



# Historical Matters Business Unit Organisational Review - DRAFT

*Short Sprint Review  
August - September 2021*

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Group General Counsel*

## HMBU | Short Sprint Deliverables

- HMBU 21/22 purpose, success criteria, and deliverables
- Review org structure and resource and assess current HMBU capabilities
- Review RACI
- Set out clear governance and delegated authorities
- Articulate clear signature processes (meetings, forums and reporting)
- Review MI provided in those signature processes
- Review budget and forecasting process and controls
- Develop Forward Plan / Programme Timetable with governance touch points/milestones
- Recruit key leadership talent to oversee team(s)

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2

## HMBU | High Level Preliminary Observations

- **Strategic Direction –**
  - Lack of overarching strategy or articulation of success criteria for HMU (and the individual workstreams)
- **Organisational Structure and Resource –**
  - Absence of a leadership team (previous current model akin to a single general and troops). We need senior managers leading, directing, and managing in the different workstreams.
  - There are capability gaps (technical, behavioural, ie board reporting, governance, lack of “feeling ownership/ accountability”, lack of “delivery” focus, inability to plan and forecast, etc.)
  - Query on the right level of resources. Over 28 BA/PM? 4 in Finance?
  - Low morale
- **Deliverables and Accountabilities –**
  - Lack of clearly articulated deliverables with supporting actions which are updated and reported from the workstream level,
  - Lack of RACI
  - New governance needs to be embedded
- **Project Management & Signature Processes**
  - Lack of centralised “one stop shop” data repository of programme management documentation – constant bespoke reporting driving time and cost
  - Lack of clearly articulated signature processes (forums/meetings, resulting in too many meetings with too many people, which is not understood by those within HMBU and or its stakeholders)
- **Planning and Forecasting –**
  - Poor forward planning of activity and budget forecasting (e.g putting in a token amount in the budget and then having to justify the uplift and rationale when the previous budget had little rationale or knowingly reducing the budget to a “palatable level” knowing that it will cost more).
- **Complex ways of working** although principally driven by project drivers and stakeholders (ie shareholder involvement, independent panel, spilt roles) but which results in more work and cost.

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## Programme outcomes and success criteria

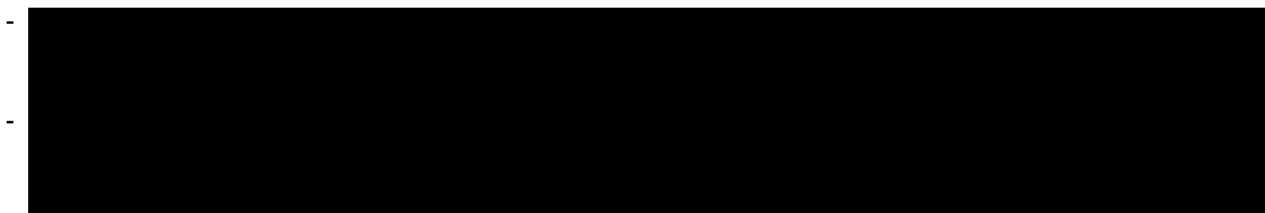
The purpose of the HM Business Unit is to provide a dedicate resource to resolve the historical horizon / GLO issues.

The remit of the HMBU programme includes:

- Managing the overturning of previous criminal convictions via the Courts
- Managing compensation (liability and quantum) processes arising from malicious prosecution, breach of good faith claims connected with historical horizon and GLO issues
- Managing the Historical Shortfall Scheme including Stamps Scheme (shortfall claims for HNGX and before and ancillary claims but not all GLO non-conformance)
- Supporting the IDG and Inquiry Programmes

It does not manage ongoing conformance with the Group Litigation obligations.

- GE / Board are asked to note/discuss:



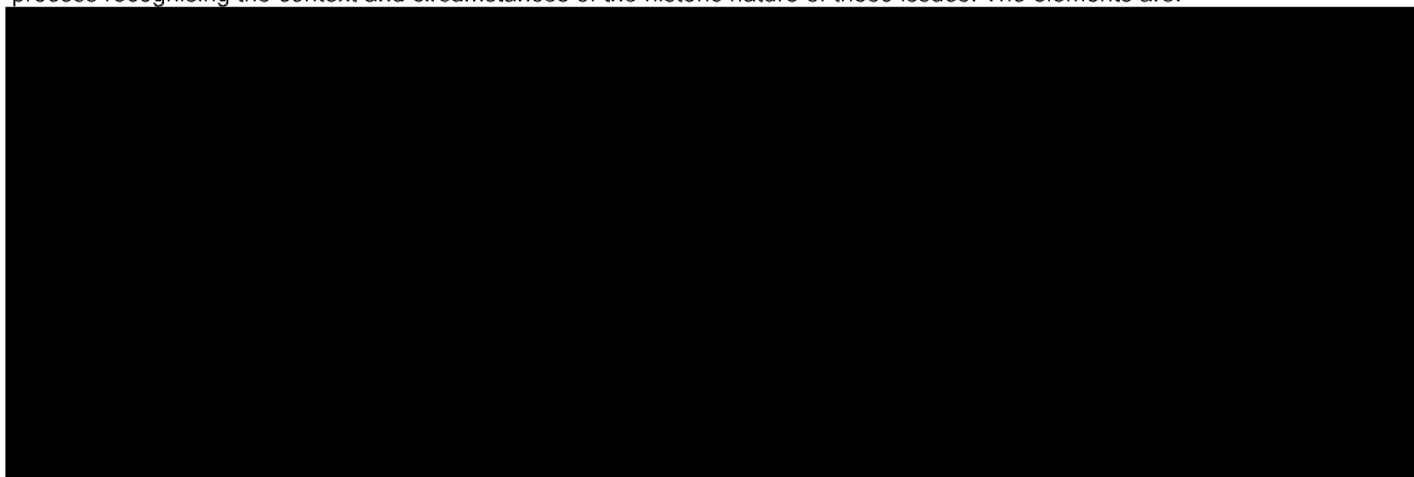
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4

## Template – e.g HMU Success

In order for the HSS to be successful it requires the scheme to fairly resolve historical shortfall claims within a reasonable period (shorter than a litigation timetable). The scheme needs to provide appropriate and fair compensation through a fair process recognising the context and circumstances of the historic nature of these issues. The elements are:



## HMBU | Next Steps

**Continue to conduct the review focusing on success, deliverables, resource, forward plans, signature processes**

**Engage with KPMG for support and industry benchmarking/expertise**

**Provide a preliminary review to GE, HM Remediation Committee & Board in September and updated throughout 2021 (together with a separate Budget paper)**

**Finalise Review and develop a resource plan to create efficiencies and onboard appropriate leadership roles**

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6



## Appendix

## HMBU | Deliverables List - draft

- Criminal Appeals Process (Potential Future Appellants)
- Overturned Convictions Compensation (interim and full settlement)
- HSS
- Stamp Scheme
- Settlement 2019 Conformance
- 555 (litigation funding)
- S17 Assurance
- Law Enforcement Policy review
- Investigations Review
- SRA
- Funding – wrongful trading; financial envelope;
- Project Management Review
- Dependencies/Linkages:
  - IDG / GLO conformance (including PM Detriment, Investigations, Aged Balances)
  - Inquiry
- FOIA/DSAR
- Programme Management
- Assurance/Audit

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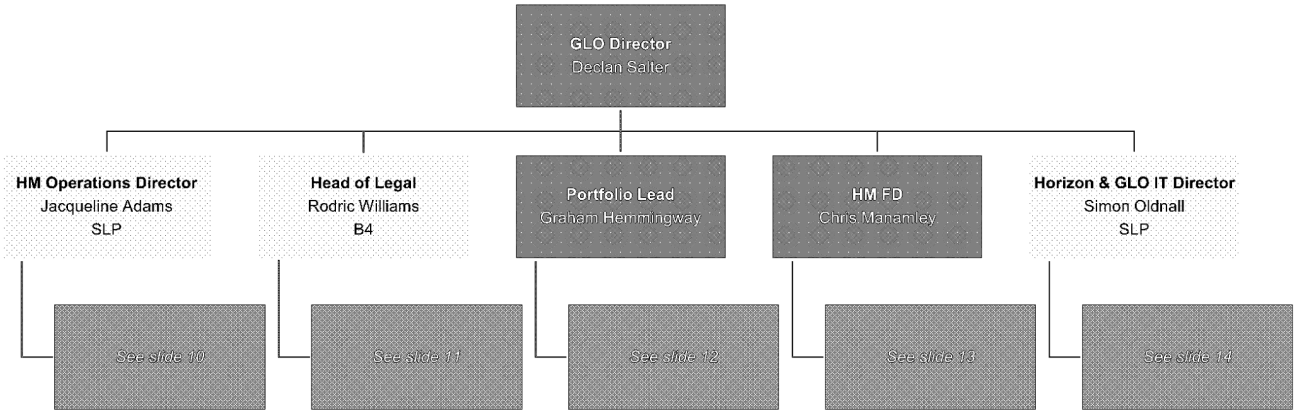


8



Org Chart | HMBU Lead Team

	Existing Role
	Contractor

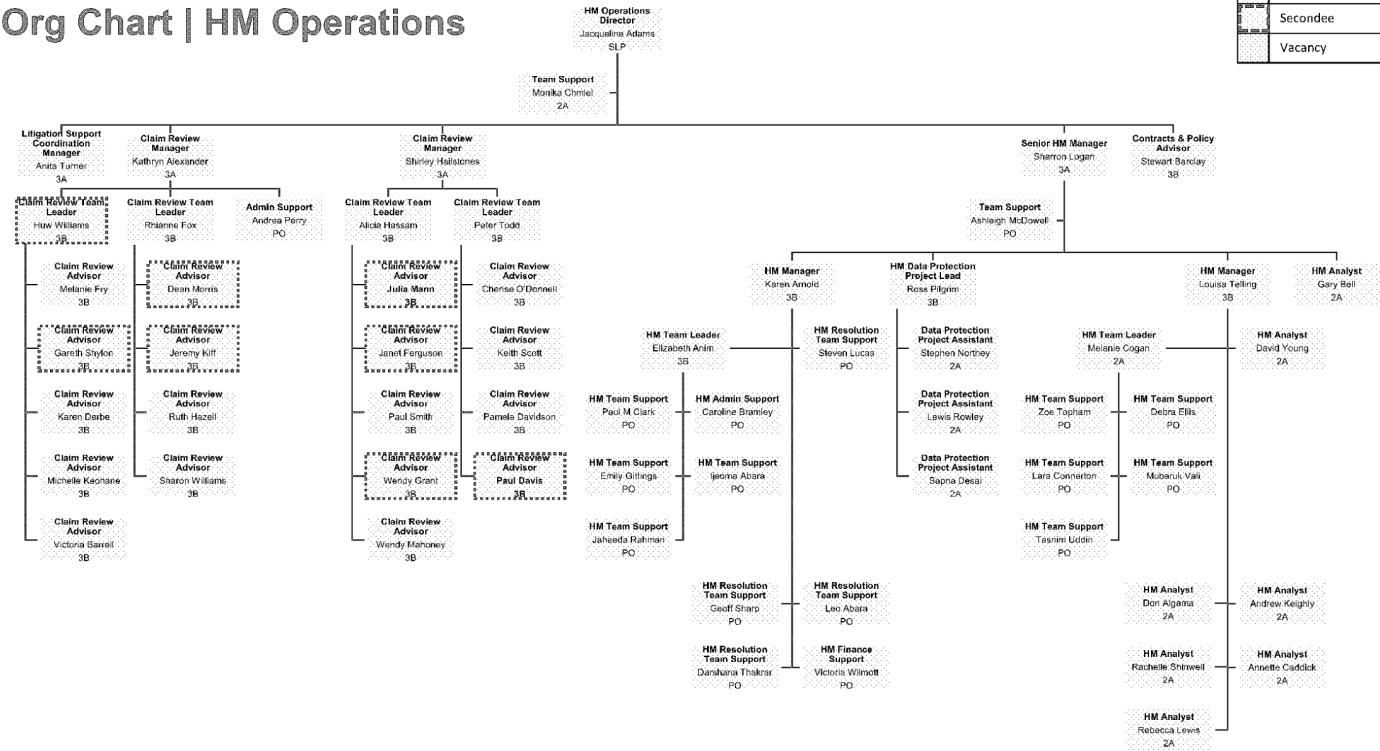


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Tab 6 Historical Matters Business Unit Review

Org Chart | HM Operations

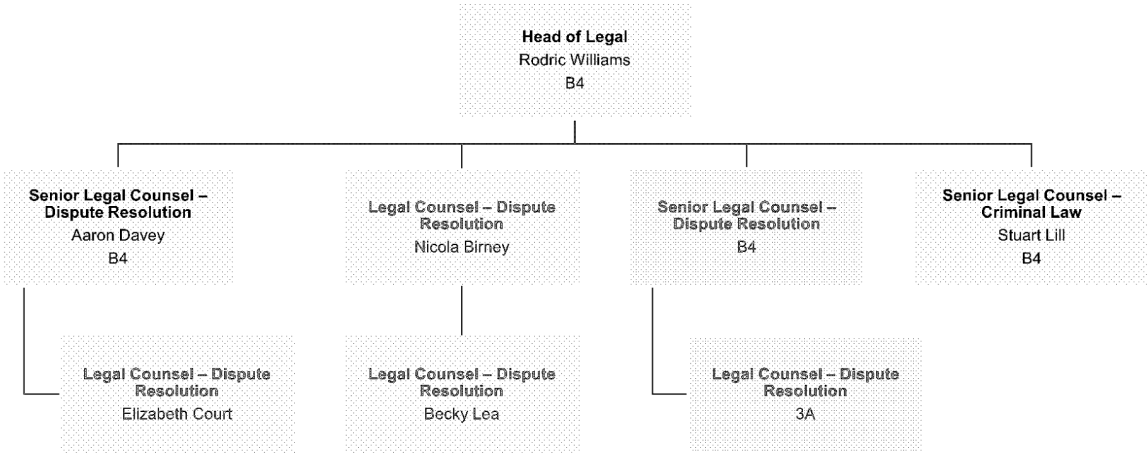
	Existing Role	54
	Seconded	8
	Vacancy	0



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	GE Member
	Existing Role
	Vacancy
	FTC
	Contractor

Org Chart | HM Legal

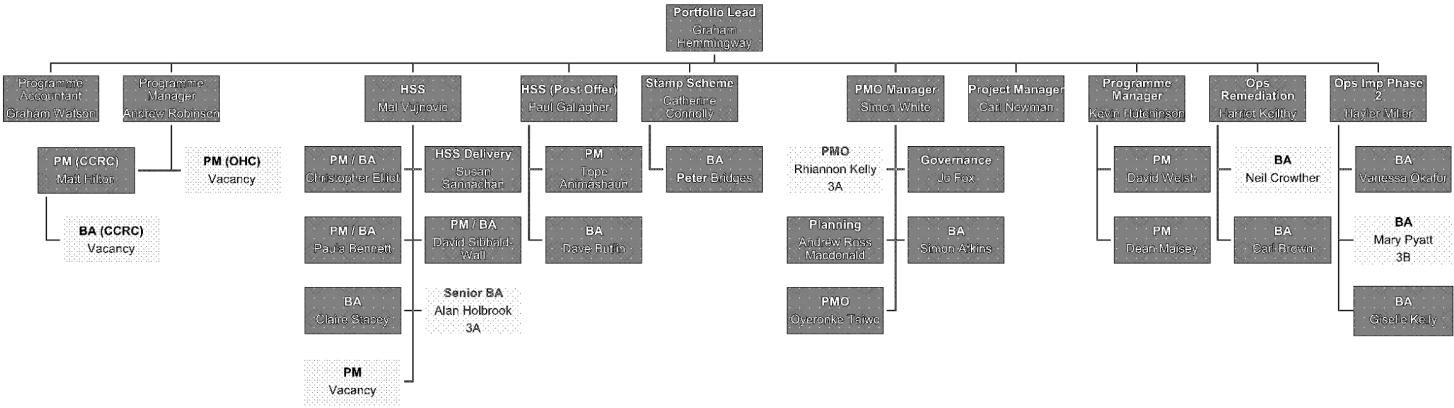


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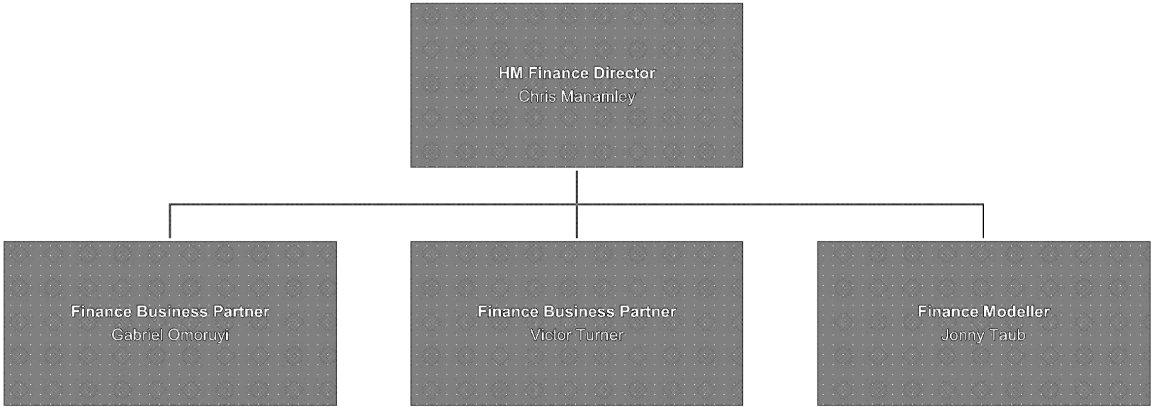
Org Chart | HM Portfolio

	Existing Role	5 (4)
	Contractor	32 (33)
	CR Vacancy	3



Contractor

Org Chart | HM Finance

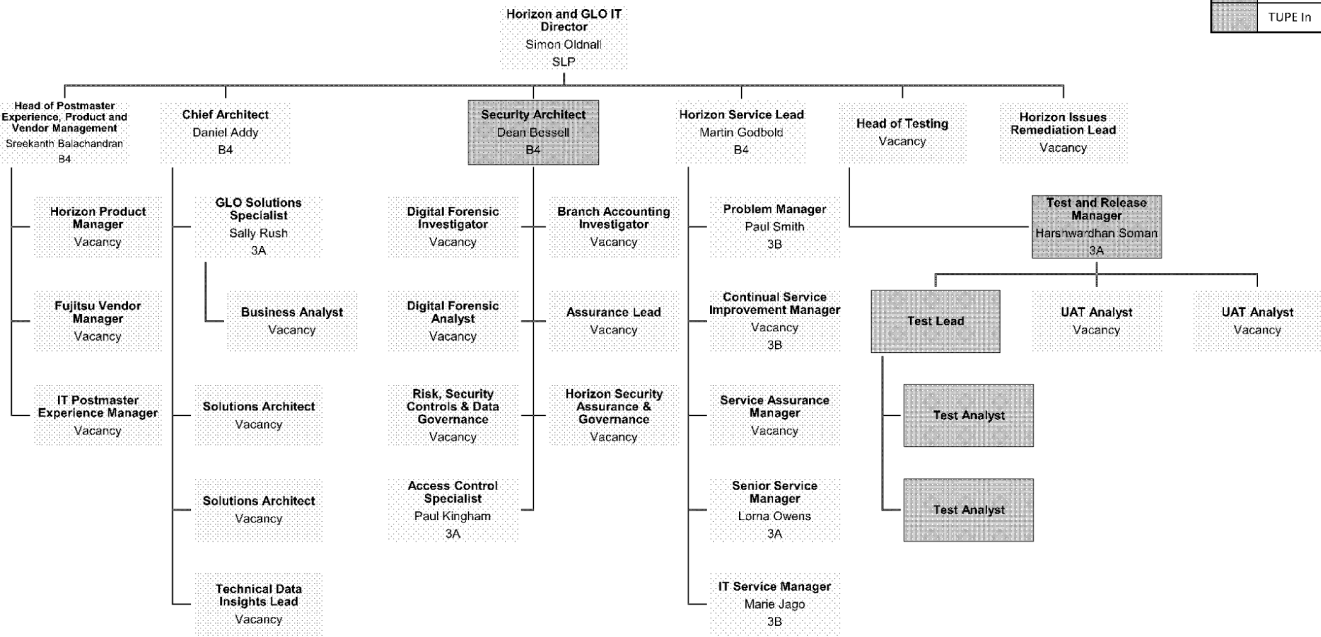


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	Existing Role	11
	Vacancy	17
	FTC	2
	TUPE In	3

Org Chart | HM IT



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## HMBU | Org Chart questions... draft

### Operations

- What's the terms of the 8 x secondees under Jacki Adams (Ops) ?

### Legal

- 3 x legal secondees (Nicola Birney, Becky Lea and Elizabeth Court) are from a panel firm. What's the terms?

### Portfolio

- Does *Ops Remediation* and *Ops Imp Phase 2* report into Graham Hemmingway (Portfolio Lead) with a dotted line into Jacqueline Adams (Ops)? Does this need to be shown on the org charts?
- There are two people (1 x FTE and 1 x contractor) who appear twice under Ops Remediation and Ops Imp Phase 2. Assume they are supporting both 'projects' split 50/50? Do they need to be listed just once on the org chart?
- Monika Chmeil is listed on SF as Team Support to Jacqueline Adams (Ops), but she also appears as PT (?) under Kevin Hutchinson in Portfolio. Need to confirm where this resource should sit?
- Should FTE be shown as reporting into contractors, or SPO?

### Finance

- Does Chris Manamley (FD) report directly into Declan?
- Does Graham Watson (Programme Accountant) report into Graham (Portfolio Lead) as per Simon White's document or Chris (FD)?

### IT

- Structure is as per capability / accountability matrix provided by Simon White, but there is some resource missing as per SF. Should this be updated with the latest per everyone under Simon Oldnall from SF / Headcount data. What should the IT structure be aligned to?
- Capability matrix from Simon White listed 17 vacancies. Should these be included on the org chart?

HMBU | RACI for Key Processes

Activity	Team 1	Team 2	Team 3	Team 4	Team 5	Team 6
Activity 1						
Activity 2						
Activity 3						
Activity 4						
Activity 5						

- Responsible** – The Team/ Person that does the work to complete the task
- Accountable** – The person who delegates work and provides final review on a task or deliverable before it is deemed complete
- Consult** – People who have provided input on a deliverable based on the impact on their work and or their domain of expertise
- Informed** – People who need to be kept in the loop on the project/ programme progress

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