ecosystem / provides substantial learning opportunities for a large and diverse cohort / is visionary
Desirable 4	Inclusive of traditionally marginalised or historically excluded groups	Meets universal access principles	Some economic return to Council	Likely to have a positive economic impact on the city	Encourages creativity or innovation / provides learning opportunities for a diverse or cohort / supports positive change
Neutral 2	Considers inclusion of traditionally marginalised groups or substantially improves upon current levels of inclusion, even if not universal	May not meet universal access principles but improves existing access levels	Little or nil return to Council	Economic impact can't be quantified but will not be negatively impacted	Neither supports nor hinders innovation, creativity, learning or positive change
Low benefit 1	Inclusion not considered or does not improve upon existing levels of inclusion	Requires modification by Council to be universally accessible	No return but no cost	Some existing businesses may be negatively impacted, limited offsets within proposal	Little to no benefit to innovation, creativity, learning or positive change
Undesirable 0	Not inclusive, exclusionary by design	Exclusionary by design or reduces existing access levels	High cost to Council, no economic return	Significantly negative economic or widespread business impacts	Stifles innovation, creativity, learning or positive change / or entrenches status quo in opposition to Council's vision / or contributes to Council lagging behind others

	11. Regulatory	12. Alignment with Strategic Plan	13. Existing Commitment	14. Organisational Readiness	15. Risk to Council
Highly desirable 5	Contributes to furthering objectives of regulatory instruments	Achieves specific objective(s) or measure(s), or contributes to aspiration(s)	Is contained as a specific commitment in one or more adopted plans	Very fast and easy to implement, or resources for design, building and maintenance are already available within Council	No risk to Council in doing the project / activity or extreme risk to Council of not doing the project / activity
Desirable 4	Aligns with regulatory instruments	Supports objectives, measures or aspirations	Is strongly aligned to outcomes intended by one or more adopted plans	Easy to implement, or resources for design, building and maintenance can be sourced easily	Low inherent risk to Council in doing the project / activity or high risk to Council in not doing the project / activity.
Neutral 2	Neither supports nor contradicts	Neither supports nor contradicts	Not included in adopted plans but not contradictory to any existing adopted plans	Delivery and maintenance requirements are already known and accounted for (regardless of complexity of implementation)	May be some risks, but can be effectively managed
Low benefit 1	Contrary to lower- level regulatory instruments (eg, Council policy)	Little contribution to achieving objective(s), measure(s) or aspiration(s)	Limited alignment with outcomes intended by any adopted plans	Significant resources required that are not currently available but can be sourced with some effort	Medium to low risk to Council whether or not the project / activity proceeds or not
Undesirable 0	Contrary to existing regulatory instruments (ie, would require regulatory change)	Contradicts or impedes delivery of objective(s), measure(s) or aspiration(s)	Contradicts or works against the intended outcomes of any adopted plans	Resources are unavailable and unlikely to become available in the foreseeable future, or resources for parts of the process are available (eg, design and build) but not others (eg, maintenance and replacement)	High or extreme risk to Council of doing the project or activity

	16. Risk to Community	17. Opportunity Costs	18. Safety	19. Reputational Impacts	20. Amenity
Highly desirable 5	No risk to the community in having the project / activity done or extreme risk to the community of not doing the project / activity	No loss of existing use / amenity and no exclusion of future options	Public safety is enhanced	Positions the City and/or Council as a leader in the field	Amenity is demonstrably increased for a large number of users
Desirable 4	Low inherent risk to community arising from the project / activity or high to medium risk to the community if the project / activity is not done	No detriment caused by loss of existing uses, and/or limited exclusion of future options	Existing levels of safety are maintained	Positive reputational impacts for the City or Council	Amenity is increased for some users
Neutral 2	May be some risks, but can be effectively managed	Loss of existing uses is traded-off, albeit the new use is of greater benefit	Safety is neither enhanced nor reduced (ie, status quo)	Reputationally neutral	Amenity is neither increased nor reduced
Low benefit 1	Medium risk to the community if the project / activity proceeds;	Loss of existing uses, and/or future options are limited	Safety is improved at an increased cost	Limited reputational benefits	Amenity is decreased for some users
Undesirable 0	High or extreme risk to community if the project / activity proceeds	New use is beneficial only for an exclusive group	Safety is compromised and/or requires significant investment to reinstate	Negative reputational impacts	Amenity substantially decreases for most or amenity is increased only for an exclusive group of users

Urgency

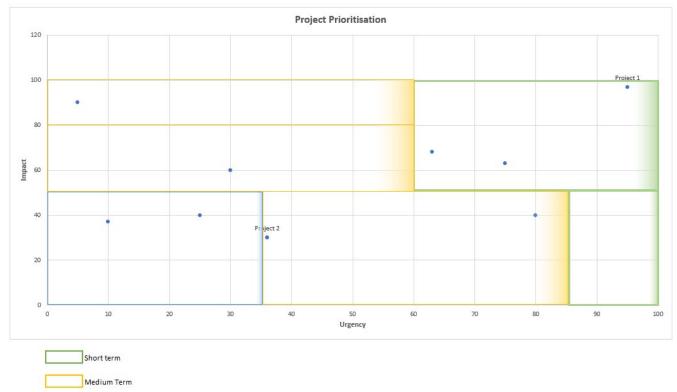
	A. Safety	B. Statutory Requirements	C. Strategic Value	D. Asset Life	E. Resource Availability
Highest Priority 20	Current danger to people or high risk and above relating to safety	A statutory requirement to act immediately	High strategic value in actioning now / or increased efficiency / or ongoing financial benefit from unplanned opportunity / or other clear benefits / or future costs minimised / or relates to a place of state/ regional significance	Involves assets beyond their scheduled end of life	Resources are available to design, deliver, manage and maintain
Second Highest Priority 15	Imminent danger to people developing or medium safety risk	A statutory requirement to act imminently	Minimal opportunity costs / or tangible benefits from acting now / or some synergies or efficiencies gained / or previously deferred commitment from a strategy or plan / or relates to a place of district significance	Involves assets at the end of their scheduled life	Resources can be allocated or sourced to design, deliver, manage and maintain without substantial impost on other activities
As soon as practical 10	Safety risks may develop over time if not addressed	A statutory requirement to act as soon as practical	Can be deferred without substantial imacts / or included in a strategy or plan without a scheduled timeframe / or relates to a place of neighbourhood significance	Involves assets that will be reaching end of life within a short period	Resources are not currently available but can be allocated in future / or resources are available for some stages but not all
When resources allow 5	Low risk of danger / low safety risks	Statutory requirement to act but no timeframe specified	Can be deferred without substantial imacts and not included in a strategy or plan / or relates to a place of local significance	Assets are not near end of life but could benefit from improvement or replacement	Resources are not currently available but are likely to become available in future / or resources are available only for early (planning and design) stages
Lowest Priority 0	No risks relating to safety	No statutory requirement	Can be deferred without substantial impacts and not included in a strategy or plan	Assets are not near end of life and replacement would offer little to no benefit / no existing assets involved in the proposal	Resources are not currently available and taking on the proposed activity would jeopardise other activities

Projects will be scored by the Project Board according to the criteria above, giving a total impact and total urgency score. For example:

	Proj	ect 1	
IMPACT	Score / 5	Urgency	Score / 20
Public Value	5	Safety	19
Breadth of Benefit	5	Statutory Requirements	19
Spatial Alignment	5	Strategic Value	19
Environmental	5	Asset Life	19
Wellbeing	5	Resource Availability	19
Inclusion	5		
Accessibility	5		
Commercial	3		
Economic	5		
Innovation	5		
Regulatory	5		
Strategic Alignment	5		
Existing Commitment	5		
Ease of Implementation	4		
Risk to Council	5		
Risk to Community	5		
Opportunity Costs	5		
Safety	5		
Reputational Impacts	5		
Amenity	5		
TOTAL IMPACT	97	TOTAL URGENCY	95

Project 2				
IMPACT	Score / 5	Urgency	Score / 20	
Public Value	1	Safety	13	
Breadth of Benefit	2	Statutory Requirements	9	
Spatial Alignment	1	Strategic Value	8	
Environmental	2	Asset Life	1	
Wellbeing	1	Resource Availability	5	
Inclusion	2			
Accessibility	1			
Commercial	2			
Economic	1			
Innovation	2			
Regulatory	1			
Strategic Alignment	2			
Existing Commitment	1			
Ease of Implementation	2			
Risk to Council	1			
Risk to Community	2			
Opportunity Costs	1			
Safety	2			
Reputational Impacts	1			
Amenity	2			
TOTAL IMPACT	30	TOTAL URGENCY	36	

Projects will then be indicatively scheduled for investment over a short, medium or long term time-frame, and a report on notional investment prioritisations will be provided to the relevant authority, for example:



Long term

At the next available annual business planning process, the relevant authority will then authorise the initiatives that are to be funded in that financial year, from the short-term pool.

Council may at any time choose to re-prioritise an initiative that has been prioritised as medium or long-term, noting that this will impact resourcing for other scheduled activities.

Item No: 8.4

Subject: SERVICE REVIEW POLICY, AND FRAMEWORK AND MANUAL

Summary

Periodic service reviews are a useful support in fulfilling the requirements of the *Local Government Act 1999* "to provide and co-ordinate various public services and facilities and to develop its community and resources in a socially just and ecologically sustainable manner".

A proposed Service Review Council Policy and Service Review Framework and Manual have been developed to guide service reviews and are presented for the Audit and Risk Committee's review and endorsement.

The underlying approach is based on a human-centred design¹ approach, with the rationale that to be of value, services need to be useful and effective for those using them. This approach provides assurance that the voices of users are heard in the design of services. It also provides an inclusive and psychologically safe way to design services (that is, 'designing with' not 'doing to' staff and service users).

Recommendation

That the Audit and Risk Committee:

- 1. recommends the Service Review Council Policy (Attachment 3) to Council for adoption;
- 2. recommends the Service Review Framework and Manual (Attachment 1) for Council to note and Administration to adopt; and
- 3. notes the report from the test service review (Attachment 2).

Background

Periodic service reviews are a useful support in fulfilling the requirements of the *Local Government Act 1999* "to provide and co-ordinate various public services and facilities and to develop its community and resources in a socially just and ecologically sustainable manner".

A range of service review models were considered, and a human-centred design (also known

¹ Human-centered design is an approach that aims to make services and systems usable and useful by focusing on the users, their needs and requirements. It differs from typical policy development processes (or service and product design processes) in a number of key ways: (1) it starts with the human need, not an organisational goal, (2) it is rooted in empathy, not process, (3) it requires co-design, not consultation, and (4) it is iterative and built on feedback, not presented 'fully formed'. Importantly, it devotes significant time to understanding and securing agreement on the problem to be solved, which saves resources and effort at the solution-implementation stage and is more likely to address root causes rather than symptoms.

as user-centred design) approach was selected on the basis that:

- to be of value, services need to be useful and effective for those using them; and
- this approach provided an inclusive and psychologically safe way to design services 'with' staff and service users, and not 'do to' them.

Report

In September 2022, the Senior Leadership Team (SLT) first considered a draft Service Review Framework and Manual. The primary objectives of service reviews were established at the outset to be:

- 1. ensuring the effectiveness of existing services, and
- 2. collecting data to enable evaluation of, and decisions about, service design and scope.

SLT requested that the Framework be tested and the Manager, Field Services volunteered to participate in the test. The service selected for the Framework test was event traffic management. The reasons this service was selected were:

- it spanned more than one work group.
- staff involved in the service were feeling various pain points but these had not been fully articulated or previously documented.
- existing processes were not mapped.
- service users were internal, hence risks were low.

Review Process

The review process followed the draft Service Review Framework with the following departures from intended processes:

- for efficiency, and as it was an internal service with known stakeholders, the initial stakeholder identification was undertaken via interview and desktop review, rather than as a workshop with the Service Review Team
- external stakeholders were not interviewed
- indicative timeframes were not applied, due to staff availability
- engagement with a service review sponsor did not occur.

Staff participating in the 'test' review responded positively throughout. All participants were honest, open and actively engaged in discussions. Participants advised that they felt the process was psychologically safe and welcomed the opportunity to put forward their perspectives and hear the views of others. Participants also entered the discussions positively disposed to identifying improvements and advised that they'd like to repeat such processes for other aspects of their roles.

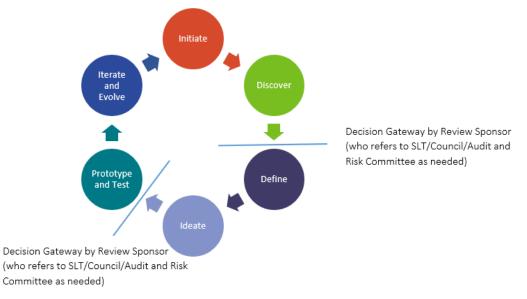
Findings - Service Review Model and Process

The Service Review Framework and Manual worked effectively during the test review. The human-centred design approach was instrumental in gaining insights into pain-points, achieving agreement on the problems to be solved, and allowing open consideration of possible solutions.

Based on the testing experience, minor tweaks were made to decision-making gateways in the model, to better reflect the rhythms of the process. An additional gateway was also added to

ensure that investments decisions about solutions could be made before any actions were taken to focus in on particular solutions.

The final proposed model, which is now in the Service Review Framework and Manual (provided as Attachment 1) is as follows:



Refer Attachment 1

The only significant issue that arose during testing was the ability to meet indicative timeframes. Reviews are dependent on competing priorities for both the lead team (Strategy and Governance) and the team involved in delivering the services.

In many instances when the lead team was available the service teams were not, and vice versa. At present, there is a general capability gap in human centred design and/or service design in the organisation. Based on the tests undertaken, within current resources, it is unlikely that more than two service reviews could be undertaken per year. Given the organisation has around 200 distinct services, it would be a long time before a full suite of reviews was undertaken (even accounting for the size differences within this tally, and the possibility of amalgamating multiple services into one review). This is a matter that will need to be considered as part of the implementation of the Service Review Framework and Manual, and SLT's scheduling of proposed reviews.

Findings – Service Review: Event Traffic Management

For the Event Traffic Management service review, a Discovery Report was submitted to SLT in February 2023 which identified a number of pain points and opportunities for improvement. Some were relatively minor, needing a one-off clarification. Others were symptoms of deeper issues.

The two key root causes of most of these pain points were identified as being:

- services have grown significantly without being intentionally designed to scale, or fully costed to ensure optimal service models are implemented; and
- there are resulting conflicts in priorities between different parts of the organisation with no clear process in place to resolve them.

In considering the Discovery Report, SLT agreed to the Review continuing to the Define and Ideation stages.

Through the Ideation stage there were several matters identified that could be addressed through day-to-day improvements. For example, there was already a notable increase in internal collaboration as a result of the service review process. It was also noteworthy that operational Depot staff became increasingly involved in the service review as it progressed, and also increased participation in the planning of event traffic management more generally.

Key findings from the Definition and Ideation stages were that:

- there were risks associated with the current approach to event traffic management; and
- the current approach was having a negative effect on Depot staff and interfering with their ability to complete other regular work.

One of the ideas proposed from the ideation phase was that elements of event traffic management be considered for outsourcing. This was perceived as potentially reducing the risk profile of these activities and alleviating pressures on delivery of other work by Depot staff. Following discussion with the service review team and the General Managers involved in event traffic management it was agreed that the 2023-24 events season would continue as is, with the following adjustments to be considered during the season:

- the introduction of a casual pool of Depot staff who can undertake event traffic roles and/or backfill regular Depot staff to undertake this work.
- traffic planning templates have been developed as a part of the service review which simplifies and reduces the work required to plan for regular events.
- more detailed recording of data relating to time taken in planning and delivery of event traffic management and recording the impact on the other work of the Field Services team to quantify the opportunity cost of 'in-house' delivery.
- seek quotes for event traffic management for one/two events to enable comparison (These have been obtained and will be assessed against actual cost /opportunity cost for a significant event in 2023-24).
- monitor income from events to see if it adequately covers for the cost of event traffic management.
- it was acknowledged that the General Manager Community and Business 'owns' event traffic management.

A Service Review Report² detailing the process and findings is provided as Attachment 2 and comments are welcome from the Audit and Risk Committee about the structure and content, which will inform future reports.

Refer Attachment 2

Findings – Service Review: Test 2 – Community Transport

When it became apparent that certain aspects of the Service Review Framework and Manual were not going to be fully tested during the 'Traffic Management for Events' test, a second test commenced, to review the Community Transport Service.

² NB: the model diagram is slightly different in the Review Report as the service review was being undertaken in accordance with the draft Service Review Framework and Manual. The model has now been updated based on this test.

This service review was expected to test the elements of the Framework that were not previously tested, namely:

- involving external stakeholders
- applying expected timeframes
- engaging more fully with the review sponsor.

While the Community Transport service review is still in progress, one of those elements has been tested successfully, namely engaging with external stakeholders. Interviews, field observations and participation in the service were the techniques that were successfully employed to gather external stakeholder data. This has provided a richness of understanding about community desires as well as pain points in existing service delivery methods. While a number of improvements have been made as issues have been identified, outcomes for this service review are still pending.

Unfortunately, timeframes have not been met in this test. The primary reason is other priorities for both the lead team and the service team. The review started out efficiently, but was quickly overcome by other key priorities. While delivery will improve with practice, there is nevertheless a resourcing shortfall, as identified above.

Data about service costs is currently being collected, after which the Discovery Report will be completed. Engagement will then occur with the Review Sponsor, to present what is known and to seek direction on next steps (and thereby test the third element missed previously).

Conclusions

Despite resourcing challenges, the Service Review Framework and Manual is considered successfully tested and ready for formal adoption, as it meets the two objectives of service reviews, namely:

- 1. ensuring the effectiveness of existing services, and
- 2. collecting data to enable evaluation of, and decisions about, service design and scope.

In keeping with the human-centred design approach, it is intended that the Service Review Framework and Manual continue to be a living document, which is updated as lessons are learned and improvements are identified.

Nevertheless, there are certain policy directions that underpin the document, which should be set by Council. To this end, a Service Review Council Policy has been drafted and is provided as Attachment 3.

Refer Attachment 3

Budget

There are no current budget adjustments requested as part of this proposal.

Life Cycle Costs

Life cycle costs are dependent on the volume of service reviews required. At current resourcing levels, a small number can be undertaken each year.

Strategic Plan

Service reviews provide an important opportunity to ensure alignment with strategic directions and that services are being delivered in ways that optimise the delivery of strategic objectives and aspirations.

Council Policy

Service Review Council Policy (proposed)

Statutory Provisions

Local Government Act 1999

Written By:	Manager, Strategy and Governance
General Manager:	Strategy and Corporate, Ms S Wachtel

Attachment 1



Service Review Framework and Manual July 2023

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Message from the CEO

As a Council, we want to be known for delivering great things—and service reviews are a genuine effort to deliver the best possible services for our community.

In its Strategic Plan, *Our Holdfast 2050+*, Council describes its vision for the city:

Protecting our heritage and beautiful coast while creating a welcoming and healthy place for all in South Australia's most sustainable city.

This vision drives all Council activities and is supported by three focus areas:

- 1. Wellbeing good health and economic success in an environment and a community that supports wellbeing
- 2. Sustainability a city, economy, and community that is resilient and sustainable
- 3. Innovation a thriving economy and community that values life-long education, research, creativity, and entrepreneurialism.

To deliver on this vision and be true to the intent of the focus areas, we are about to embark on a program of service reviews. The purposes of these reviews are:

- 1. To evaluate the effectiveness of existing services.
- 2. To collect data to enable evaluation and decision on which services the organisation should invest in.

We all know that the range of services being demanded of councils is growing. At the same time, our community quite rightly expects a high standard of service. This means we need a robust review method that is attuned to service users' needs.

Service reviews will be undertaken using a human-centred design method. This manual explains what this method is all about. In essence, it means that we need to develop a richer understanding of our community's experiences. We then use this to increase service effectiveness and develop novel solutions or improve existing service designs.¹

I am committed to ensuring staff and service users are fully engaged in the service reviews. They will be conducted 'with' staff rather than being done 'to' staff and users of the services.

¹ Adapted from <https://www.vic.gov.au/introduction-human-centred-design>.

1. Purpose

This document is designed to provide guidance for a program of service reviews across all City of Holdfast Bay (Council) operations. It outlines the reasons for undertaking service reviews and the methodology adopted.

2. Background

The purpose of local government is to be a representative, informed and responsible decision-maker in the interests of its community. As well as participating in public policy development and planning activities with other tiers of government, local government provides a wide range of direct services to its community.

Like all service providers (whether private, public or otherwise), its actions and activities must be of value to the intended users. There is no point in providing a service no one wants or providing it in a way that inappropriately limits access. That is, local government must be effective.

And like all tiers of government, there is consistent pressure to do more with less to meet a diverse range of needs and growing expectations. The needs of the many must be balanced against the needs of vulnerable populations, and cost–quality relativities require consideration. That is, local government must be efficient.

Additionally, as a public entity responsible for furthering the best interests of its community, local government must consider returns on its investments (social, environmental, and financial) and make inevitable trade-offs. The precautionary principle, intergenerational equity, and accountable governance all factor into decision-making. That is, local government must be a responsible leader (not reactive to populism).

To promote effectiveness, efficiency, and responsible leadership, the City of Holdfast Bay has created a service review framework that enables our organisation to employ a permanent user-informed, explorer mindset for continuous improvement.

It is important to note that service reviews are not punitive, nor is it their purpose to introduce efficiency dividends. Service reviews should be approached as opportunities, not perceived as threats. As such, this framework does not include scores or grades and is based on a co-design, 'doing with, not doing to' approach.

3. What Are Services?²

A service is something that helps someone do something—like being able to get to the shops, build a house, or play a sport.

Services comprise a group of transactions, activities, and information that share a user need. They might take place online or offline. The user might need to deal with different parts of government or third-party suppliers to use the service to get what they need done.

Government services are different from commercial services because often the user doesn't have a choice in how to use the service. The user must go through the service in the way the government has designed it, and often the design is not simple or easy to follow.

² Adapted from <https://www.dta.gov.au/help-and-advice/build-and-improve-services/service-design-and-delivery-process/own-whole-user-experience>.

4. What is a Good Service?³

A good service enables a user to complete the thing they set out to do as seamlessly as possible, without having to understand how the organisation providing it does so. There is a view that a good service is like a verb⁴—it tells what the value to the user is and helps them to do something. This contrasts with a service described as a noun, which tells what the function of the service is from the organisation's perspective. For example, you can describe a service as 'parking legally' (*verb*) versus 'explation notices' (*noun*).

A user can do what they need to do, from start to finish. A good service considers everything from the moment a user is considering doing a task to the moment they have completed it. And it accommodates any further steps a user might need to take—or support they might need afterwards.

A user has to do as few things as possible. Good services get a user to take the smallest number of steps possible to reach their goal, including reducing how much data a user must give. For example, using a postcode lookup to help find an address rather than asking the user to enter the address manually or asking users to review information they provided previously rather than having them enter it again. This improves accuracy by reducing opportunities for mistakes.

Where there is a risk, a user will fail if they act too quickly; a good service slows them down. For example, it will show a warning screen before people make significant changes to their personal data.

There are no dead ends. Every user needs to be led to a clear outcome, even if they are not eligible for the service itself. If somebody's needs are outside the scope of the service, the service should clearly direct them to what to do next. No user should be left stranded within a service without knowing how to continue.

It's straightforward to get human assistance. If people get stuck when doing something by themselves, a good service gives them an easy way to communicate with a human being. This might be over the phone or in an email, face-to-face, or online. Ideally, the service will cater for most users' needs, and people will not need to make unexpected contact. But there will always be exceptions—for example, a technical problem nobody could have predicted or a user who is unable to provide a particular piece of evidence and so cannot carry on using a service without help.

Internal structures are not shown to users. A good service does not unnecessarily expose a user to the internal structures behind it, even if the service has to work across organisational boundaries. For example, if a user needs to access saved information that's stored in two different back-end systems, they do not need (and probably do not want) to know this. What they need is one quick way of accessing their information.

The service is easy to find. A service needs to be easy to find in the first place. Because most people will not know exactly how to reach their goal, it's important to choose a good name for your service.

What the service is for and what it involves are clear. The purpose of a good service is clear to a user before they start using it. People understand what it will do for them—and if they are eligible to use it in the first place.

How decisions are made is clear. When a user receives a decision, a good service makes sure it's obvious how this decision was made. People must have a way of challenging a decision if they need to. This helps build users' trust and confidence both in the service and in Council.

The service is consistent. We should make a service look and feel like one service to users. Even if different organisations are involved or users get information in more than one way (like an online form followed up by a letter). How you collect, store and display data should also be consistent. This helps users understand and use the information and know what is expected of them.

³ Adapted from <https://www.gov.uk/service-manual/design/introduction-designing-government-services>.

⁴ <https://designnotes.blog.gov.uk/2015/06/22/good-services-are-verbs-2>

The service works in a familiar way. People expect services to work in a certain way based on what they have seen or used before. A good service uses familiar design conventions to help people use it easily. For example, users who have signed up for a new service often expect an email confirming this. It takes into consideration changing behaviour or emerging patterns, too—like email addresses replacing usernames as the usual way of signing into a service online.

Everyone can use and understand the service. People have different needs at different times and in different circumstances. A good service is inclusive so that everyone who needs it can use it as easily as possible. It uses the same language as its users to make things easy for anyone to read and understand. It looks out for places where users might be excluded—like insisting people make contact in one way or accepting only specific documents as evidence.

Users and their information are treated with care and respect. A good service does not treat users with unnecessary suspicion or scrutiny, like running identity checks that are not needed. People working on the service handle users with care. The service does not put people at risk or do things that are not in the users' best interests. For example, it minimises the personal data collected from users.

Services use products

A service may need smaller products to meet user needs. For example, being able to build a house might involve these products:

- information on what you need to build a house—an information product
- an online assessment process—a web application product
- booking a planning hearing—a calendar booking product
- getting an approval—a process that creates a digital or physical document
- paying relevant fees—an online payment product.

If these products are owned by different parts of government that are working in different ways, it can make it harder for the user to do what they need to do (*user journey*) and, therefore, create a poor user experience.

User experience and user journeys

A user journey is the series of processes and touchpoints that the user needs to go through to complete the service. Different users could go through similar user journeys but may have completely different user experiences.

For example, a user who doesn't have a stable internet connection may have a bad user experience when trying to complete the service. Another user may go through a similar journey with a good connection and have a good user experience.

The aim is to try to create a good experience for all users and all journeys. This is for all interactions with Council, even if they are not desirable activities. For example, if someone is paying a fine, they should be assured that it is legitimate, the process is simple, they are treated fairly, and the interaction is as pleasant as it can be.

5. Service Principles

The foundations that underpin our framework are our corporate values and behaviours, captured in the acronym ARISE:

Achievement-delivering things that matter in ways that work

Respect—constantly asking questions, not being seduced by our own expertise

Innovation-challenging ourselves to keep improving

Simplicity—doing the hard work to make it simple

Engagement—feeling what the service user feels.

The planning, review and assessment of services are driven by ARISE while specific principles show that services are:

- **best delivered by great staff**. Staff who work in a safe and progressive environment and are committed to quality service delivery will give the service user the best results.
- **user-centric**. Services exist for users; they can only be assessed against how well they meet user needs. Service users include individual persons, groups, and the whole community.
- **future-focused**. Service planning and reviews must consider improvements in the short and longer term. There is a commitment to pursuing innovation and continuous improvement.
- **evidence-based**. Decisions and recommendations are based on data and evidence on levels of performance and industry-wide good practice.
- **cognisant of value for money**. The service planning process should consider the value-for-money principle to ensure the best outcomes are achieved with available resources.
- **outcome-oriented**. Outcomes represent value for service users. Service planning and reviews must consider outcome performance, not just activity or output performance.
- **socially and environmentally sustainable**. The service planning and review process should aim to achieve best possible outcomes for social and environmental sustainability initiatives undertaken by Council.
- **designed for systems thinking**. A service is a system of components and players that work together to produce outcomes for service users. The review must engage with all system components to understand their contribution to service performance. This, in turn, provides a greater ability to see services holistically.
- **equitably delivered**. Services will take into account the barriers or impediments to access by some cohorts. Services will be designed to limit these barriers.

6. Outcomes Being Sought

To ensure the services provided are effective, efficient, and appropriate, the following criteria must be considered (in order of importance):

Service Outcome	Elements To Be Considered
High Service User Value	 Reach of service to community—cohorts defined, the right people are getting the right services in the right ways
	 Impact and magnitude of any changes to service on the service user
	Critical vs discretionary service for council operations, community, etc.
High Service Performance and Satisfaction	 How well is the service performing (meeting key performance indicators, standards, etc.)?
	 How satisfied are the service users?
Strong Strategic Alignment	The degree to which the service is required by legislation or regulation
	How well the service is supporting the achievement of strategic goals
	Any upcoming changes that will impact the service and its viability
	Any other identified opportunities for improvement, cost savings, efficiency gains, etc.
Value for Money	Qualitative identification of service as a cost versus an investment
	Evaluation of opportunity costs
	Best 'bang for buck'
Lowest Possible Service Costs	Unit cost of service per capita, including direct, indirect, and opportunity costs of service provision
	• Any possible efficiencies via automation, economies of scale, service redesign, etc.
	 Funding sources for the service and ongoing appropriateness of the existing funding model
	How revenues and costs are changing and trending
	Impact on short, medium, and long-term budget

7. The Approach

Service reviews are an ongoing activity for learning organisations. A learning organisation is an organisation skilled at creating, acquiring, and transferring knowledge, and at modifying its behaviour to reflect new knowledge and insights.⁵

Reviews are scaled depending on the complexity of the service being reviewed. The frequency of a review should be appropriate to the nature of the service and its operating environment. The principles, outcomes being sought, and the process to be followed are common to all reviews, no matter the size of the service or scale of the review.

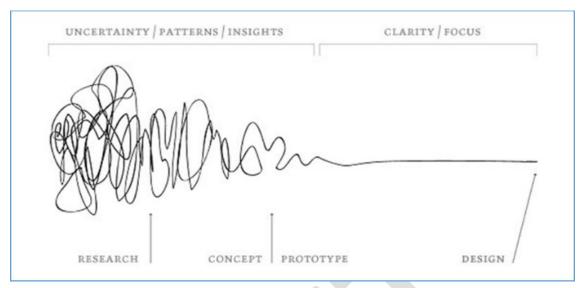
The City of Holdfast Bay is committed to inclusion and honouring lived experience. Accordingly, it will take a human-centred design approach to service reviews.

Our approach is based on:

- Human-centred design principles
 - o Start with the human.
 - o Talk to real users and feel what they feel.
 - o Make sure you understand the problem you're trying to solve.
 - o Ideate divergently before you converge to solutions.
 - o Test your hypothesis(es).
 - o Prototype quickly, iterate from there (to get from A to B, build the skateboard first, not the Rolls-Royce).
 - o Keep testing/getting feedback and keep building.
- Engaging in the process with an explorer's mindset
 - o Assume nothing.
 - o Ask why at least five times, and then ask some more.
 - o Dig for the root cause.
 - o We are all creative, given space and opportunity.
 - o No idea is stupid, albeit some are less practical within shorter timeframes.
 - o Moonshots are worth exploring.
 - o It's OK to change your mind.
 - o Look for all the shades of grey.
 - o Divergence before convergence—seek out unexpected lenses to view through.
 - Understanding that learning may cause us to fail, which is best done fast and forward
 - o A failed first attempt at learning is nothing to fear or be ashamed of.
 - o Failures are an important part of continuous improvement cycles.
 - o Fail in order to learn, not to embed poor practice.
- The underpinning principle of agile delivery is: iterate, iterate, iterate.
 - o Don't expect to get it right the first time.
 - o Try, collect feedback, tweak, rinse, repeat.
- A deeply held belief that progress is a team sport and we're all playing on the same team.

⁵ <https://hbr.org/1993/07/building-a-learning-organization>

Acknowledging the process for those participating may resemble this:



Why use a human-centred design approach?

A human-centred process helps us design services quickly and reduces risk. By teams delivering quickly and adjusting their work to the new information they get about users and their needs, they reduce the risk of building or creating the wrong thing.

Deliver the right thing

The process focuses teams on building end-to-end services, which helps users get things done in the way that suits them best.

Deliver quickly

Frequent incremental changes increase value for users quickly and give opportunities for users to provide feedback on what needs more work. This helps the team prioritise its resources so they keep building what users actually need.

More visibility

Teams discover very quickly if something is not meeting users' needs.

More adaptable

The process is iterative and transparent, with quick feedback loops. Teams learn more about user needs earlier on and can make better decisions to meet them with the available resources.

The process helps teams work in progressive increments designed to meet specific needs. They can test those parts of the service and quickly adjust to iterate them.

Manage risk

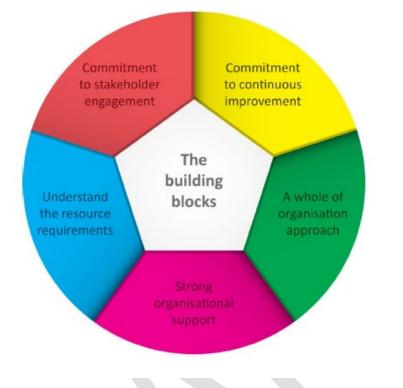
The process allows teams to break large risks into smaller, more manageable risks. Teams tackle the most valuable thing first.

Teams can also test assumptions, especially the risky ones, early, which allows them to make data-driven decisions based on rigorous research.

Releases become routine for the team rather than major milestones. They won't waste time working towards a big change only to find out it doesn't help users.

8. Program and Service Review Governance

The Senior Leadership Team (SLT) is ultimately responsible for the organisation's quality of service delivery. As such, the SLT will ensure the building blocks for high-quality service reviews are in place.



As the authorising body, SLT will consider the overall Service Review Program. The Program Sponsor is the General Manager of Strategy and Corporate. The Manager of Strategy and Governance will be the Program Manager, and the Corporate and Service Planning Lead will have lead responsibility for program support and project management of the reviews.

The Program team (Strategy and Governance) will be responsible for:

- developing and maintaining a service catalogue (which appears in this document)
- designing and refining the service-review approach
- making recommendations to the SLT on the schedule of service reviews
- ensuring service reviews are conducted appropriately and at the right time
- conducting lessons learnt for each service review and making improvements based on these
- reporting to the SLT on the results of service reviews.

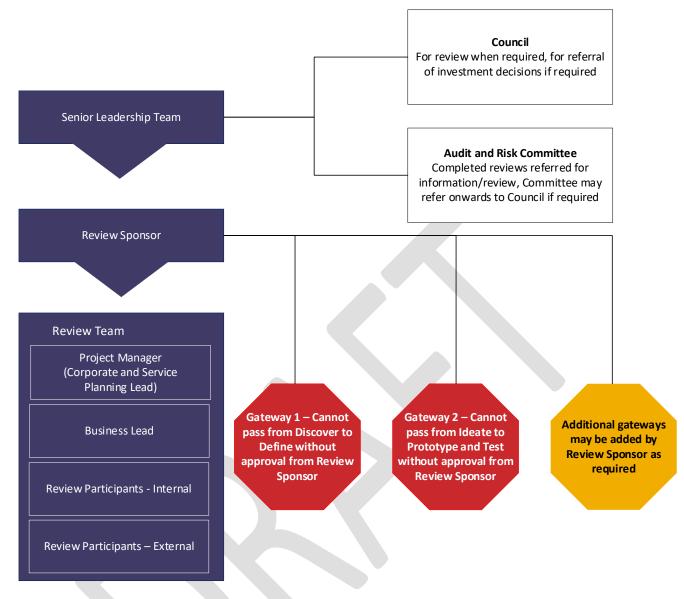
The Senior Leadership Team will:

- at least once a year, review and confirm the Service Review Forward Program
- appoint a Review Sponsor to each service review, which will be the General Manager of the area being reviewed
- ensure the outcomes of reviews are, where appropriate, communicated to the Elected Members and the public via a report to the Audit and Risk Committee and/or Council as appropriate.

6

⁶ Source: Australian Centre of Excellence for Local Government, Service Delivery Review: A how to manual for Local Government, June 2015

The governance for each service review is as follows:



Review Sponsor—General Manager of service being reviewed. Responsible for overseeing the review, signing off on the project plan, ensuring adequate resources are engaged, approving progression through key gateways or deciding to refer decisions to the SLT or Council as required, managing the political interface, facilitating whole-of-organisation matters, and removing roadblocks to the process.

Project Manager—Corporate and Service Planning Lead. Responsible for developing the project plan, managing the review process, updating the Review Sponsor, maintaining project documentation, and developing relevant reports.

Business Lead—Manager responsible for the service being reviewed. Responsible for input into developing the project plan, ensuring adequate team resources are available to participate in the review, providing relevant information to the review, and acting on any implementation actions arising from the review.

Review Participants – Internal—staff involved in delivering and supporting the service. Responsible for participating in the review and providing relevant information to the review. Staff may be from the team, be corporate staff or come from other teams involved in delivering the service or from areas not aligned with this particular service. Staff may also include contractors if services or parts of services are outsourced. Consideration will be given to seconding staff from other councils (or similar organisations) to assist in the review by providing a fresh view.

Review Participants – External—users of the service. Responsible for providing input into the review, including candid information about their objectives in using their service, their satisfaction with the current service, suggestions for changes, and testing prototypes of changes (if relevant). External Review participants may be paid for their time if deemed appropriate. Appendix 3 provides guidelines.

Outputs

As part of the service review program, the following outputs will be generated:

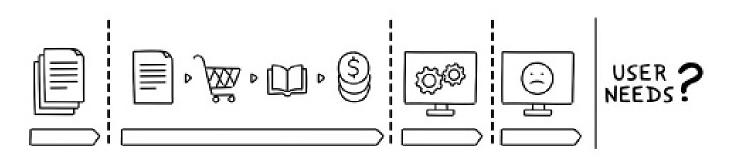
- 1. Service Catalogue A service catalogue, including service levels where available/appropriate, has been developed and will be updated following each service review (see Appendix 1).
- 2. Service Review Forward Program While service reviews may be required on an ad-hoc basis in response to changing conditions, a schedule of reviews will be developed.
- 3. Project Plans—A project plan will be developed for each service review (see Appendix 5 for template).
- **4. Service Review Reports**—A Discovery Report will be developed and published via a report to the Audit Committee at the end of the 'Discover' stage. Further reports should be developed if implementing additional stages (see Appendix 15 for a template).

9. Human-Centred Design Method

The purpose of undertaking service reviews is to ensure the right things are being done in the right ways.

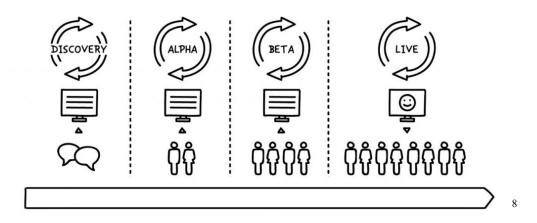
Traditional models of service review start with a policy need or an organisational review of services and converge on solutions as swiftly as possible. While they can often achieve efficiency gains, it is more difficult to extract effectiveness gains reliably from traditional approaches.

Traditionally, governments have built services in response to policy needs. Teams or experts typically assess the need, get the resources required, and then build and launch the service or system. While consultation may occur, true user needs would be discovered after the thing was built and finished, commonly through a complaints process.



⁷Human-centred design approaches change this to start with user needs. The team continues to research with users (rather than relying on expertise) through all stages to check they are building and improving the right thing.

⁷ Source: <https://www.dta.gov.au/help-and-advice/build-and-improve-services/service-design-and-delivery-process/getting-started-service-design-and-delivery-process>

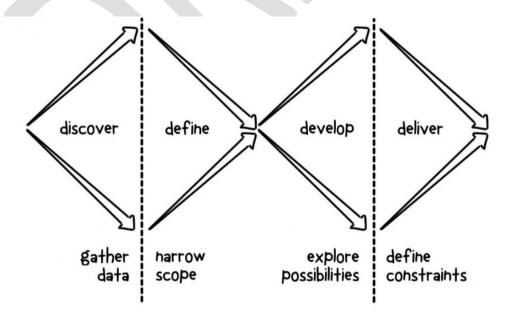


A human-centred design approach emphasises unbiased discovery to ensure that problems are correctly defined before solutions are developed and evaluated. This model seeks divergence and a broad range of information regarding the human experience of service users before any suggestions for changes are put forward. Changes (or solutions to fix problems within services or improve them) are then prototyped and tested iteratively with users.

If, after discovery, no changes or improvements to services are needed, a Discovery Report will close off the review. However, in most cases, some improvements will be identified during the Discover stage. Further stages (including reporting) can be scaled to the size of proposed or required changes.

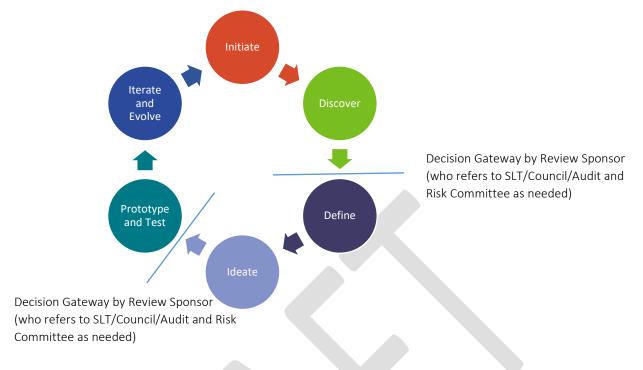
The process requires different phases of divergence and convergence:

- In the **Discover** stage, you go wide with user research to understand the problem.
- In the **Define** stage, you narrow in on the biggest pain points to understand them thoroughly so you can hypothesise.
- In the **Ideate** stage, you come up with possible solutions for testing your hypotheses.
- In the **Prototype and Test** stage, you test your hypotheses using prototypes until you can define a minimum viable product.
- In the **Iterate and Evolve** stage, you build the minimum viable product and then refine it.



⁸ Source: <https://www.dta.gov.au/help-and-advice/build-and-improve-services/service-design-and-delivery-process/getting-started-service-design-and-delivery-process>

Based on a human-centred design approach, the methodology for service reviews in the City of Holdfast Bay has the following elements:



The following pages provide an overview of these elements.

It should be noted that there are two gateways in this process at which the Review Sponsor must determine whether to proceed:

- after the Discovery report is completed, and
- after Ideation.

The Review Sponsor may choose to refer the decision to the SLT or Council or both.

At their discretion, the Review Sponsor may request additional 'gateways' in the process.

Initiate

Aim	To commence a service review	
Key activities in this stage	 The SLT decides to undertake a service review. A Review Sponsor is appointed (an SLT member). A Project Plan is developed by Corporate and Service Planning Lead and the manager responsible for the service. 	
Who is involved	 The SLT Strategy and Governance Team who delivers and/or supports the service 	
Outputs produced during this stage	Project Plan	
Things to think about	 Do I have any previous experience of service reviews? How am I feeling about a review of services I'm involved in providing? What data might be needed to inform the review? How easy is it to source? Are there any days/dates/periods that should be flagged in the project plan? Who else in the organisation is involved in delivering this service? 	
Timeframe	 Who else in the organisation is involved in derivering this service? Once the SLT decides to commence a service review, developing a project plan should be relatively fast. A kick-off meeting will be held firstly with the service manager (Business Lead), and then the service delivery team (Review Participants – Internal) will introduce the process, gather data for the project plan, and agree on how the project will proceed and how the team will work together. There is a second opportunity in the Discover stage to invite internal participants to the team if they're missed at this stage. Expected delivery timeframe: 2–3 weeks 	
Templates	Project Plan (see Appendix 5)	

Discover

Aim	To understand:	
	• What the service is and why we provide it	
	• Trend data over a 3–5-year period if possible	
	How the service currently operates	
	 Existing business processes 	
	 What tools/products are used to deliver the service? 	
	 Costs to the organisation/funding sources and costs to users 	
	Who are the users of the service?	
	• What is their experience of the service?	
	 What are the touchpoints for the service? 	
	• What channels do people use to access and receive the service?	
	 Is anyone currently excluded from this service? 	
	• Value of the service to the community, the organisation, and individual users	
Key activities in this stage	Mapping business processes	
	 Identifying stakeholders and main user groups 	
	Undertaking user research to understand how users use the service	
	Calculating costs	
Who is involved	Review Sponsor	
	Strategy and Governance	
	 Team who delivers and/or supports the service 	
	Users of the service	
Outputs produced during this	Business process maps	
stage	Stakeholder map	
	User insights	
	• Personas	
	Journey maps	
	Cost calculations	
Things to think about	• Services exist because someone wants to do something—real needs go beyond the activities of the service itself (e.g. 'enjoy life in Brighton', not 'development application'). What is the service being provided, considering where it starts and ends, and what is its purpose?	
	• Is there any existing research and data about the service and the current user experience?	
	• Are there other services in the wider problem space?	
	 Who are all the participants in your service (internal and external)—for example, is Finance or are ICT services involved in processing payments? 	
	• Who are the users, and what are they really trying to do when they use the service and its products?	
	• What are the specific needs of existing users:	

 stated needs — the things that users explicitly tell you that they need (e.g. they may need your service to be mobile responsive) unstated needs — the things that users take for granted that your service will have (e.g. they may need information that's easy to understand) created needs — the things that users are forced to do because of p and the way government works (e.g. they may have to use different online accounts for different stages of the same service). Are there users missing out on the service currently? What are the best ways to get feedback from your users? Consider optic such as interviews, focus groups, surveys, task analysis, and observation techniques. Both quantitative and qualitative data can be useful, but keem ind that the purpose of user research is to build empathy and understate the user experience. What data are we collecting as part of the service, and how does the dat travel through the processes? How does the service align with Council's vision, objectives, and aspirative what is the operating and financial model for the service? Are there any technical, legislative, or other constraints relating to the service? 	olicy ns al p in nd a ons?
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service?	
 The Discover stage is for discovering, not validating, and for learning, no confirming. What cognitive traps am I susceptible to? (See Appendix 4 arresources such as <<u>https://thedecisionlab.com/biases</u>>, <<u>https://yourbias.is/</u>>, <<u>https://yourlogicalfallacyis.com/</u>>) 	
TimeframeThe timeframe will depend on the size and complexity of the service. Broad	/,
the steps in this stage are:	
1. Gather any existing data and information.	
2. Draw the current service process.	
 Identify who is involved in the process and decide whether anyone else should be involved in the project team. 	
 Identify who uses the service, check for any user gaps, and agree on wh main service users are.) the
 Decide on how best to engage with the main service users. (Review Spo to sign off) and undertake user research to get a deep understanding of current service and user needs, and develop personas, journey maps, an user insights. You may need to do more than one round of research. 	the
 Analyse the gap between the current experience and user needs to ider pain points. There may be some that only a small number of people experience. These are important, but you want to look for the big proble that most people are facing. Find what will add the most value. 	-
7. Calculate service costs.	
Expected delivery timeframe: 4–8 weeks	
Templates Cognitive traps to avoid during the Discover stage (see Appendix 4)	
Business process map(s) (see Appendix 7)—to understand the service	t
Stakeholder map(s) (see Appendix 8)—to brainstorm stakeholders and work which are the main users of the service	out
User insights (see Appendix 9)—to sort user research data	
Persona(s) (see Appendix 10)—to build empathy with key service users	
Journey map(s) (see Appendix 11)—to understand the current experience of service users	
Cost calculations (see Appendix 12)—to understand how much it costs to de the service	iver

Aim	To understand any problem(s) that need to be solved.
Key activities in this stage	Analysing user research to identify any pain points or process improvement opportunities
	• Assessing pain points and process improvement opportunities to work out which ones are the most important and offer the most value to fix
	Prioritising actions
	Defining problem statements/hypotheses for testing
Who is involved	Review Sponsor
	Strategy and Governance
	Team who delivers and/or supports the service
Outputs produced during this	User research analysis
stage	Problem statements/hypotheses/user stories
	Discovery Report
Things to think about	• It is human nature to begin working on a solution as soon as the hint of a problem emerges. Don't! A problem cannot be solved if it is not completely understood. Solutions come in the next stage; this stage is strictly about defining the problem(s). The better you understand and define the problem, the more likely you are to develop a useful solution.
	• There may be kinds of pain points that only a small number of people experience. These are important, but you want to look for the big problems that most people are facing. Find what will add the most value.
	• How you frame the problem will affect your solution—for example, Disney's amusement parks were criticised for the long waits for every ride, and seemingly the only solutions were to create more rides or allow fewer visitors in, both of which would cost millions. The problem was reframed: how to add value instead of reducing wait time. By adding music, videos, and introduction stories to the waiting areas, waiting became a positive part of the experience. Problems aren't always what they seem, and solutions don't always involve radical change to what is in place already.
Timeframe	The timeframe will depend on size and complexity. Broadly, the steps in this stage are: 1. Analyse the outcomes of the user research.
	 Develop hypotheses/problem statements/user stories if required. Complete the Discovery Report. If there are no improvements required, this closes off the Service Review. If there are improvements required, include recommendations in the report. Update the project plan if further stages are required. Expected delivery timeframe: 2–3 weeks
Templates	User Research Analysis (Appendix 13) Problem Definition (Appendix 14) Discovery Report (see Appendix 15) Project Plan (see Appendix 5)

Ideate

Aim	To identify possible solutions for testing
Key activities in this stage	Creative ideationIdea sortingIdea evaluation
Who is involved	 Review Sponsor Strategy and Governance Team who delivers and/or supports the service Users can be beneficial for this stage
Outputs produced during this stage	Idea list and evaluationUpdated Project Plan
Things to think about	 This is another stage of divergence—start by generating as many ideas as possible. Do not censor ideas, limit, or evaluate them too early. Quantity over quality <i>first</i>. Evaluation is a separate process. Including users in ideation and evaluation can provide fresh ideas. Ensure all ideation participants are clear on the problem to be solved.
Timeframe	 The timeframe will depend on the size and complexity of the problem(s) to be solved. Broadly, the steps in this stage are: 1. Ideate broadly, preferably with users. 2. Analyse ideas. 3. Evaluate which ideas to prototype. 4. Obtain any approvals if required. 5. Update the project plan. Expected delivery timeframe: 1–3 weeks
Templates	Ideation (see Appendix 16) How to Analyse Ideas (see Appendix 17) Project Plan (see Appendix 5)

Prototype and Test

Aim	To test solutions with users and iteratively fix problems or implement improvements	
Key activities in this stage	 Prototyping User testing Iterative changes to service 	
Who is involved	 Review Sponsor Strategy and Governance Team who delivers and/or supports the service Users 	
Outputs produced during this stage	 Alpha prototype Beta and live improvements Updated Project Plan 	
Things to think about	 There are three steps in this stage—Alpha, Beta, and Live. Alpha is low-fidelity prototypes first—wireframes/storyboards, models, etc. Beta is a limited rollout. Live is a service-wide rollout of a change. Alpha to beta stage may repeat if needed. Get user feedback at every stage: make changes quickly get feedback quickly incorporate changes quickly. Break changes down so they're not too big to manage—to get from A to B, start with a skateboard, not a Rolls Royce. Don't be afraid be wrong—this is a safe way to experiment. 	
Timeframe	 The timeframe will depend on the size and complexity of the problem(s) to be solved and how many components there are in responding to them. Broadly, the steps in this stage are: 1. Create a low-fidelity prototype (Alpha). 2. Test the prototype (gather feedback). 3. Incorporate required changes. 4. Build/set up change for limited release (Beta). 5. Gather feedback. 6. Incorporate required changes (return to step 1 if needed). 7. Prepare to go live. 8. Gather feedback. 9. Close the project. Expected delivery timeframe: 3+ weeks 	
Templates	How to Prototype (see Appendix 18) Project Plan (see Appendix 5)	

lterate and Evolve

Aim	To continue adapting and improving to meet user needs	
Key activities in this stage	User research	
	Alpha, Beta, Live iterative changes to service as needed	
Who is involved	General Manager	
	 Team who delivers and/or supports the service 	
	Users and other stakeholders	
Outputs produced during this stage	Updates to any documents previously developed	
Things to think about	• Consider how long user research is valid—external conditions such as social changes, new technologies, changes in state or federal policies, unexpected events (e.g. pandemics, natural disasters, conflicts), trends, etc. can all affect user expectations.	
	 Keep an eye on strategic alignment, digital exclusion, data ethics, and public value, and always maintain democratic health. 	
	 Maintain the discipline of service design (as contained in this framework) to ensure experimentation risks are adequately managed. 	
Timeframe	There is no defined period for this stage as it can be incorporated into continuous improvement.	
Templates	Lessons learned log (see Appendix 19)	

Appendix 1 – Service Catalogue

A service catalogue has been developed and will inform the roll out of the service reviews. This catalogue will be refined and reviewed over time and as service reviews are undertaken.

Division	Business Unit	Services
CEO's Office	CEO's Office	Council Meeting Support
		CEO and Elected Member EA services
		Council Registers
		Council Documentation and Reporting
Strategy and	Strategy and	Annual Business Plan
Corporate	Governance	Corporate Planning
		Organisational Performance
		Strategic Plan
		Strategy Development
		Delegations and Authorisations
		Public Information (e.g. FOI)
		Policy and Procedures
		Procurement and Contracting
		Risk Management
		Reviews (internal and external, including section 270 of the Local Government Act 1999, etc.)
		Reporting (including Annual Report, corporate reporting, community reporting etc)
		Internal Audit
		Whole-of-Council Coordination
		Strategy and Governance Advisory
		Project Management Governance Support
	People and Culture	Organisational Development
		Professional Development
		Workplace Relations
		Workforce Planning
		Return to Work
		Reward & Recognition
		WHS Training Requirements
		WHS Plans and Program Delivery
		WHS Management System Maintenance
	Finance	Accounts Payable
		Accounts Receivable
		Insurance

Division	Business Unit	Services
		Financial Management
		Payroll
		Rating
	Innovation and	Digital Transformation
	Technology Services	Information Management
		Innovation
		IT and IS Strategy
		IT Applications
		IT Infrastructure Services
		IT Support
	Public Realm	Sport and Recreation Programs
	and Urban Design	Sport Facilities Planning
	200.8.1	Mainstreet & Open Space Masterplanning and Upgrades
		Urban Design & Planning
		Sporting Club Capacity Building
		Construction Management of Public Realm and Urban Design Projects
	Development	Development Assessment
	Services	Development Compliance & Complaints
		Appeals
		CAP Support
		Leasing & Licensing and Community Land Management Plans
		Heritage Grants
		Cemeteries
		Memorial Benches
		Code Amendments
		SA Planning Inputs
		Liquor Licencing
Community and	Community	Fire Prevention Enforcement
Business	Safety	Permits
		Public Safety
		General Enforcement
		Animal Management
		Parking Enforcement
		After Hours Enforcement and Security
		Foreshore Inspection
		Expiation Reviews

Division	Business Unit	Services
		Complaint Management
		Administration – Enforcement & Statutory reporting
		Education – Community Safety
		Supported Residential Facilities
		Cooling Tower Inspections
		Warmwater Systems
		Food Business Inspections
		Management of Hoarding/Squalor
		Food Permits
		Public Health
		Local Nuisance and noise
		Community Safety Advice
		Immunisation
		Education – Environmental Health
	Communications	Marketing and Branding
	and Engagement	Strategic Communications Management and Support, Issues and Media Management
		Community Engagement
		Creative Services
		External Communications: Social Media, Newsletters and Publications
		Website Content Management
	Community	Community Development
	Wellbeing	Community Bus
		Personal Transport
		Community Grants
		Community Centres
		Volunteer Activities
		Volunteer Management
		Networking & Partnerships
		Disability Access and Inclusion
		Youth Programs Coordination
	City Activation	Arts and Culture
		Events – Internal and Supported
		Events – External
		Commercial Licenced operations (e.g. Moseley Beach Club, Ferris Wheel)
		Civic Functions and Ceremonies
		Bay Discovery Centre/Visitor Information Outlet

Division	Business Unit	Services
		Ringwood House/History Centre
		Air Raid Shelter
		Jetty Road Glenelg Mainstreet Committee
		Business Development
		Tourism
		Partridge House
		Commercial
		Caravan park
	Customer	Rate Payments
	Experience and Library Services	Mail Physical and Online
		Waste & Recycling Info
		Searches
		Expiation Payments
		Council Customer Requests
		Library Customer Assistance
		Book Clubs
		Digital Equipment Access
		Digital Lending
		Digital Literacy Courses
		Digital Service support
		Learning Support, Exam Invigilation
		General Digital Assistance
		Kaurna and Community Languages and Services
		Home Library & Services for Active Aging
		Meeting Rooms
		Newspapers & Magazines
		Lending Physical Items
		Printing & Copying
		Toy Collection
		Reading Spaces
		School Visits/Excursions
		Learning Programs
		Study Spaces
		Wi-Fi/Internet Access
		Early Literacy – Story Time/ Kindergarten Visits
		Weather Relief/Refuge

Division	Business Unit	Services
		JP Services
		Youth Programs
Assets and Delivery	Field Services	Deceased – Animal (Reactive)
		Life Buoy (Reactive)
		Jetty Maintenance (Reactive)
		Jetty Lighting (Reactive)
		Playground Maintenance (Reactive)
		Reserves & Council Garden Maintenance (Reactive)
		Stormwater (Beach Outlet) (Reactive)
		Sign maintenance/missing (Reactive)
		Stairs/Ramps Maintenance (Reactive)
		Litter (Reactive)
		Event Support (Reactive)
		Marketing & Advertising Support (Reactive)
		Transport Assistance (Reactive)
		Art Install/Refurbishment (Reactive)
		Reposition Public Bin (Reactive)
		Footpath Maintenance (Reactive)
		Kerb Maintenance (Reactive)
		Road Maintenance (Reactive)
		Broken/Dislodged Pit Lid (Reactive)
		Flooding (Reactive)
		Street Furniture/Bus Shelter Maintenance (Reactive)
		Sweeping (Reactive)
		Weed Removal/No Spray List (Reactive)
		Top Up Dolomite (Reactive)
		Fallen or Damaged Tree or Branch (Reactive)
		Pruning Request (Reactive)
		Tree Health and Condition Assessment (Reactive)
		Tree Growing in Powerlines/Phonelines (Reactive)
		Vandalism & Graffiti (Reactive)
		Verge Management (Reactive)
		Graffiti (Reactive)
		Irrigation (Reactive)
		Mowing North (Scheduled)
		Mowing South (Scheduled)

Division	Business Unit	Services
		Sports Field Mowing (Scheduled)
		Garden Bed Maintenance (Scheduled)
		Sweeper North (Scheduled)
		Sweeper South (Scheduled)
		Small Sweeper (Scheduled)
		Beach Cleaning (Scheduled)
	Building and	CCTV Maintenance
	Facilities	Facilities Cleaning
		Operations (Buildings)
		Patawalonga Lock Maintenances
		Lease Audits
		Facility Project Management
		Public Toilets
	Engineering	Civil Works
		Infrastructure Planning & Design
		Stormwater and Drainage
		Traffic Management
		Biodiversity
		Climate Action
		Coastal Protection
		Natural Resource Management
		Street Tree Management
		Waste Management – plus Waste Contracts \$4,072,000
		Grant Management
		Energy Efficiency
		Development Engineering
		Asset Management
		GIS Services

Appendix 2 – Service Review Program

The SLT will consider the full range of services described in the Service Catalogue and then determine the schedule of reviews.

It is proposed that there will be a rolling schedule of service reviews with two or three underway at any one time. For example:

Financial Year	Quarter	Service	Scope
23/24	1	Service A	Initiate, Discover
23/24	3	Service B	Initiate, Discover
23/24	4	Service A and B	Ideate, Prototype and Test
23/24	4	Service C	Initiate, Discover

Appendix 3 – Paying for User Research

Paying incentives to participants is acceptable in many types of research. It reflects appreciation for the participants' input to the service.

You can thank people for their time in many ways. In some types of research, paying incentives isn't appropriate. If incentives are to be paid, these should be factored into the project plan.

Work out if you will pay an incentive

Incentives are rewards that can motivate people to take part in research. They are different from reimbursements for costs such as travel expenses.

It's usual to pay incentives to people who take part in usability testing. However, there are some other types of research where incentives might not be appropriate. For example, payment may represent a conflict of interest or may become a form of indirect coercion (where the participants are vulnerable or disadvantaged).

Think about these questions to help decide whether to recommend that incentives be paid:

- What is the participant's relationship to the organisation? Is there a power relationship? Is the participant a supplier or public servant?
- Would an incentive influence the results?
- Would the participant get involved without the incentive?
- Does the incentive take account of the participant's socioeconomic situation? Could it be seen as coercion if they are from a disadvantaged or vulnerable group?
- Is the incentive appropriate to the participant's cultural background?

What to pay and how

If it is appropriate to pay an incentive, decide the type of incentive to be offered.

Paying incentives through research recruitment agencies. An agency can be useful in recruiting participants, and they typically use cash or voucher incentives. The value will depend on the cohort to be involved and the length of the research session. Recruitment agencies can provide advice on how much incentives should be.

If using a recruitment agency, avoid handling cash incentives internally. The agency, for a fee, can transfer the incentive to the participants once the research is complete.

Paying incentives to participants. If not using a recruitment agency, incentives to participants can still be paid. Normal principles of being a public officer, such as fairness, equity, probity, and transparency, apply.

The incentive must be appropriate to the participant's background and personal circumstances. For example, vouchers or gift cards should be offered for places the participant can travel to easily or can use online.

Keep a record of incentives given to participate—for example, by recording the number of a gift card and having the participant sign for it.

Appendix 4 – Cognitive Traps to Avoid During the Discover Stage⁹

Discovery is for discovering, not validating. This means we must be authentic in our approach to learning through discovery, not just look to have our existing ideas confirmed. When undertaking user research, we must be aware of our own biases and how they can affect our research.

There are many biases and heuristics routinely at play in our psyches, but the main five to consider are described below. Ultimately, the key is to understand the cognitive biases that might be at play; just being aware of these—and taking practical steps to address them—can help us make better decisions.



Confirmation bias

What is it? – Our tendency to focus on information that confirms our assumptions rather than letting the data in front of us speak for itself.

Impact – During research, we might inadvertently ignore important facts and 'pain points' that users are raising because they don't fit with our existing assumptions.

How to avoid – Be very careful not to build preconceptions of what users need before you see the research. Listen to them with an open mind for anything possible. Don't validate—discover!

Anchoring

What is it? – Our tendency to rely too heavily on, or 'anchor' our thinking to, the first thing we hear and therefore give less importance to what comes next.

Impact – Information we receive before going out and doing user research can anchor us, which might lead to confirmation bias during the research-insights consolidation phase.

How to avoid – Be especially mindful that things you learn before, during, and after user research should have equal weight, especially the things mentioned by the users, whom we're here to serve.

Overconfidence effect

What is it? – Our tendency to be too sure we're right.

Impact – This bias can affect users who are being interviewed. During the Discover stage, the team can be led to believe that something a user said is the most important thing and applies to everyone. The team can also be too confident about what they can achieve. Can we really interview 100 people in a week?

⁹ Adapted from <https://www.dta.gov.au/blogs/5-cognitive-traps-avoid-discovery>.

How to avoid – Confirming information with multiple users; not fully relying on one person's answers when they claim that something is their biggest pain point and they are completely sure of it.

Social desirability bias

What is it? – Our tendency to make more 'socially acceptable' decisions when in the presence of someone else that differ from the decisions we might make when left alone or acting independently.

Impact – Be aware that users being interviewed in your research might not behave the same way that they would if elsewhere, or not being observed, or not in a group situation.

How to avoid – As much as possible, observe users in their real environments, under the real conditions they will be using the service. This maximises the likelihood that they will behave how they usually do when not being 'researched'.

Blind-spot bias

What is it? – Our tendency to lack awareness of our own biases and think, 'These biases affect other people, not me'. If this thought has crossed your mind while reading this, the chances are, you've just experienced the blind-spot bias.

Impact – Not being aware of our own biases might lead us to poor decisions that are not based on evidence.

How to avoid – Pay attention to the lived experience of others, be curious about things different from your experience and understand that many biases might be at play.



Appendix 5 - Project Plan Template for Service Reviews



Project Plan for Service Reviews

Title:

Rules:

Description:

Service Review for XXXXX

Briefly describe the service.

Identify any policies, legislation or rules.

Scope of Review and Schedule:

Relevant Legislation, Policy or

Articulate scope of review (e.g., full, partial) or any constraints Estimated dates

Stage	Estimated Start	Estimated Finish	Notes
Initiate			
Discover			
Define			
Discovery Report to Council			
Ideate			
Prototype and Test			
Iterate and Evolve			

Staff involved:

User research summary: (see Appendix A for full plan) List staff involved in the team.

Summarise the proposed user research that will be undertaken—for example:

- Interviews with a sample of 20 mixed users
- Full-day observations on three weekdays across two sites
- Survey of funding partners to determine the value of the service to them ... etc.

NB – you need to undertake user research, not market research. Market research is broad; user research is deep.

List any recent reviews or any interdependent activities. Briefly describe the relationship.

Related activities:

DOCUMENT ACCEPTANCE and RELEASE NOTICE

This is <release/version> <n.n> of the <Project Title> **Service Review Project Plan**.

The Project Plan is a managed document. For identification of amendments, each page contains a release number and a page number. Changes will only be issued as complete replacement. Recipients should remove superseded versions from circulation. This document is authorised for release once all signatures have been obtained.

PREPARED:		DATE://
(for acceptance)	Project Manager	
ACCEPTED:		DATE://
(for release)	(Review Sponsor, <name, title="">)</name,>	

Appendix 6 – User Research Plan¹⁰

Research questions:	What do you need to know?				
User groups:	Do your research with people who are existing or potential future users of your services. Representative experts aren't substitutes for actual users.				
	Remember to include all user groups, including those who:				
	have a disability or use assistive technologies				
	have low digital skills				
	have low literacy				
	come from culturally and linguistically diverse backgrounds				
	 may need help to use your service/product/project output 				
	are typically excluded from normal engagements.				
	There is a risk that groups of people can be included or excluded, depending on:				
	what the activity is				
	what time of day you schedule the sessions				
	where you do the research				
	the method you use to recruit your users.				
	Limit this risk by using a variety of research activities and recruitment approaches.				
	Consider how many users you want for each research activity. Bear in mind that surveys A/B testing and benchmarking need hundreds of participants to produce clear findings, while experience mapping, in-depth interviews, or usability testing need between four and eight people.				
User recruitment:	There are different ways to recruit participants:				
	Use a research recruitment agency.				
	• Work with a professional body, specialist charity, or community group.				
	• Work with specialist sections of other agencies (e.g. Multicultural Services in Services Australia, Disability Panel).				
	• Create a panel of potential participants (for regular research with a specific group of people).				
	 Invite existing users of your service to take part. 				
	Recruiting participants is a lot of work and agencies tend to be able to do it at a reasonable rate. This can be good value for money.				
	But you may also need to try different ways of finding specific users. Relevant professional bodies, charities, or community groups might be more effective.				
	Think about paying incentives to research participants.				
Research activities:	Research is a team sport and all team members should observe/undertake research sessions, although professional researchers may be appointed if necessary.				

¹⁰ <https://www.dta.gov.au/help-and-advice/build-and-improve-services/user-research/consent-forms-user-research>;
<https://www.gov.uk/service-manual/user-research/getting-users-consent-for-research>

A range of different methods can be found at <https://methods.18f.gov/discover/> or <https://www.gov.uk/service-manual/user-research#user-research-methods>.

Doing small batches of user research in each stage is more effective than doing one or two large studies at the beginning and end of the process.

Expect this research plan to evolve in response to what you learn in each stage. Note that you will go from doing more generative research (making sure you are designing the right thing) in the Discover stage to more evaluative research (making sure you are designing it the right way) in the later stages.

Research locations: When you plan what kind of research you want to do, choose an appropriate location. You can run research sessions in:

- research studios or labs
- meeting rooms
- a participant's home or workplace
- your office (using a laptop or phone for remote research)
- public spaces
- a place relevant to your service

Consent: How will consent be obtained and managed during research and after?

Every user research session is different. Think about all the information you may need to capture during the research. Adjust the consent form to reflect this. For example, the participant may be sharing artefacts that contain their address and details of disability.

The most important information you need in a consent form is:

- who is conducting the research the researcher, team, and agency
- why you are conducting the research
- what you will be recording this should be the participant's choice
- what you will do with the information and recording
- how long the information will be stored for
- how the participant can withdraw their consent include a contact phone number or email address
- a place for the participant to sign and date.

Your participant may decide on arrival that they don't want to be recorded. You can still conduct the research. Check with the participant if it's okay to take notes by hand.

Using a consent form in an interview

You should start interviews with users by explaining the purpose of the research. Show participants the consent form.

Explain that they have a choice about what they wish to consent to. Get permission before starting any form of recording (audio, visual, or written).

Sometimes a participant may say something that they don't feel comfortable sharing. After the interview, ask them again if they are happy for the conversation to be used as part of the research. Make sure they still consent to your using the information.

	Leave a copy of the consent form with the participant at the end of the session. This gives them a record of what they have agreed to. It also lets them know how they can withdraw consent if they want to do so later.
	A good way to do this is to take a photograph of the form and leave the original with the participant.
	Handle receipts for incentives and consent forms separately
	Consent forms and incentive receipts are separate parts of the research process.
	Make sure you treat consent as a separate discussion from giving the incentive payment and the receipt—otherwise, participants may feel a financial obligation to consent to the research.
	Keep personal information secure
	There are rules around how the government can use personal information. You need to make sure the information you collect is secure from misuse or unauthorised access.
	Some users may need their information to be treated differently (e.g. if the user has a disability or if they have children present during a recording). Factor this into your user research plan.
	Help people share their story widely
	It's important to allow people to protect their privacy. It's also important to help people share their stories more widely. Many people are keen for their experiences with governments to be shared with anyone who can help improve those services.
	Informed consent should focus on the participant's choice to participate and share their experience, not 'locking down' or anonymising the research data.
Constraints and risks:	Identify any constraints to user research activities and any risks of both undertaking the research and not undertaking it.
Findings:	How will the findings be shared and used?

Appendix 7 – Business Process Mapping Instructions

A process map visually shows the steps of a work activity and the people who are involved in carrying out each step. When mapping a process, you simply draw a box for each step and connect the boxes with arrows to show a flow. A service may be made up of multiple processes, and it is up to the team to work out to what level a process map should be created.

You can use software to create process maps but a whiteboard or Post-it notes on a wall work just as well, particularly in group settings. A basic process map looks like this:



Business process mapping is a discipline in its own right. Different types of maps can be developed, and around 30 standard shapes can be used.¹¹ For complex services, it may be worth having a Business Analyst undertake the business processing mapping activity with the review team; however, for most services, an analogue process involving internal participants should suffice.

Method

- 1. Gather all internal stakeholders, considering both the team delivering the service and others throughout the organisation who may be involved in some way.
- 2. List all the human tasks. What are all the things humans do as a part of this process? This is often best done with one task per Post-it note.
- 3. List all the system tasks. Examples might include data transfers, bulk notifications, or workflows. Again, one task per Post-it note is most useful.
- 4. Determine who is responsible for each task, whether it's a person or a group.
- 5. Determine the sequence of tasks until you map the service from end to end. What needs to happen first? Can some tasks be done at the same time? Which tasks are dependent on others? When is the process complete? What are the decision points?
- 6. If the process is lengthy, transcribing it in appropriate software may be worthwhile. Alternatively, for simpler processes, a photo can be taken of the final version of the process.
- NB:
- Choose a meeting space appropriate to how you're planning to map. If you're using Post-it notes, make sure there are enough walls or tables to put up sequences of Post-it notes.
- There should be group consensus at each step.
- There may be more than one way some processes run—record all that apply. Separate maps may be needed.
- It is important to record what is *actually* happening, not what should or is supposed to happen.

¹¹ See <https://creately.com/blog/diagrams/process-mapping-guide/> for more detailed information.

Appendix 8 – Stakeholder Mapping

A stakeholder map is a visual representation of the various individuals and groups involved with the service you're reviewing. A stakeholder is any person or organisation that has the capacity to be positively or negatively impacted by the service, as well as any person or organisation that contributes to or may be able to affect the service. Types of stakeholders may include:

- existing users of the service
- future users of the service
- people who would like to use the service or need it but currently don't (whether because they don't know about it or are ineligible)
- government agencies and regulatory authorities
- funders of the service

- other providers of the service, or similar or dependent services
- service partners
- suppliers
- those who help deliver the service
- service decision-makers
- the general community.

socio-economic levels

visitors.

educational attainment levels

whether they are residents in the area or

Regarding users, relevant demographic information might include:

- age
- gender
- cultural background
- any disabilities

There are many ways to represent visually the stakeholders in a service. This template is suggested, but teams are welcome to use others if they prefer.

Organisational Stakeholders	Existing Service Users
Partners / Other Providers	Relevant non-users

The entire team should brainstorm the content. Post-it notes work well with one stakeholder per note, including quantities if known (e.g. '300 women aged 45–55', '20 men aged 20–30'). Information can then be transcribed to a digital format, or a photo can be taken.

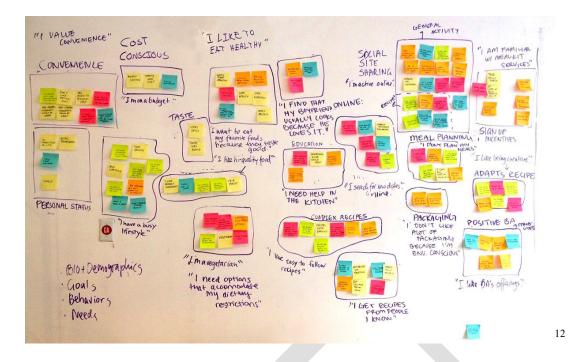
Appendix 9 - Collecting User Insights

User-research activities produce a lot of raw data in the form of:

- written and digital notes
- sketches and photos
- audio and video recordings.

Filtering and organising these data will help you produce meaningful insights.

- 1. Invite anyone who observed the user research to take part in the insights sessions. Involving lots of people will help your team make better decisions. It reduces the risk of researcher bias and limits the influence of individual team members or stakeholders. It also means everyone has a chance to be part of deciding what you should work on next.
- 2. Extract insights as soon as you can after each round of research while they are still fresh in people's minds. Aim to spend up to two hours extracting insights for every one hour of research.
- 3. To gather observations, hand out Post-it notes and ask team members to review the notes they took during the research. They can then write interesting or relevant observations on the Post-it notes (one for each observation). Write exactly what was seen or heard (e.g. verbatim quotes or observed behaviour), not what they think it means. This way, the Post-it notes will be unbiased and represent the voice of the user. You can use the colour of the note strategically (e.g. red to denote pain points; green for what works well).
- 4. Once team members have written down their observations, ask them to stick their Post-it note on a wall. Start sorting them into similar themes. You can group them by:
 - o common topics (e.g. identity, delivery, payment)
 - o stages in a user journey (e.g. 'supply photo', 'attend interview', 'pay')
 - o individual pages or steps in a transaction
 - types of users (e.g. first-time users, business users).
- 5. Allow people to move Post-it notes placed by other people. The idea is to look for patterns or clusters in the data by grouping the Post-it notes until clear themes emerge. In some cases, this means duplicating Post-it notes that may be relevant to more than one cluster. This is often called 'affinity mapping'. Affinity mapping helps your team uncover how your user insights relate to each other.
- 6. Once you have your groups, agree on a title for each that explains the theme of the cluster. Check if you can break large groups into smaller themes based on matching observations. For example, if users are required to supply a photo to use your service, you might have a 'photos' group that could be broken down into:
 - o photo rules and requirements
 - o using a photo booth or department store photographer
 - \circ taking a photo at home
 - o reasons a photo might be rejected.
- 7. Capture the results of the insights sessions by either transcribing them to a digital format or by taking photos.



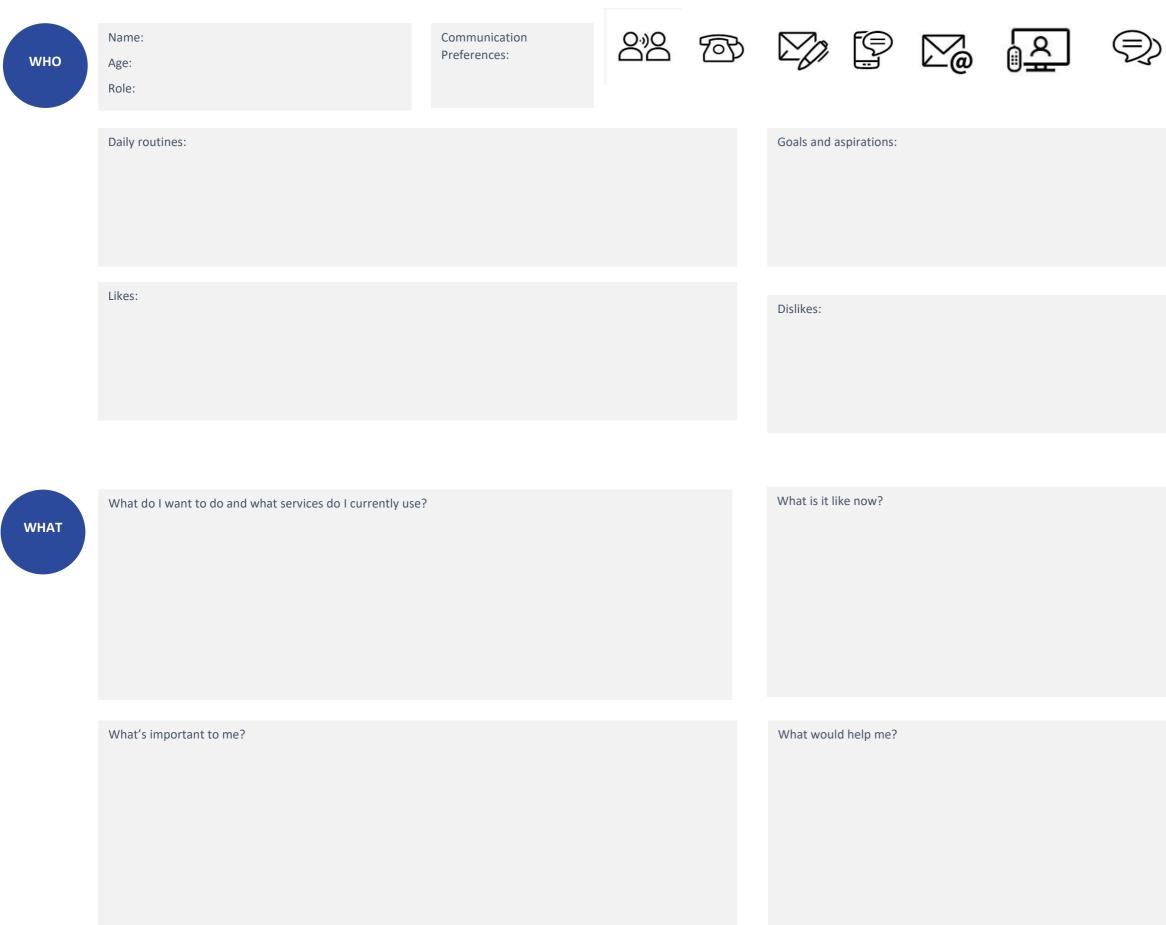
If there is space available for the length of your service review, you may wish to create an empathy wall or an insights wall. Such tools can introduce new people to the service review by providing a visual record of the project so far and can be used to keep track of critical user data. For example, coloured flags can be used on top of personas (see Appendix 10), journey maps (see Appendix 11), or affinity maps as data become available (i.e. red Post-it flags can indicate pain points in user journeys and blue ones can indicate where research has been validated).

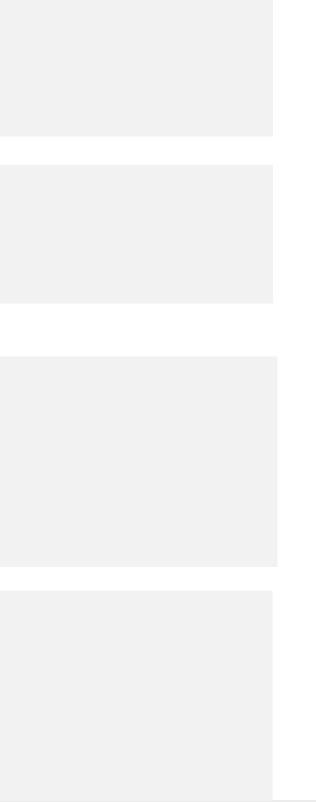


¹² Source: <https://miro.medium.com/max/1200/1*t1vl0lPG_Bhve0xSUQ4H7A.jpeg>

¹³ Source: <https://www.dta.gov.au>

Appendix 10 – Persona





Appendix 11 – Journey Map

Service name		Service user persona this Journey Map appli	ies to	Date created and
First work down the column, then across. What action did you take? (e.g. called Customer Service, sent an email)	And then?	And then?	And then?	And then?
Who is involved? (e.g. me, customer service representative)				
What did you want to achieve?				
Technology and/or channel used				
Decisions that needed to be made				
How did you feel? © ඏ ⊗				

l by who

And then?

Appendix 12 - Cost Calculations

Cost calculations need to consider all the inputs and offsets of your service, as well as the quantum of services provided. This template is not exhaustive; there may be other quantitative or qualitative information relevant to your services that you need to consider. Include this information as needed.

Item	Description
Service model	
Unit of service	
(i.e. per transaction, per hour, per person, etc.)	
Number of units per period	
(i.e. 50 transactions per month, 24 hours per	
month, or 500 users per annum, etc.)	
Number of service users compared to possible	
market size (i.e. 500 users in cohort of over 65s of 15,000 in	
the city)	
Financial model	
(i.e. user pays, subsidised, free to user, etc.)	
Funding sources	
(i.e. Council-funded, joint Council–state grant-	
funded, etc.)	
Other relevant information	

Item	Amount \$	Notes
Inputs		
X/% FTE		e.g. 1.2 x L5
On-costs		20% of relevant salary
Materials & equipment		
Contracting/third-party costs		
etc.		
Subtotal		
Offsets	1	I
Revenue from service		
Grant funding		
etc.		
Subtotal		
Unit cost of service		
Total cost of service		
(Offsets minus Inputs)		
Number of units per period		Per transaction, per period, per person, etc.
Unit cost per period		
(Total cost of service ÷ number of units per period)		
Return on Investment		
Opportunity costs		What is forgone to provide this
· · · · · · · · · · · · · · · · · · ·		service (e.g. using public land for parking rather than planting trees)?
Value and benefit		Any additional benefits arising from the service (e.g. immunisation saves \$x in health care and \$y in lost business revenue)

Appendix 13 – Analysing User Research

Once you have collated all your user research, you will need to determine what the observations mean.

When you agree on what you've learned, write it as a finding or 'insight' on a different coloured Post-it note. Add it to the relevant group on your affinity map.

Write findings as short statements that summarise what you've learned—for example:

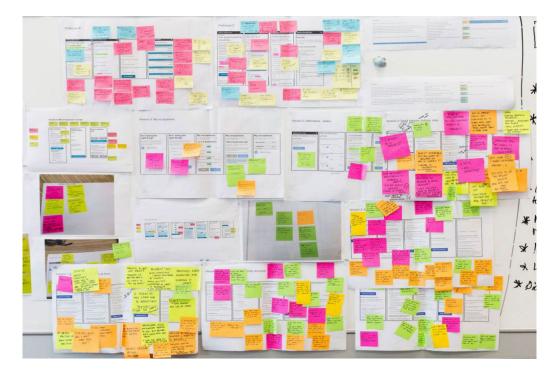
- 'The legal declaration is threatening and difficult to understand.'
- 'People think they can click the progress bar to navigate.'
- 'Users are confused about what they need to do because so many questions are optional.'

You can use your findings to make recommendations or decisions about what to improve, change, or research next. This supports the agile method of continuous planning with new facts or requirements.

As a group, discuss if there are any actions you want to take. Write these on Post-it notes in another colour. Add them to the relevant group on your affinity map. Actions might include:

- new design ideas to work on
- new questions to include in user research
- things you want to change in a prototype and test in another research session
- new user stories to add to the product backlog
- new details you need to add to an existing story
- strategic insights you can use to develop your user needs, proposition or product roadmap.

Collate your findings by either transcribing them to a digital format or taking photos of your updated affinity map. Another option is to create a 'shareback wall'—similar to empathy or insights walls, a shareback wall quickly displays what's working (green) and where problems still need to be solved (red and orange).



Appendix 14 – Problem Definition

Once you have analysed your user research, you can define the problem(s) that need to be solved. This can be done in different ways, which include the following tools. Choose whichever seems best for your service.

Problem statement

A problem statement identifies the gap between the current state (i.e. the problem) and the desired state (i.e. the goal) of a service, process, or product. Think of the user problem as an unmet need. By designing a solution that meets this need, you can satisfy the user and ensure a more pleasant user experience.

A problem statement provides a clear description of the issue that needs to be addressed, always keeping focus on the user. There is no single way to write a problem statement, for example:

- From the user's perspective: 'I am a young working professional trying to eat healthily, but I'm struggling because I work long hours and don't always have time to go grocery shopping and prepare my meals. This makes me feel frustrated and bad about myself.'
- From a user research perspective: 'Busy working professionals need an easy, time-efficient way to eat healthily because they often work long hours and don't have time to shop and meal prep.'
- Based on the four Ws—who, what, where, and why: 'Our young working professional struggles to eat healthily during the week because she is working long hours. Our solution should deliver a quick and easy way for her to procure ingredients and prepare healthy meals that she can take to work.'

Each of these statements addresses the same issue, just in a slightly different way. As long as you focus on the user, what they need and why, it's up to you how you choose to present and frame your service problem. Some guidelines:

- Focus on the user: The user and their needs should be front and centre of your problem statement. Avoid statements that start with 'We need to ...' or 'The product should ...'; instead, concentrate on the user's perspective: 'Young working professionals need ...', as in the examples above.
- **Keep it broad:** A good problem statement leaves room for innovation. Keep it broad enough to invite a range of different ideas and avoid any references to specific solutions or technical requirements.
- Make it manageable: At the same time, your problem statement should guide you and provide direction. If it's too broad in terms of the user's needs and goals, you'll struggle to narrow in on a suitable solution. So, don't try to address too many user needs in one problem statement; prioritise and frame your problem accordingly.

Tools that can help you decide how to frame a problem statement include:

The four Ws

Asking the right questions will help you put your finger on the right problem statement. With all your findings from the Discover stage in one place, ask yourself the four Ws: **Who**, **what**, **where**, and **why**?

- Who is experiencing the problem? In other words, who is your target user; who will be the focus of your problem statement?
- What is the problem? Based on the observations, evidence, and insights you generated, what are the problems and pain points that frequently came up? What task is the user trying to accomplish, and what's standing in their way?
- Where does the problem present itself? In what space (physical or digital), situation, or context is the user when they face this problem? Are there any other people involved?

• Why does it matter? Why is it important that this problem be solved? What value would a solution bring to the user—and to the business?

Approaching your observations with these four questions in mind will help you identify patterns within your user research. In identifying the most prevalent issues, you'll be one step closer to formulating a meaningful problem statement.

The five whys

Another question-based strategy—the **five whys**—can help you delve deeper into the problem and drill down to the root cause. Once you've identified the root cause, you have something that you can act on; somewhere specific to focus your problem-solving efforts.

In the previous example of the young working professional who wants to eat healthily but finds it difficult to do so, here's how you might use the five whys to break the problem down and get to the root cause:

- 1. Why is she not eating healthily? → She orders takeaway every day.
- 2. Why does she order takeaway every day? → Her fridge and cupboards are empty.
- 3. Why are the fridge and cupboards empty? → She hasn't been grocery shopping in over a week.
- 4. Why hasn't she been grocery shopping? → She doesn't have time to go to the supermarket.
- 5. Why doesn't she have time? → She works long hours and is exhausted.

The root cause here is a lack of time, so your solution might focus on efficiency and convenience. Your final problem statement might look something like this: 'Young working professionals need a quick, convenient solution to eating healthily'.

Use the wrong words and you'll focus on the wrong problems

Unclear activities

Managing... Reviewing... Working a case Verify application Streaming work

Working a case

What actually needs to happen

Check eligibility Check entitlement Make decision

What actually needs to happen?

Find out how... Check eligibility Get proof Report something Stop something Make a decision

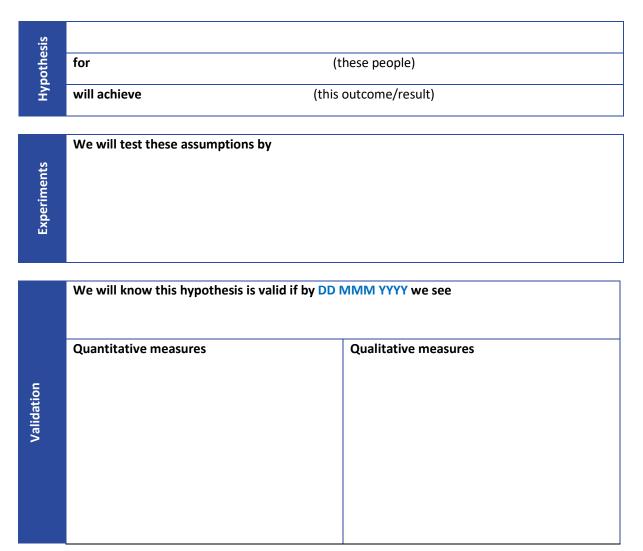
Check suitability Check eligibility Check entitlement Make decision Notify of a decision Issue proof

Ways we could do these activities

Remove need for checks Use what we know Manual checks Automate checks Triage checks Issue proof

Hypothesis

A hypothesis is a prediction of the relationship between a solution and a problem. It assists in defining the problem to be solved, helps focus solution ideation, and provides parameters against which solu



User stories

As with every part of good service design processes, start with user needs.

User needs are usually written in the format of:

I need/want/expect to ... [What does the user want to do?]

So that ... [Why does the user want to do this?

If it's helpful, you can add:

As a ... [Which type of user has this need?]

When ... [What triggers the user's need?]

Because ... [Is the user constrained by any circumstances?]

Example:

As an [Australian citizen] I need [to provide proof of my identity and visa permissions to border control] so that [I can travel abroad and prove my identity].

Write user needs from a personal perspective using words that users would recognise and use themselves. Focus on what's most important for your users so you do not create an unmanageable list of user needs.

User needs tend to be high-level, broad in scope, and stable over time. As you design your service, you'll use them to write user stories. These describe the specific features and content you need to create for your service to meet your users' needs.

User stories are usually written in a more constrained format than the user needs and include additional information like acceptance criteria, level of complexity, and dependencies. Use them to organise work into manageable chunks that create tangible value.

When writing a user story, you should keep track of the user needs it relates to. This traceability allows you to track related activities and determine how well you're meeting a particular user need.

Appendix 15 – Discovery Report

	Leave for seal of the set	t in the second second	Address constal also for the Link	advectore and the state of the
Service Summary	Issues for resolution or opportunitie	es for improvement		what results do you expect to see if this problem
(Include description of service, information about users, service costs, etc.)			was solved?	
(,,,,,,, .				
		w/L 2		4
Outcomes of user research	Who is it a problem for?	Why?	Who should be involved in further s	tages?
			Co-design with	
			Co-design with	
				Keep informed
			Co-design with	

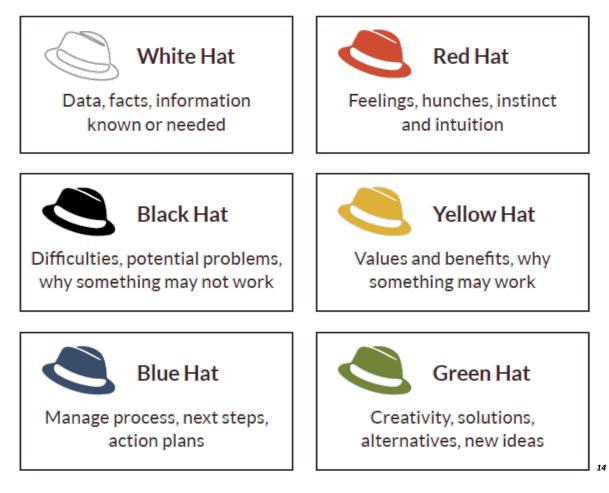
Appendix 16 - Ideation

By now, you should have a solid understanding of the problem(s) that need to be solved.

The purpose of 'ideation' is to come up with as many ideas for solutions as possible. It is important not to be bound by any existing constraints at this point. This is not the time to analyse or filter the ideas (that happens later).

The most common way of generating ideas is brainstorming. Allowing a short amount of time for the exercise (around three minutes is ideal), just write down any and every idea that comes to mind as a solution to the problem you're trying to solve. Consider framing your problem as a 'How might we ...?' question to help the team's brains get going. No filters, no ideas are bad, and no ideas are off the table at this stage.

If you're stuck and struggling to generate sufficient ideas or worried that the ideas aren't going to solve the problem(s), take inspiration from de Bono's Six Thinking Hats to move your thinking along.



¹⁴ Source: <https://readingraphics.com/uploads/2015/06/Six-Thinking-Hats The-6-hats.png>

How might you solve this problem if you were ...

- a developer at Google
- a designer at Apple
- the head of the UN
- a centenarian
- a child
- an astronaut
- a dancer
- an engineer
- a politician
- an army general
- a travelling circus performer
- a pilot
- an advocate
- an alien?

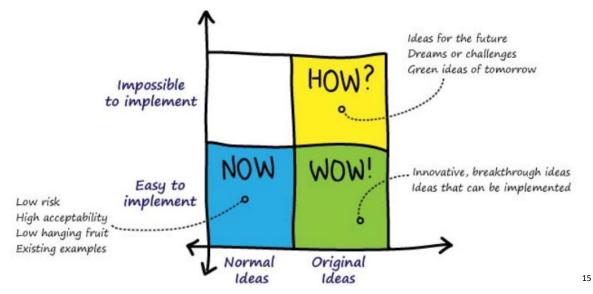
The point of this exercise is not to worry so much about the character/role but to 'try out' scenarios/ thinking from different and especially unexpected or unlikely perspectives.

Another simple way of expanding ideas is to build on the ideas of others by saying 'Yes, and ...' or thinking 'What if ...'.

Appendix 17 - How to Analyse Ideas

There are many ways to analyse ideas.

The first step is always to sort ideas, removing duplications and finding any common themes, and then working out which ideas are worth pursuing early and which ones might need more work. Sorting can be done in different ways—for example, via a speed versus cost matrix or something like this:



Once you have a smaller number of ideas, you can further analyse them through a range of different lenses—for example:

- risk versus reward
- cost versus benefit
- level of reach or impact
- strategic alignment
- contribution to wellbeing, sustainability, or innovation
- likelihood of community acceptance, etc.

Drawing either matrices (like the one above) or Venn diagrams or relationship maps can be a useful way of visualising analyses, particularly if you're comparing ideas and assessing their relative benefits.

The following list of questions might also assist you in further assessing which ideas to take further.

¹⁵ Source: <https://www.sessionlab.com/methods/how-now-wow-matrix>

Who	is this harmful to? makes decisions about this?	have you also heard discuss this? would be the best person to consult? will be the key people in this? deserves recognition for this?
What	are the strengths/weaknesses? is another perspective? is another alternative? would be a counter-argument?	is the best/worst case scenario? is most/least important? can we do to make a positive change? is getting in the way of our action?
Where	would we see this in the real work are there similar concepts/situat is there the most need for this? in the world would this be a prob	ions? do we go for help with this? will this idea take us?
When	is this acceptable/unacceptable? would this benefit our society? would this cause a problem? is the best time to take action?	will we know we've succeeded? has this played a part in our history? can we expect this to change? should we ask for help with this?
Why	is this a problem/challenge? is it relevant to me/others? is this the best/worst scenario? are people influenced by this?	should people know about this? has it been this way for so long? have we allowed this to happen? is there a need for this today?
How	is this similar to? does this disrupt things? do we know the truth about this? will we approach this safely?	does this benefit us/others? does this harm us/others? do we see this in the future? can we change this for our good?

16

Ideas relating to who	Ideas relating to what	Ideas relating to where	
Are there different solutions for different users?	If you were counter-arguing, what other solutions might you propose?	If the location of the solution changed, what else might be possible?	
Ideas relating to when	Ideas relating to why	Ideas relating to how	
If the solution were to be beamed from the future, what might it look like?	If the solution had to create a best- case scenario or mitigate a worst- case scenario, what might it look like?	If the solution was to disrupt the status quo, what might it look like?	

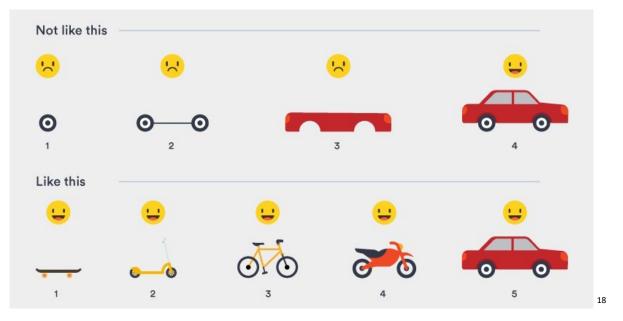
Appendix 18 - How to Prototype

The purpose of prototyping is to experiment by designing low-fidelity versions of products or services and then testing them with users. Prototypes allow ideas to be refined and validated to make sure that whatever is created meets user needs.

Prototypes are often made on paper to start with. For example, wireframes describe an app before one is built:



When it comes to a service, you might introduce a change to a smaller cohort first to work out if it's functioning as you expect it to. Once you have some confidence in your proposed change, you can scale up, but remember to keep testing with users and keep iterating. The idea is not to go from skateboard to Rolls-Royce but to iterate. The way to move from prototyping to implementation is via a 'minimum viable product':



¹⁷ Source: <https://miro.com/templates/low-fidelity-prototype/>

¹⁸ Source: <https://www.leansixsigmadefinition.com/wp-content/uploads/2020/04/Minimum-Viable-Product-

Appendix 19 – Lesson-Learned Log

It is extremely valuable to reflect on lessons learned after reviewing a service.

There is no specific process or mechanism that must be used. Lessons learned can be captured collectively or individually, but sharing is encouraged.

A simple template could contain the following information and could be set up at the beginning of a process to ensure lessons learned are captured from the start.

ID	Lesson	Туре	Priority	Date	Logged by
1	Just describe the lesson	Organisation	Very High		Name
		Team	High		
		Process	Medium		
		User Need	Low		
		Myself	Very Low		

Attachment 2





EVENT TRAFFIC MANAGEMENT SERVICE REVIEW

October 2023 Version Two

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INTRODUCTION

Events are important in Holdfast Bay. Council's *Creative Holdfast – Arts and Culture Strategy 2019 – 2024* includes a Strategic Theme to "provide meaningful arts and cultural encounters, activities and events" (City of Holdfast Bay, 2019).

As a busy coastal area, Holdfast Bay:

- "Has over 3,500 businesses which support 14,340 jobs and has an annual economic output of \$2.903 billion
- Is home to approximately 37,500 residents, covering an area of 14 square kilometres, with no part of the city more than 2.5 kilometres from the beach.
- Is the site of Glenelg, South Australia's original mainland settlement.
- Has an extensive public transport system which includes tram, train and bus routes directly to the heart of the Adelaide CBD.
- Provides easy access to community services, superior education and health options.
- Comprises quality retail precincts, recreation facilities, rich heritage and beautiful natural environment.
- Is notable for its vibrant tourism sector which attracts over 800,000 day-trip visitors annually." (Remplan, 2022)

Council runs its own events each year, big and small. This adds to the cultural dynamic of the city and contributes significantly to economic activity.

To run successful events, several activities happen simultaneously. These support the customer journey and include 'frontstage, backstage actions, and support processes' (Nielsen Norman Group, 2022). Traffic management is one such activity that requires effort in each of these areas. In this case the Council's Events team is the 'customer' of this service, and the traffic team and depot staff are the frontstage, backstage and support for traffic management.

THE APPROACH

The purpose of service reviews is to:

- 1. evaluate the effectiveness of existing services.
- 2. collect data to enable evaluation and decision on which services the organisation should invest in.

Service reviews are being undertaken using a human centred design method. In essence it means that we need to better develop a rich understanding of our community's experiences. We then use this as a way to increase service effectiveness and develop novel solutions and/or improve existing service designs.

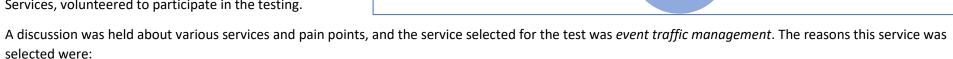
The process requires different phases of divergence and convergence:

- In the Discover stage you go wide with user research to understand the problem
- In the Define stage you narrow in on the biggest pain points to really understand them so you can define hypotheses
- In the Ideate stage you come up with possible solutions for testing your hypotheses
- In Prototype and Test stage you test your hypotheses using prototypes until you can define a minimum viable product
- In the Iterate and Evolve stage you build the minimum viable product and then refine it.

This report is ordered in the same way.

INITIATE

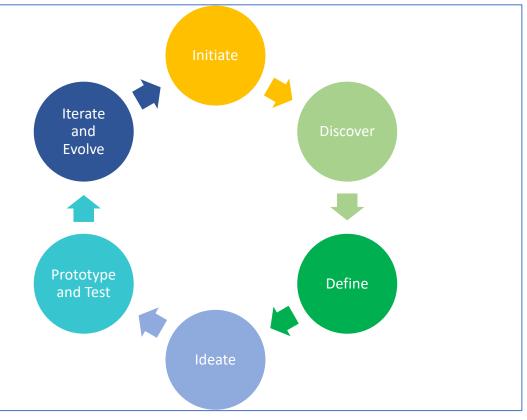
Senior Leadership Team approved the testing of the Service Review Framework in September 2022. The Manager Field Services, volunteered to participate in the testing.



- 1. It spanned more than one work group.
- 2. Staff involved in the service were feeling various pain points but these had not been fully articulated or previously documented.
- 3. Existing processes were not mapped.
- 4. Service users were internal, hence risks were low.

The Problem Hunch

Internal discussions about issues with event traffic management had been occurring for some time, particularly at critical flash points in the event season – for example, when a traffic plan was urgently required or unexpected work orders came to the Depot. It was clear that there were tensions occurring between conflicting priorities, and that resource pressures were creating pinch-points in internal processes that caused frustration and stress.



This led to the problem hunch being defined as:

There is a lack of clarity in roles, responsibilities and authority to implement and adapt event traffic management in a timely way.

DISCOVER

The aim of the Discover stage is to understand:

- What the service is and why we provide it/
- Trend data over a 3-5 year period if possible/
- How the service currently operates;
 - Existing business processes;
 - What tools / products are used to deliver the service;
 - Costs to the organisation / funding sources; and,
 - Costs to users.
- Who users of the service are;
 - What their experience of the service is;
 - What are the touchpoints for the service;
 - \circ $\;$ What channels do people use to access and receive the service; and,
 - Is anyone currently excluded from this service.
- Value of the service to the community / the organisation / individual users.

Interviews were conducted with the events team as the customer. From this an Empathy Map was created (see Attachment One).

This provided insights that informed the design challenge and the understanding of the problem.

The event management team who are responsible for running events are frustrated by the current event traffic management planning and delivery. In some cases, they are signing off on event traffic plans although they acknowledge they are not suitably qualified to do so. This is bought about by spasmodic communication with the relevant section within Council and a seeming lack of priority for events within Council.

Staff at the depot are best placed to deliver the 'on the ground' traffic management but often find they are not able to deliver the plans as provided to them. This results in last minute work arounds which have been successful to date but opens risks that can be avoided.

When interviewing the event team members (the customer in this case) they were clear about what some key pain points which includes poor response to requests, a lack of priority for events traffic management amongst other traffic needs and not having the people with correct qualification signing off plans. The Depot staff (part of service delivery) also indicated similar concerns and they are left to deliver the traffic management to the best level they can which is sometimes at odds with the plans.

Stakeholder mapping

Early in review process, the current stakeholders were identified and their respective roles described (Attachment Three). This was then translated into this table.

Stakeholder	Role in Service	Requirements	Expectations	Impact on Service
External Customers – Direct Interest	Receivers of service	Traffic Management for events be undertaken to ensure patron safety and adequate traffic flows and management	 That traffic management will be undertaken: In time for their event In accordance with relevant standards, so people are safe Effectively, so people can access their event 	High – if event organisers are unhappy with traffic management they are likely to complain, or if traffic management is inappropriate for an event, impacts on event patrons and surrounding areas/businesses can be high
External Customers – Strong Interest	Receivers of service	Traffic management be undertaken in a way to maximise benefits to them and minimise disruptions to them	 That traffic management will: Not inconvenience or disadvantage them Encourage or facilitate patronage of their business 	High – if event organisers are unhappy with traffic management they are likely to complain, or if traffic management is inappropriate, impacts on event patrons and surrounding areas/businesses can be high
Primary Internal Customer – City Activation/ Events Team	Receiver of the service – liaison with Event Organisers	• .	Getting timely advice to ensure safety measures can be implemented in time for scheduled or requested events	High – carries responsibility for the successful delivery of events. Includes safe traffic management to protect event attendees & others.

Stakeholder	Role in Service	Requirements	Expectations	Impact on Service
Internal Customer – Comms & Engagement Team	Interested party – disseminating information	Information about road closures / other relevant information that needs to be communicated to stakeholders	Able to rely on the traffic plans so that messaging to event attendees, residents and local businesses is accurate.	Moderate-high – better information to residents and businesses will allay concerns.
Internal Customer – Community Safety	Interested Party – enforcement of controls	Needs to be aware of changes in controls / enforces temporary traffic controls	Able to rely on traffic plans to ensure that enforcement is within regulation.	Moderate – assists in ensuring compliance with traffic plans.
Technical Experts – Traffic Team	Technical Experts – qualified technical expertise	Need to provide the content of traffic management plans to be compliant with legislation	That plans can be reviewed and are accurate. That they comply with regulation and are enforceable.	High – Ensuring that plans are compliant, able to be implemented and are enforceable.
Delivery / Fulfillment – Depot Team	Implement traffic management plan	Need a plan that can be followed	That plans will need minimal work arounds and staff are clear on what is required. Seek to ensure that staff are not exposed to WHS issues such as rogue traffic and irate people.	monitoring is essential to the success of the

Process Mapping

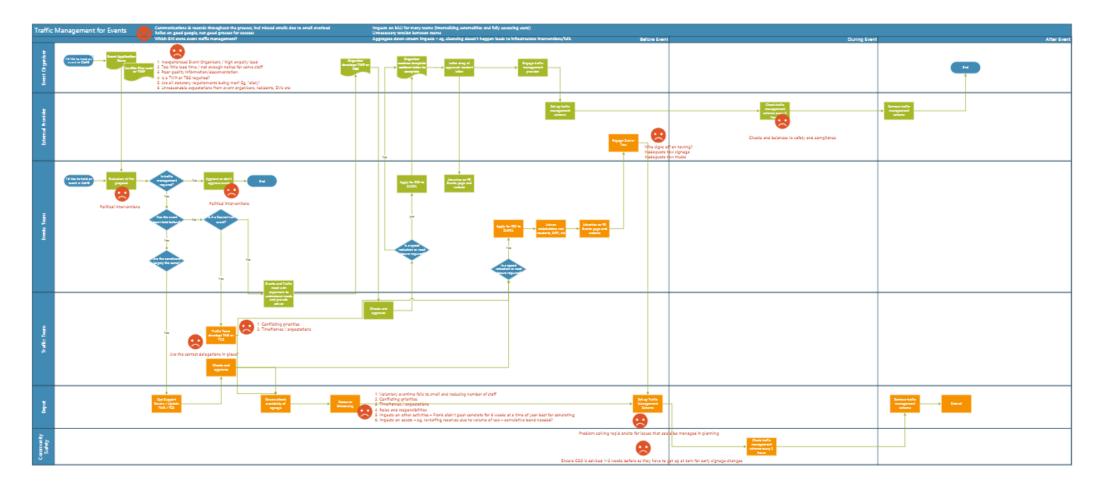
A detailed current Process Map was completed in a workshop. This helped to articulate the current processes and highlighted a number of pain points that needed to be addressed.

The process mapping exercise enabled staff involved in different parts of the process to understand each other's perspectives and to see the impacts of their work and actions in the process chain. This common understanding of the pain points was cathartic in its own right, and there was a palpable sense of relief that problems were solvable and that there was agreement about their existence.

A clear articulation of problems also allowed small impediments to be resolved almost immediately, and enabled participants to see where deeper problems and root causes lay, which would need more effort to resolve.

The exercise provided a safely impersonal mechanism by which participants could put forward their perspectives on processes, explain what they did and why, and question each other as to how things were currently done.

Building a common understanding of the full extent of the problem space prevented the friction that often arises when solutions are debated prematurely. Given there was already tension arising across inputs into this service, moving to solutions without this common understanding would likely have exacerbated feelings of frustration. Through process mapping, participants were able to express their frustrations without judgement and without the risk of putting forward solutions that might create unintended consequences.



Exploring the Problem Space - Ladder of Abstraction

To hone down the problem to be solved, the 'problem hunch' identified during initiation was explored using the 5 Whys and 5 Hows (the Ladder of Abstraction).

This tool is designed to get closer to the root cause of a problem. The 5 Whys assist in getting the bigger picture, while the 5 Hows delves more into practical considerations.

This uncovered that there is a general lack of dedicated resources for event traffic management which is masked by a 'can do' approach by staff. This tends to over stretch staff in the high events season.

Coupled with costings data, it became apparent that event traffic management has a negative impact on other areas of work at the Depot that ais left underdone while staff attend to event traffic needs.

Costings

Costings for event traffic management were collated. These were based on examples of large, medium and small events. Most of the costs were in the planning and for depot staff to set up and monitor traffic at the event (see Attachment Two). In short, the total direct costs per event type are:

- Large Event \$9,115.
- Medium Event \$2,135.
- Small Event \$865.

It should be noted that these costs relate only to event traffic management and do not include other event support from the Depot such as irrigation mark outs, beach work with machines etc.

When considering costs, it is important to note that the Depot Staff who assist on event traffic management are drawn from other duties, and that event management typically involves activities that occur outside of scheduled working hours, resulting in over-time.

To date, staff have been invited to work on events on a voluntary basis. The volunteer pool has dwindled over time and event traffic management is increasingly falling to a small number of staff willing to take the over-time hours. This presents potential WHS risks, and potentially impacts morale.

The Depot staff mostly impacted are in the City Clean Rapid Response area. Regular activities that may be forgone due to the event traffic management load typically includes sweeping, beach cleaning, rubbish dumping, graffiti removal etc, but can also extend to other parts of Depot operations.

WHY - RESOURCES ARE FLEXIBLE/LIGHTON WHY - SMALL COUNCIL - WLTURE TO GET IT DONE WHY - PEOPLE STOP IN TO GET JOB DONE WHY-NOT OWNED BY ANY ONE ROLE NEVER BEEN DEFINED SOUTED How - PEOPLE DO WHAT THEY THINK THEY SHOULD DO HOW - WARK IS PASSED DOWN - WITHOUT GARSDOWING OTHER DEMANDS HOW - NOT SEEN AS IMPARGANT ENOLOGG H FOR A ROLE LOW - SEASANAL WARK - 1/2 YEAR FOR S (VENY HIGH USAY LOW Mé Generally Fre aver year -

These works are often completed the next working day but can fall well behind in summer while delivering nonstop Events. While an accurate assessment of the impact on regular work due to event traffic management is not possible, it is estimated that time lost over November to March (the busiest event times) would be roughly 250 work hours. There is also time taken to fill shifts by administration staff due to this extra load, although this time is difficult to quantify.

Discovery Report

At the conclusion of the Discovery stage, this Discovery Report was prepared to describe in summary what had been uncovered at that point, and provided to the Senior Leadership Team (SLT) in February 2023. This represented the end of the Discovery phase, and SLT approved continuation of the service review.

Service Summary	Issues for resolution	n or opportunities for improvement	What would the future look like or what results
Traffic management for events is a critical service, which ensures public safety and provides useful guidance for motorists navigating around events. Traffic management for events may either be provided by external contractors or by Council (Depot) staff. The service involves a number of business units across Council, including the Events Team, Depot, the Traffic team, and Community Safety.	improvement were articulated in the pr emerging relates to time demands. There are two key r - services hav intentionall service mod - there are co	ant pain points and opportunities for identified during the process. These are ocess map. The most concerning issue potential staff safety risks caused by ove bot causes of most of these pain points: re evolved organically without being y designed or fully costed to ensure optin lels are implemented onflicting priorities between different par hisation with no clarity about how to resc	 that provided timely advice on requirements, and ready implementation of traffic plans, without creating negative 'downstream' impacts on other parts of the organisation. mal ts
Outcomes of user research User research identified all the	Who is it a problem for?	Why?	Who should be involved in further stages?
participants in the service and their relationships (see Attachment 1A).	Events team	Getting timely advice to ensure safety measures can be	Events team, traffic team, Depot team, GMs Community Services and City Assets

The user research process was extremely positive, despite the pain		implemented in time for scheduled or requested events		
points identified.	Danathaan		Approving	Keep Informed
It was clear that every person was	Depot team	Demands caused by events calendar are stopping other BAU	Authority	Elected March en es
committed to ensuring great outcomes for the community and that despite		work from being done. Further, events are largely voluntary	SLT	Elected Members, as needed
tensions created by existing processes, everyone was willing to work in a		overtime and there is a shrinking pool of staff willing to do the extra		
collegiate, supportive way to arrive at		hours, resulting in increased		
appropriate solutions.		pressure on a small number of staff and potentially leading to WHS		
Service commissioners and service providers were honest in their		issues in the future.		
discussions and were willing to openly explore opportunities for improvement.	Traffic team	Timeframes are often not feasible in the face of BAU workload		
	City Assets	BAU work such as cleansing and maintenance not being done can		
		result in bigger issues arising.		

DEFINE

The aim of the Define stage is to understand any problem(s) that need to be solved.

How Might We.....

To define what action could be taken as session was held to explore 'How Might We' statements.

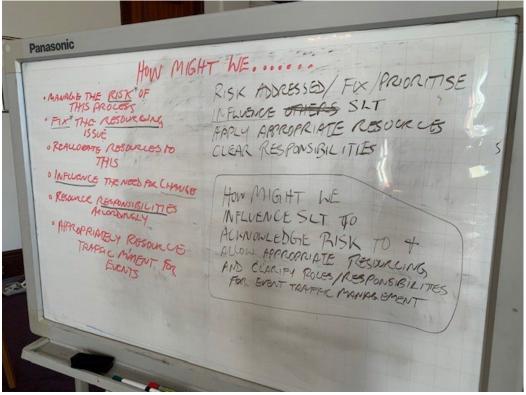
A How Might We statement turns the challenge or problem into a question that can be solved. It turns problems into opportunities for generative thinking and organises how you think about the problem and possible solutions. It starts with a call to action, and in moments of ambiguity, it provides clarity to guide a way forward.

The format is three simple words, but it's also intentional. 'How' suggests that the problem can be solved. 'Might' allows imagination and exploration of possibilities without committing to them. 'We' acknowledges that collaborative effort is required.

Each person provided one statement. From these the key words were agreed upon to then come up with the final statement:

How might we influence SLT to acknowledge risk, to allow appropriate resourcing and clarify roles and responsibilities for Event Traffic Management?

This is consistent with resolving the root causes identified during Discovery, which were:



- services have evolved organically without being intentionally designed or fully costed to ensure optimal service models are implemented
- there are conflicting priorities between different parts of the organisation with no clarity about how to resolve them.

Answering this 'how might we statement' would also sensibly lead to the future state that was identified in the Discovery report, namely:

If the problem was solved, traffic management for events would be fully costed into the events service, resulting in an appropriate service model that provided timely advice on requirements, and ready implementation of traffic plans, without creating negative 'downstream' impacts on other parts of the organisation.

IDEATE

The Ideate stage aims to identify possible solutions for testing. It involves:

- Creative idea generation.
- Idea sorting.
- Idea evaluation.

There are a wide variety of techniques that can be used for ideation and idea evaluation. For this review, the techniques are detailed below.

Crazy Eights

Participants were asked to come up with eight crazy ideas that might fulfill the 'how might we' statement. These were then ranked in priority using a 3,2,1 voting system where 3 was for the best idea, 2 for second best and 1 for third best.

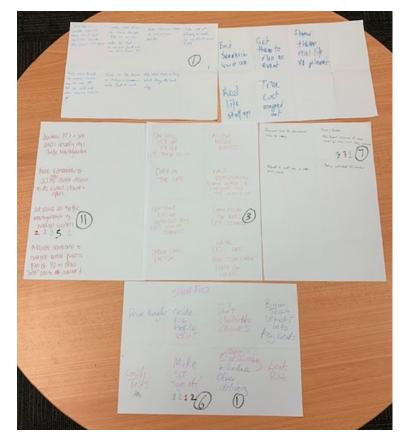
Votes were then tallied to come up with a list if ideas that could be progressed. It generated these results:

- Outsource all traffic management to an external business (11 votes)
- Make SLT sign off on event traffic management (6 votes)
- Simulation on worst case scenario (3 votes)
- Risk Based Scenario of what could go wrong and likely outcome (7 votes)
- Make Glenelg a Mall (1 Vote).

Impact and Effort ratings

Participants were then asked to plot the ideas on a matrix with a high/low effort axis and a high/low impact axis. They were then asked for any other 'bleedingly obvious' ideas that have not some from the Crazy Eights. These additions were:

- More Resources with the right skills and time available.
- Clarify roles.
- Standardise traffic plans.



The combined seven ideas (the two risk scenario ideas were combined) were then plotted.

The two ideas requiring the most effort were:

- Make Glenelg a Mall (Very High Effort may be considered in Jetty Road Mainstreet upgrade not in scope for this service review).
- Outsource all traffic management to an external business (High effort initially but less effort over time).

There was a group of five ideas that would be low to moderate effort and would have high/very high impact. These were:

- Develop risk-based scenarios with likely outcomes.
- More resources with the right skills and time available.
- Clarify roles and responsibilities.
- Have SLT sign off on event traffic management.
- Standardise traffic plans.

These five ideas were seen as a bundle of work that could be undertaken.

PROTOTYPE AND TEST

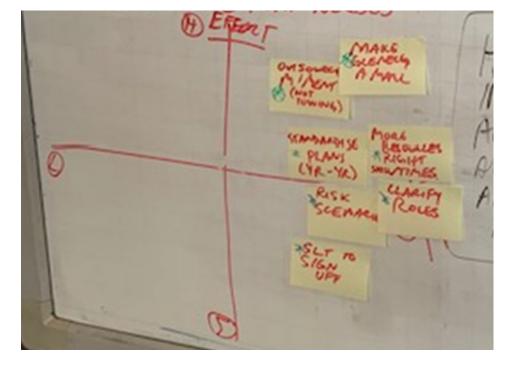
The aim of the Prototype and Test stage is to test solutions with users and iteratively fix problems / implement improvements. It involves:

- Prototyping.
- User testing.
- Iterative changes to service.

It is proposed that work be undertaken to test the outsourcing of parts of event traffic management. This was the most well supported idea in the ideation stage. Outsourcing may address many of the areas of risk, although the feasibility of an outsourced model has not yet been tested.

Risk Assessment

To help frame the prototyping and testing of future event traffic management approaches, further work has already been undertaken to assess its inherent risk. This is now included in the Council's Operational Risk Register as shown below with the inherent risk rating provided.



Risk Description	Date of last review	Responsible General Manager	Responsible Manager	Causes Potential and Actual What would cause this event to ocurr in the future (based on what we know)?	Consequences What would the consequences be to the City of Holdfast Bay if the risk did occur?	Likelihood	Consequence	Inherent Risk Rating
TE04 - Inadequate implementation of traffic management during events	15/06/23	General Manager Community and Business	Manager City Activation	- Inadequate assessment of risk ie: hostile vehicles etc - Poor interpretation of TMP, leads to abusive crowds - Insufficient/ineffective signage &/or staffing levels - Lack of training/inexperienced staff	 Vehicles in pedestrian areas/major injury to individuals Damage/harm to staff/property/businesses/livelihoods Damaged reputation/loss of event sponsors/attendance Community dissatisifaction 	Possible	Major	HIGH
TT02 - Inadequate traffic management processes in place to support corporate/community events	15/06/23	General Manager Assets and Delivery	Manager Engineering	 Lack of specialist knowledge/expertise re legistation Poor consideration of road traffic management safety Inadequate support for corporate/community events 	 non-compliant traffic/road management increased potential for incidents/accidents damaged reputation 	Possible	Major	HIGH

Critical risk controls that are in place and/or being considered are:

- Experienced event coordinators on team.
- Updated event documentation and senior management sign off.
- Event management team undertake Crowded Places Self-Assessment.
- Larger events Traffic Management Plans reviewed by SAPOL.
- Qualified/specialised staff in place.
- Documented traffic management policy/process.
- Stakeholder communication/community signage.

With these controls in place the residual risk rating is medium. This service review is one of the key treatment actions to further reduce risk.

Meeting with General Managers

Following the early discussions about the options available, a meeting was held with the two General Managers (Assets & Delivery and Community & Business) involved in this activity.

There were several points discussed and some decisions taken:

- It was noted that there have been several improvements in event traffic management since the commencement of this review. These include:
 - \circ $\;$ Improvement in processes following the process mapping exercise.
 - Regular meetings between the Events and Field Services teams, which have greatly improved coordination and delivery.
 - The recruitment of a casual pool of Field Services staff to back-fill for regular staff involved in event traffic or directly run event traffic management.
 - There are now 'templates' for event traffic management plans for regular areas in the city.
- Trying to get an understanding of the 'tipping point' that may occur whereby there are too many events which means that other Field Services work falls too far behind.
- Acknowledged that the underlying problem is one of resources to deliver event traffic management while continuing to deliver all that is required of Field Services staff.
- Outsourcing is an option that could be considered to address resourcing needs however other options may also be warranted.
- Events and event traffic management are part of the important business of Council. It is not legislated but does assist in delivering Council's strategic objectives.
- The General Manager Community and Business 'owns' event traffic management.
- It was noted that events now bring in some \$250k per annum, much of this is surplus.
- Agreed that a meeting with the Service Review team and the General Managers will be held to decide on next steps.

General Managers and Service Review Team meeting

A meeting with the General Managers and Service Review Team was held. The discussion was very productive and considered the information gathered through the service review. The meeting acknowledged that resourcing was the primary issue to resolve. The outcomes of this meeting were:

- Agreement that we focus on Council or Council-supported events. Independent events will continue to operate under their own traffic management arrangements.
- The need to monitor to ensure that we can adequately absorb the load of event traffic management.
- Being clear about the two main areas of event traffic management (1. Planning and 2. Delivery) when considering options such as outsourcing.
- Operating the 2023-24 events season largely along current lines noting:
 - More detailed recording of data relating to time taken in planning and delivery of event traffic management.
 - Also recording the impact on the other work of the Field Services team to quantify the opportunity cost of 'in-house' delivery.
 - \circ ~ Seek quotes for event traffic management for one/two events to enable comparison.
 - \circ $\,$ Monitor income from events to see if it adequately covers for the cost of event traffic management.
 - \circ $\;$ Acknowledged that the General Manager Community and Business 'owns' event traffic management.
- Agreed that the service review team meet again to decide on specific actions for the coming events season. This will include getting quotes for outsourcing of event traffic management.

2023-24 Event Season

The Service Review Team met again. They noted the improvements that had taken place to date and agreed to these actions:

- The Events/Depot meeting will look at what data should be collected in the coming events season with special attention on the NYE event. This should note:
 - Time/resources needed for event traffic management.
 - Impact on the other work of the depot. For example, it was noted that there is a backlog in kerb works of about 18 months. (e.g. work not done, increase in backlogs etc.).
 - How well the casual pool works.
 - If the day of the week impacts on this (i.e. a weekend event versus a weekday event)
 - Other information that can be useful.

It was also agreed that this group reconvene in April 2024 to review the events season and consider if outsourcing the 2024/25 New Year's Eve is worth considering.

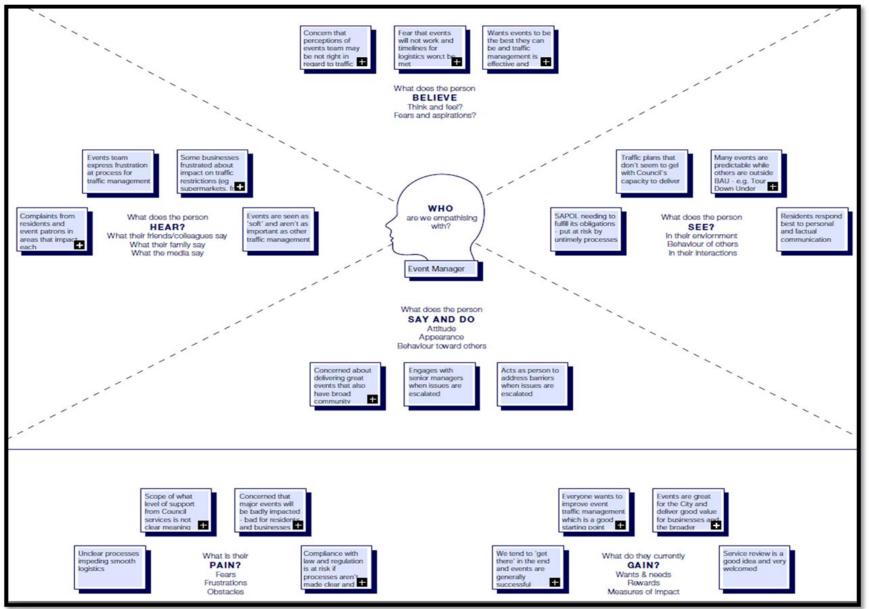
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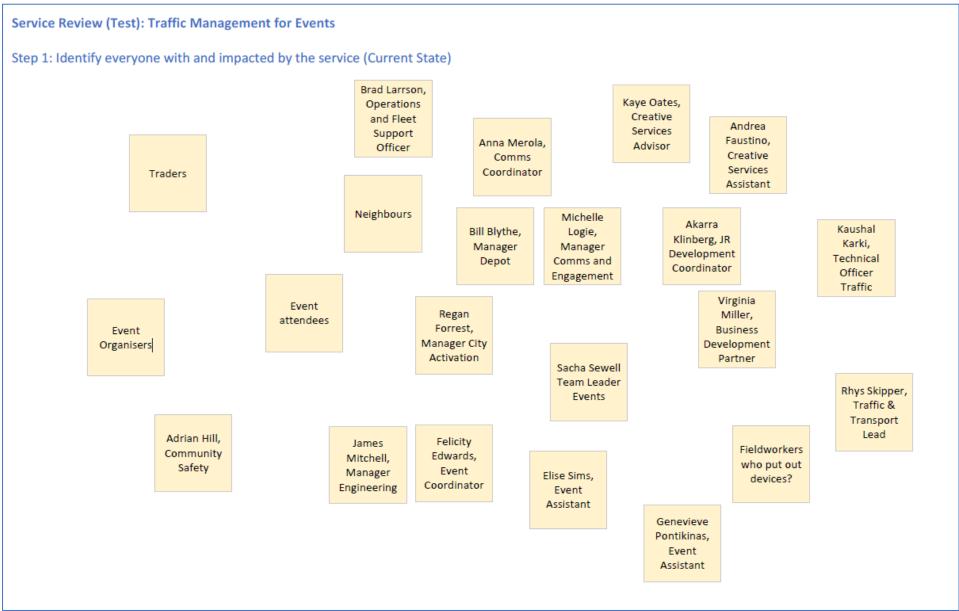
Attachment One - Empathy Map

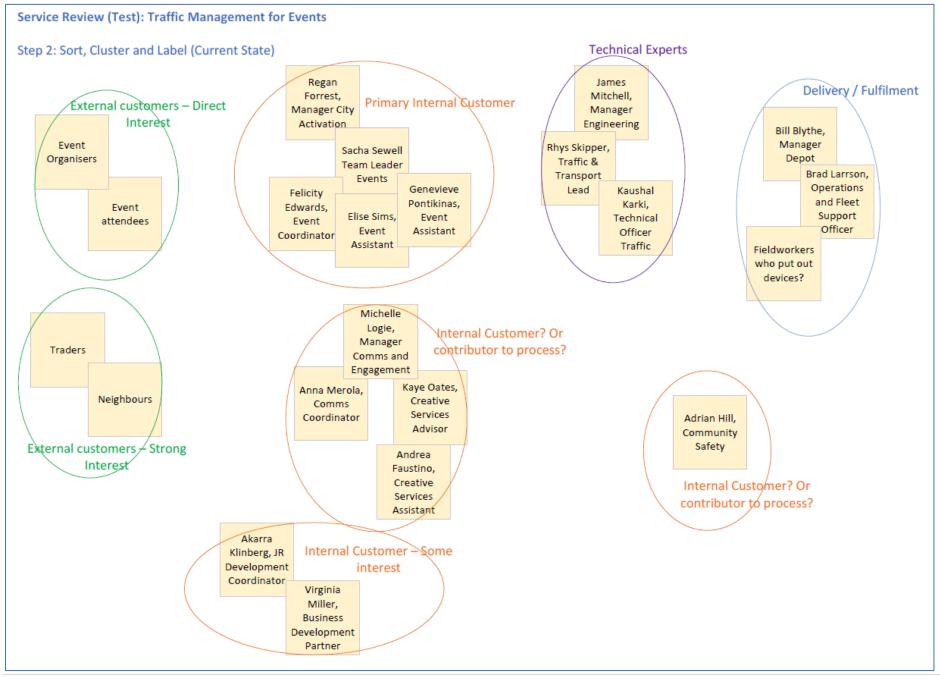


The table below shows detailed costings for large medium and small event traffic management.

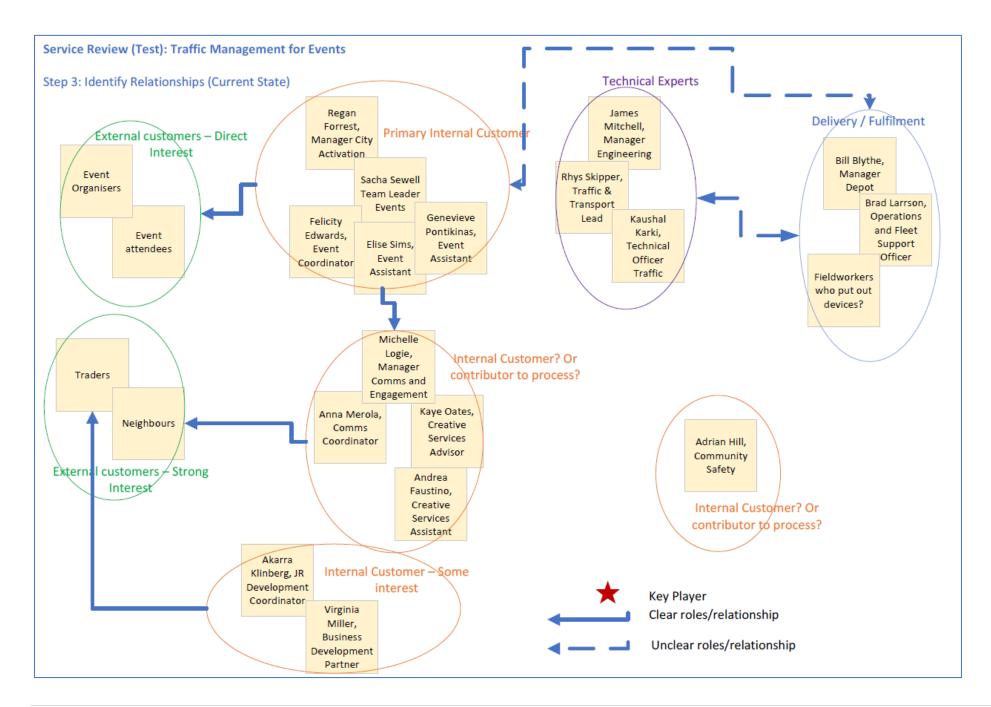
Event Traffic Cos	ost Breakdown																				_		
arge Event (City	ty to Bay)																						
		Depot Staff (hours)						Traffic Planning						Community Safety					Events				
			number of staff	Hours	hourly	rate Tr	ntal	Activity	number of sta	Hours	hourly rate	Total			number of staff Hou	urs hou	urly rate	Total	Activity	number of staf Hou	rs bour	v rate To	tal
		Gather signs /load trucks			8 \$ 35			Planning	10111021 01 310		4 \$ 45.00		180.00	Checking signage	1			\$ 90.00	Pre Planning	1		45.00 \$	
		Set Up	. 10		2 \$ 70			Create Plan	1		24 \$ 45.00		1,080.00	Towing	4	- •		\$ 720.00	Event Day	1		45.00 \$	
		Pack Down	10		2 \$ 70							S	-	Follow ups	1			\$ 135.00	Post Event	1		45.00 \$	
		Marshalls	10		3 \$ 70							S	-					s -					
		create work orders	1		1 \$ 3							\$	-					\$ -				\$	-
FULL TOTAL \$	9,115.00	Total				\$	6,055.00	Total				\$	1,260.00	Total				\$945.00	Total			\$8	855.00
Medium Event ((Proclamation Day)																						
		Depot Staff (hours)						Traffic Planning						Community Safety					Events				
			number of staff	Hours	hourly r	rate To	otal	Activity	number of sta	Hours	hourly rate	Total			number of staff Hou	irs ho	ourly rate	Total	Activity	number of staf Hou	rs hour	v rate To	tal
		Gather signs /load trucks			1 \$ 3			Planning	1		4 \$ 45.00		180.00	Checking signage	1			\$ 45.00	Pre Planning	1		45.00 \$	
		Set Up	4				280.00	Create Plan	1		2 \$ 45.00		90.00	Towing	1			\$ 90.00	Event Day	1		45.00 \$	
		Pack Down	4	4	1 \$ 70	0.00 \$	280.00				-	S	-	Follow ups	1	2 \$	45.00	\$ 90.00	Post Event	1		45.00 S	
		Marshalls	4	4	2 \$ 70	0.00 \$	560.00					S	-					s -				S	-
		create work orders	1	1	1 \$ 3	5.00 \$	35.00					\$	-					\$-				\$	-
FULL TOTAL \$	2,135.00	Total				\$	1,190.00	Total				\$	270.00	Total				\$225.00	Total			\$4	450.00
Small Event (Sur	rf Life Saving Junior (Carnival)																					
		Depot Staff (hours)						Traffic Planning						Community Safety	1				Events		_		
			number of staff	Hours	hourly r	rate To	otal	Activity	number of sta	f Hours	hourly rate	Total			number of staff Hou	irs ho	ourly rate	Total	Activity	number of staf Hou	rs hour	y rate To	tal
		Gather signs /load trucks		1	1 \$ 35			Planning	1		4 \$ 45.00		180.00					s -	Pre Planning	1		45.00 \$	
		Set Up		1			70.00	Create Plan	1		1 \$ 45.00		45.00					s -	Event Day	1		45.00 \$	
		Pack Down	1	1	1 \$ 70	0.00 \$	70.00					S	-					s -	Post Event	1	1\$	45.00 \$	45.00
		Marshalls	1	1	1 \$ 70	0.00 \$	70.00					S	-					s -				\$	-
		create work orders	1	1	1 \$ 3	5.00 \$	35.00					S	-					\$-				\$	-
FULL TOTAL \$	865.00	Total				Ś	280.00	Total				Ś	225.00	Total				\$ -	Total			\$	360.00

Attachment Three – Stakeholders





22 | P a g e



Attachment 3





Service Review



1. Purpose

The purpose of this policy is to ensure council services deliver the best possible outcomes for our community.

2. Scope

This policy applies to the whole of Council, excluding Alwyndor.

3. Roles and Responsibilities (examples below)

Council	Adoption of the Service Review Council Policy
Audit and Risk Committee	Periodic review of the Service Review Framework and Manual,
	consideration of review matters referred to it, advice to Council
	as required.
Senior Leadership Team (SLT)	Adopting and maintaining the Service Review Framework and
	Manual, scheduling service reviews, and referring review
	matters to Audit Committee and Council as relevant.
Employees	Participation in service reviews as required.
Strategy and Governance Team	Responsible for:
	- maintaining the Service Review Framework and Manual
	- leading and supporting service reviews as instructed by the
	Senior Leadership Team
	- reporting on service reviews undertaken.

4. Policy Statement

- 4.1 Council acknowledges that the community expects a high standard of service and commits to ensuring that service reviews be undertaken in order to ensure services are:
 - effective, that is, they achieve what the service user needs
 - efficient, that is, cost-value considerations are appropriately balanced
 - appropriate, that is, they are within Council's power and are strategically aligned
 - equitable, that is, they can be accessed by those who need them
 - responsible, that is, the precautionary principle, intergenerational equity and accountable governance are embedded in their design.
- 4.2 Service reviews must apply a robust human-centred design methodology that ensures services meet service users' needs. Users' views and inputs will be actively sought out in service reviews and a co-design model is preferred.





- 4.3 Service reviews will be undertaken in a respectful and psychologically safe manner. They will not be used to undertake performance management or as a method to achieve savings targets.
- 4.3 A Service Review Framework and Manual will be developed and maintained on Council's behalf by Administration to guide service reviews. This document may be updated from time to time as best practice changes, or as lessons from implementation need to be applied. Updates must be approved by the Senior Leadership Team.
- 4.4 The Audit and Risk Committee will review the Service Review Framework and Manual once in every Council term.
- 4.5 The Audit and Risk Committee will receive reports regarding service reviews, as they are completed. The Audit Committee may choose to refer these reports to Council for noting or further attention, as required.

Key term or acronym	Definition
Administration	Staff, processes and systems that make up the organisation which delivers services to the community under the guidance of Council.
Audit and Risk Committee	The Audit and Risk Committee of Council
Council	The elected body
Human centred design approach	Human-centered design is an approach that aims to make services and systems usable and useful by focusing on the users, their needs and requirements, and by applying human factors, and usability knowledge and techniques. (Paraphrased from ISO 9241-210:2019(E)).
Service	A service is an 'end to end' process that delivers an output to an identified user. That is, a service may be experienced by a user as a transaction (for example, paying rates), or as a benefit they use (for example, a road), or as something they receive (for example, waste collection).

5. Definitions





6. Administration Use Only

Reference Number:	
Strategic Alignment:	This policy supports the delivery of the Strategic Plan by ensuring services provided align with the strategic intent and goals of the plan.
Strategic Risk:	This policy mitigates strategic risk by ensuring strategic alignment throughout all services.
Responsible Officer(s):	Manager Strategy and Governance
First Issued / Approved:	
Minutes Date and Council Resolution Number:	
Last Reviewed:	
Next Review Date:	
Applicable Legislation:	Local Government Act 1999
Related Policies:	
Other Reference Documents:	Service Review Framework and Manual



Item No: 8.5

Subject: ORGANISATIONAL GENERATIVE AI USE POLICY

Summary

Generative AI (GenAI) is a type of artificial intelligence (AI) that uses machine learning algorithms trained on very large data sets to create new/original content, such as text, images, videos and audio.

1

GenAI tools can provide many benefits but also carry risks. The proliferation and widespread availability of these tools means that blocking their use is not feasible or desirable. To support their safe use, an organisational Generative AI Use Policy has been developed and is provided for noting.

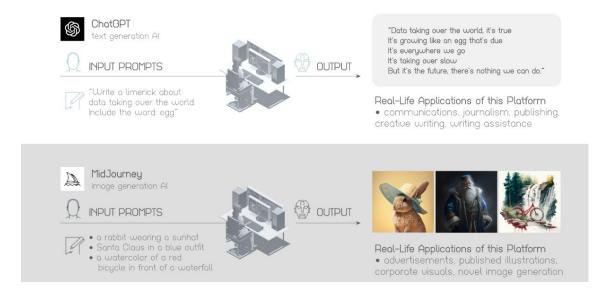
Recommendation

It is recommended that the Audit and Risk Committee notes the Organisational Generative AI Use Policy (Attachment 1).

Background

Generative artificial intelligence (GenAI) tools are a relatively new set of technologies that are becoming more commonly used.

GenAI tools use very large volumes of data along with some machine learning techniques to produce content based on inputs from the users (known as prompts). To illustrate:



Source: https://www.visualcapitalist.com/generative-ai-explained-by-ai/

Examples of GenAl tools include ChatGPT, Bard, Midjourney, Synthesia and presentations.ai but there are hundreds of tools readily available and many more being created every day for a wide range of applications.

Report

GenAl tools have enormous potential to improve productivity, increase efficiency and reduce costs. For example, writing and content creation tools can summarise vast amounts of text in seconds or minutes, as well as generate new text or creative content. Other tools can create presentation outlines in minutes, helping to efficiently and effectively communicate even complex subject matter. Image design and video tools enable people with no experience or training to create content that previously would have cost thousands or more dollars in professional service fees.

Despite their benefits, these tools have limitations and there are risks associated with their use. Risks include compounding bias caused by limitations in their training data sets, misinformation, copyright and plagiarism issues and potential malicious use of data by third parties. The biggest risks to the City of Holdfast Bay are:

- staff may not understand the nature of the tools they're using and may either inadvertently input data inappropriately (eg confidential, sensitive or personal data), or inappropriately rely on the outputs generated (eg not fact check adequately).
- inappropriate use of a tool may result in an erosion of community trust or organisational credibility.

Many of these tools are online and offered on a freemium¹ basis, which means they can be used by staff without needing to seek permission from Information Technology (IT) governance channels. As these tools are proliferating daily, controlling for them via internet controls is not viable. Therefore, managing their risks by preventing their use is not feasible. It is also not desirable to prevent staff from finding efficiencies or improvements in their work methods.

To support staff in the responsible use of GenAl tools, an organisational policy has been developed and is provided for information as Attachment 1. The policy is supported by a staff education campaign which explains these tools, their benefits and their risks. Staff are encouraged to experiment safely by minimising prohibitions to those that are strictly necessary (for example, no decision-making by tools, no inputting of sensitive, confidential or personal data), while remaining cognisant of the risks and limitations of the tools they are using.

Refer Attachment 1

Information sessions will be provided as often as staff require and the policy will be updated as technologies advance or conditions change.

¹ Refers to the common technology business model where basic features of a product are offered to users at no cost, while more advanced features require payment (eg, via subscription).

Budget

There are no budget requirements associated with this proposal.

Life Cycle Costs

There are no life cycle costs associated with this proposal.

Strategic Plan

Innovation is one of the three focus areas of *Our Holdfast 2050+* and includes aspirations for the early adoption and experimentation with beneficial technologies.

Council Policy

Organisational Generative AI Use Policy

Statutory Provisions

Local Government Act 1999

Written By:	Manager, Strategy and Governance
General Manager:	Strategy and Corporate, Ms S Wachtel

Attachment 1





ORGANISATIONAL GENERATIVE AI USE POLICY

First Issued / Approved: Last Reviewed:	28/09/2023 N/A	
Next Review:	28/09/2026	
Responsible Officer:	Manager Strategy and Governance	

1. PREAMBLE

Generative artificial intelligence (GenAI) tools are a relatively new set of technologies that are becoming more commonly used. Examples include ChatGPT, Bard, DALL-E, Copy.ai, Rephrase.ai, Designs.ai, amongst many others.

1.1 Background

GenAl has recently come to prominence via widespread coverage of ChatGPT, but there are a growing number of these technologies already available both with stand-alone functions (such as ChatGPT) and embedded into other tools (such as Canva). The availability and use of these (typically) free and open-source technologies is expanding rapidly.

While these technologies can provide opportunities for productivity gains, they both contain and create a range of risks that need to be proactively managed to protect organisational data, credibility and reputation.

1.2 Purpose

This policy articulates the acceptable use of open-source and/or free GenAI at the City of Holdfast Bay and Alwyndor. This policy does not apply to enterprise-grade tools that have been formally deployed, which are subject to a rigorous vetting and testing process.

1.3 Scope

This policy applies to the whole of council administration, including Alwyndor, as well as any consultants or contractors engaged by Council.

1.4 Definitions

Bias – refers to a prejudice for or against one person or group that is unlawful or unfair. In the case of GenAI, bias may be inherent in the data set the tool is learning from. For example, by over-representing negative stereotypes, or by excluding certain people.

Confidential data – includes any information that is expressly prevented from public release by Council's orders, or any information that is likely to become subject to Council confidentiality orders, or any information not publicly available.

ORGANISATIONAL GENERATIVE AI USE POLICY

GenAl – refers to a range of technologies that leverage data, machine learning and prompts to create new data (such as text, images, video, audio and similar content).

Personal data – refers to a broad range of information that could identify an individual. What is personal information will vary, depending on whether a person can be identified or is reasonably identifiable in the circumstances, but may include information such as a person's name, signature, address, phone number, date of birth, photographs, IP addresses, voice print, biometrics and location information.

Sensitive data – refers to personal data that includes information or opinion about an individual's racial or ethnic origin, political opinions or associations, religious or philosophical beliefs, trade union membership or associations, sexual orientation or practices, criminal record, health or genetic information and biometric information.

Use case – refers to specific situations or applications in which a product or service could potentially be used.

1.5 Strategic Reference

Council's vision for 2050+ is, in part, to create "a welcoming and healthy place for all in South Australia's most sustainable city".

These technologies have inherent risks of bias and inequity, which must be corrected for if the City is to be welcoming for all.

Council's vision can only be achieved in partnership with the community, who need to be able to trust the organisation. Therefore, reputational and credibility risks need to be proactively managed.

Furthermore, one of the aspirations in the innovation focus area proposes to create conditions for early adoption and experimentation with beneficial technologies. Responsible use of Gen AI should therefore be encouraged.

2. PRINCIPLES

- 2.1 GenAl technologies are a tool. We are responsible for the outcomes of the tools we use. Everything we do, regardless of the tools, is a reflection of the organisation and our City. We are stewards of the public, and we must use these tools respectfully and responsibly.
- 2.2 Staff are encouraged to experiment with GenAI technologies where they can provide productivity or quality improvements, subject to the caveats in this policy.
- 2.3 We rely and trust our staff to do the right thing given the right tools and guidance. You will need to exercise your judgment to make sure we get the benefits from the tools while avoiding the negative impacts for the City and our community. If in doubt about a particular tool or use case, consult the policy owner.

2

ORGANISATIONAL GENERATIVE AI USE POLICY

- 2.4 The use of any technology should support our work to deliver better, safer, more efficient and equitable services to our community. Examples of appropriate uses, subject to the caveats in this policy, may include:
 - quickly sourcing, synthesizing, or summarising publicly available content
 - creating or modifying images or videos
 - rewording content in a particular style (for example, simple language, or language aimed at a particular reading age)
 - creating dynamic presentations
 - to generate ideas
 - creating a mock version of your work after your own version, to check whether you missed anything.
- 2.5 These tools are not a replacement for critical thinking or decision-making. You cannot outsource your thinking to any technology.
- 2.6 No personal, sensitive or confidential data may be used in GenAl products of any kind. Be aware that confidentiality can be a matter of timing (for example, preparing a report that may become public, but is not yet approved by Council.)
- 2.7 Staff who use GenAI technologies need to be aware of, and correct for, the inherent risks of these technologies, which include:
 - bias and equity
 - data privacy
 - misinformation
 - malicious use of data by third parties
 - copyright and plagiarism
 - inhuman or inhumane writing
 - erosion of credibility and trust.
- 2.8 GenAI and other technologies cannot be used for decision-making.
- 2.9 If using GenAl tools, disclose the use via in-document referencing. Disclosure builds trust through transparency and may help to catch errors. Consider including information about which tool you used, how you used it and the prompts you used, for example:
 - This description was generated by ChatGPT 3.5 and edited by [Your name], following the prompt "What is XYZ"
 - This text [uploaded or searched out by the tool etc] was summarised using Google Bard.
- 2.10 GenAI content should not be solely relied upon and fact checking must be undertaken via other, reliable sources.

ORGANISATIONAL GENERATIVE AI USE POLICY

2.11 Given the fast-changing nature of these technologies, this policy may be reviewed prior to the scheduled review date. Staff are encouraged to discuss queries, concerns or potential applications/uses with the policy owner to enable organisational learning and adaptation.

3. **REFERENCES**

3.1 Legislation

Local Government Act 1999

3.2 Other References Strategic Plan – Our Holdfast 2050+ Employee Code of Conduct