|  |  |
| --- | --- |
| «DG or Director name»  Accountable Officer  «Organisation»  T: «contact number»  E: «email address» |  |

«SRO name»

«Organisation»

Our ref: «eRDM Doc id ref»

«Date»

BY EMAIL

Dear «SRO name»

# Appointment as Senior Responsible Owner (SRO) for the

I am writing to confirm your appointment as Senior Responsible Owner (SRO) of the «Programme or Project name», with effect from «Date».

You will be directly accountable to me, as Accountable Officer. This role will become the focus of your responsibilities and require a substantial amount of your time. You should ensure you can dedicate appropriate time and attention to it.

As SRO you will have personal responsibility for delivery of the «Programme or Project name». You will be held responsible for the delivery of its objectives and policy intent; for securing and protecting its vision and for influencing constructively the context, culture and operating environment of the project. You must also ensure the «Programme or Project name» is subject to [independent assurance](https://www.gov.scot/publications/scottish-public-finance-manual/major-investment-projects/major-investment-projects/) at appropriate stages is governed responsibly, reported honestly and issues are escalated appropriately.

In addition to your internal responsibilities, you should also be aware that as your Accountable Officer I am personally answerable to the Parliament for the exercise of my functions and you could be called to give evidence in relation to the delivery of the «Programme or Project name». You will be expected to account for and explain the decisions and actions you have taken to deliver the project (or specific milestones), from the date of signature of this letter.

It is important to be clear that your accountability relates only to implementation: it +will remain for the Minister to account for the relevant policy decisions and development.

Detailed SRO roles and responsibilities are attached at Annex 1. You should follow the guidance in that document. You should also make sure you understand the guidance [Giving Evidence to Select Committees](https://www.gov.uk/government/publications/departmental-evidence-and-response-to-select-committees-guidance) and [Appearing before a Scottish Parliament committee](http://www.parliament.scot/visitandlearn/16705.aspx).

You should also make yourself aware of the [Scottish Public Finance Manual guidance](https://www.gov.scot/publications/scottish-public-finance-manual/major-investment-projects/major-investment-projects/) on management of major investment projects:

# **Tenure of position**

You are required to undertake this role until completion of the «programme/project» in «quarter or year», and for a period of «xx months» post implementation to ensure changes are embedded in Business As Usual arrangements. Progress towards this will be reflected in your personal objectives. Should you depart the role of SRO before closure, you should agree a succession plan with myself as Accountable Officer.

# Objectives and Performance Criteria

The «Programme or Project name» supports the following commitment(s) from the Programme for Government:

* «PfG reference»
* «add as required to a maximum of 3»

Proposed changes to the «programme/project» scope which impact on this intent or benefits realisation must be authorised by the «title of programme/project board» and may be subject to further levels of approval.

The vision of the «programme/project» is as follows:

«brief paragraph encapsulating the vision».

The benefits this is intended to achieve are:

* «one-line benefit description»
* «add as required to a maximum of 6»

Your personal objectives and performance criteria are:

* «key deliverable in SMART format»
* «add as required to a maximum of 6»

In addition you must consider the impacts on sustainability of people and place alongside anticipated costs and benefits. Ensuring these are managed to maximise the positive and minimise the negative impacts in a proportionate manner.

# Extent and limit of accountability

## Finance and Controls

Scottish Government spending controls will apply on the basis set out within your Directorate General’s delegated authority letter. Where the «Programme or Project name» exceeds the delegated authority set by the [Scheme of Delegation](http://www.gov.scot/Topics/Government/Finance/spfm/delegauth), the details of each approval process must be agreed with your DG Budget Holder. You should consult your Finance Business Partner on how to do this.

You should also note that where expenditure is considered novel, contentious, complex or likely to result in material costs to other parts of the public sector, ET approval will be required, regardless of whether the programme expenditure exceeds the delegated authority set by the Scheme of Delegation. If in doubt about whether approval is required, you should, in the first instance, consult your Finance Business Partner.

The anticipated whole-life cost for the «Programme or Project name» is £«amount», inclusive of fees and VAT. The allocated budget for «year 1» is £«amount». The current approved expenditure figure is £«amount» which provides cover for «year 2». In moving towards «year 2», you should be aware of any conditions or controls which have been agreed as part of current agreed financing.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Your overall agreed programme budget is shown below: | | | | | | |
| **Financial Year** | **22/23** | **23/24** | **24/25** | **25/26** | **26/27** | **Total** |
| Revenue |  |  |  |  |  |  |
| Capital |  |  |  |  |  |  |
| **Total** |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| **Agreed Budget** |  |  |  |  |  |  |

You should operate at all times within the rules set out in [Scottish Public Finance Manual](http://www.gov.scot/Topics/Government/Finance/spfm/Intro). In addition, you must be mindful of, and act in accordance with, the specific finance guidance on delegated limits and controls relevant to the «Programme or Project name».

## Delegated project authority

* You are authorised to approve expenditure in line with your [delegated authority](http://www.gov.scot/Topics/Government/Finance/spfm/delegauth), and subject to controls put in place by the Scottish Government as part of the business case approval process.
* You are authorised to agree project rescheduling within agreed milestones but significant rescheduling must be agreed with the «title of programme/project board» and, as necessary, Ministers.
* You are also responsible for recommending to Ministers, the Permanent Secretary and the «title of programme/project board» the need to either pause or terminate the investment where necessary, and in a timely manner.
* Where issues arise which you are unable to resolve, you are responsible for escalating these issues to the Permanent Secretary and Ministers.

# **Project Status**

The Project Status at the date of your appointment is reflected in the most recent [Risk Potential Assessment](http://www.gov.scot/Topics/Government/ProgrammeProjectDelivery/Template/IATemplates) submitted to the Portfolio, Programme and Project Assurance hub (copy attached). This is the agreed position as you assume formal ownership of the programme.

# **Support and Development**

On appointment please contact the [Programme and Project Management Centre of Expertise](mailto:ppm-coe@gov.scot) to discuss the appropriate level of SRO training and development for your role and to organise a place on their SRO/Project Leadership Development Programme.

You should familiarise yourself with the relevant sections of the [Scottish Public Finance Manual](http://www.gov.scot/Topics/Government/Finance/spfm/Intro), along with Scottish Government’s [Principles for Programme and Project Management](https://www.gov.scot/publications/scottish-governments-principles-programme-project-management/). Useful information on the role and support available to SROs can be found via the [Programme and Project Management Centre of Expertise.](mailto:ppm-coe@gov.scot)

To widen experience and understanding of the your role, I encourage you to become an accredited [Independent Assurance reviewer](http://saltire/my-workplace/Learning/Professional-development-and-functions/Pages/Gateway-reviewer.aspx) and to lead or participate in reviews for other areas of the Scottish Government, the wider Scottish public sector or UK Government departments.

I would like to take this opportunity to wish you every success in your role as SRO.

Yours sincerely

«DG or Director name»

Accountable Officer

«Organisation»

Cc: Sharon Fairweather - DirectorofInternalAuditandAssurance@gov.scot;

Portfolio, Programme and Project Assurance hub –[PPPAssurance@gov.scot](mailto:PPPAssurance@gov.scot)

Programme and Project Centre of Expertise – [ppm-coe@gov.scot](mailto:ppm-coe@gov.scot)

# **Confirmation**

I confirm that I accept the appointment, including my personal accountability for implementation of the project as detailed in the letter above.

Signature of SRO:

Name of SRO:

Date:

**Annex 1 - SRO Role and Responsibilities**

(this may need tailoring to the programme or project)

## The Role of the Senior Responsible Owner (SRO)

An SRO will:

* Be a visible, engaged and active project leader, not a figurehead;
* Deliver the agreed outcomes and benefits;
* Create an open, honest and positive culture committed to delivering at pace;
* Challenge senior officers and Ministers when appropriate and escalate quickly;
* Provide appropriate support, steer and strategic focus to the Project Director and ensure that they have a clear and current letter of appointment; and
* Have sufficient time, experience and the right skills to carry the full responsibilities of the role.

## Specific SRO accountabilities:

You must ensure the effectiveness of the governance, assurance and project management arrangements and maintain them throughout the life of the programme.

Ensure that the project is set up for success

* Ensure that the project is set-up to make an unambiguous and demonstrable link to strategic policy;
* Translate this policy intent into clear deliverables which are established and agreed with senior stakeholders;
* Carry out a robust and commercially viable options appraisal, which balances risk with opportunity, as part of initial project feasibility;
* Establish a firm business case for the project during the initiation/definition phase and ensure that any planned change continues to be aligned with the business;
* Identify and secure the necessary investment for the business case (this includes both budget and operational resource);
* Design and implement robust, appropriate and transparent project governance;
* Build strong and effective relationships with key stakeholders, justifying their trust and retaining their confidence, and obtain their commitment to benefits realisation.

Ensure that the project meets its objectives and delivers the projected benefits

* Gain agreement to the project objectives and benefits amongst stakeholders, including Ministers where appropriate;
* Understand the broader government perspective and its impact on the project;
* Ensure the strategic fit of the project objectives and benefits;
* Agree a clear and simple approach to performance management and monitor delivery of the objectives and benefits, taking appropriate action where necessary to ensure their successful delivery.

Develop the project organisation structure and plan

* Ensure that there is a coherent organisation structure and appropriately detailed project plan;
* Build the right team, securing necessary resources and skills and providing clear lines of accountability;
* Provide appropriate support, steer and strategic focus to the Project Manager and Board.

Monitor and take control of progress

* Monitor and control the progress of the project at a strategic level, being honest and frank about project progress, risks and issues;
* Ensure that any changes to agreed project benefits are flagged appropriately within project governance and that the business case is updated accordingly (throughout project life-cycle);
* Ensure that the integrity of the project is maintained and speak truth to power – including to Parliamentary Select Committees;
* Communicate effectively with senior stakeholders regarding project progress and provide clear, appropriate and delivery-focused decisions and advice to the Project Manager.

Ensure problem resolution and referral processes are appropriate and effective

* Identify, understand and drive the successful mitigation of project risks;
* Escalate serious issues quickly and with confidence to senior management and/or Ministers;
* Develop strong and effective engagement between the project team and its stakeholders and sponsors;
* Ensure that communication processes are effective and that the project’s objectives and deliverables continue to be consistent with the organisation’s strategic direction.

Ensure that the project or programme is subject to assurance at appropriate stages

* Recognise the value of robust project assurance and ensure it occurs at key points in the project lifecycle, particularly at the pre-initiation (feasibility) and initiation stages;
* Complete a [Risk Potential Assessment](http://www.gov.scot/Topics/Government/ProgrammeProjectDelivery/Template/IATemplates/RPA) form to initiate engagement with corporate independent assurance providers;
* For IT and digital projects, ensure that the requirements of the [Technology Assurance Framework](https://resources.mygov.scot/standards/technology-assurance-framework) are observed;
* Make certain that any recommendations or concerns from reviews are met or addressed in a timely manner;
* In the event of a “red” or “amber-red” Delivery Confidence Assessment review rating, ensure that the Accountable Officer has been made aware of the situation and has been briefed accordingly.

Manage formal project closure

* Formally close the project or programme and ensure that the lessons learned are documented within the final evaluation report and disseminated to key stakeholders;
* Ensure that the post implementation review takes place and that the output is communicated to the appropriate stakeholders;
* Ensure a plan for both long term benefits realisation and on-going sustainability is agreed with key stakeholders as part of the process of moving the project to “business as usual”