

**Agenda Item No: 8**

**CAMBRIDGE LIBRARY ENTERPRISE CENTRE REVIEW - UPDATE ON ACTION PLAN  
PROGRESS TO DATE**

*To:* **Audit and Accounts Committee**

*Date:* **12<sup>th</sup> July 2016**

*From:* **Head of Internal Audit and Risk Management**

*Electoral Division(s):* **All**

*Forward Plan Ref:* **N/A**

*Key decision:* **No**

*Purpose:* **To report on progress to date with implementing the recommendations set out in the Cambridge Library Enterprise Centre Review Action Plan.**

*Key Issues:* **N/A**

*Recommendation:* **The Audit and Accounts Committee is asked:**


**a) to note and comment on the progress being made against the Cambridge Library Enterprise Centre Review Action Plan**

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## CLEC Action Plan


***Follow up of outstanding actions – at July 2016.***

**OVERALL UPDATE AT 8<sup>th</sup> July 2016:** The majority of outstanding actions relate to activity which is currently underway as part of the Council's Transformation Programme and Corporate Capacity Review (CCR). As part of this review, a major overhaul of project management at Cambridgeshire County Council is underway, including a review of staffing structures, methodologies and the Gateway Review Process. Internal Audit has engaged with the leads for the CCR and a role for Audit to work more closely with officers on the CCR has been agreed going forwards. As a result of this, Audit recommend that rather than re-presenting this action plan report to every Committee meeting, we bring a summary report back to the Committee with an update on progress with progressing these actions as part of the CCR at January.


	Key Actions	Timescale & Owner	Update – June 2016
2.	<p><b><u>Confidentiality:</u></b></p> <p>Although Confidentiality Agreements are an essential tool in many circumstances, clear guidance should be in place to establish the content of agreements and the circumstances under which they are appropriate. This guidance should establish clear lines of authorisation for entering into confidentiality agreements, which should include members, as well as a process for recording all such agreements. The guiding principle for the authority must be to maximise the extent to which information may be shared with members and the public.</p>		
2.1	<p>An outline Confidentiality Agreements Policy has been developed, to enable officers to develop commercial proposals which involve working alongside the private and voluntary sectors. Audit recommend that this draft protocol is referred to the General Purposes Committee for their consideration and to agree a final version, which officers must follow.</p>	<p><b>General Purposes Committee</b> <b>31/12/2015</b></p> 	<p><u>Update from Internal Audit, 08/07/16:</u></p> <p>No further update has been received.</p> <p><u>Update from Audit &amp; Accounts Committee, 07/06/16:</u></p> <p>It was confirmed that the Chair of the Audit &amp; Accounts</p>


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			<p>Committee confirmed had spoken to the Monitoring Officer and the issue was now being followed up by Internal Audit regarding the need for a report to General Purposes Committee.</p> <p><u>Update from Audit &amp; Accounts Committee, 15/03/16:</u></p> <p>The Chair of the Audit &amp; Accounts Committee undertook to telephone the Monitoring Officer for an update on this action.</p> <p><u>Update as at 2/03/16:</u></p> <p>No update has been received from the Director of Law, Procurement and Governance regarding progress with this action. Internal Audit will seek to bring a verbal update to the Audit &amp; Accounts Committee meeting on the 15<sup>th</sup> March.</p> <p><u>Update from Audit &amp; Accounts Committee, 26/01/16:</u></p> <p>It was agreed that, as the Council's Monitoring Officer, the LGSS Director of Law, Procurement and Governance would be in the best position to take this action forward and was nominated as the action owner.</p>
3.	<p><b><u>Project Management:</u></b></p> <p>The impact of budget cuts means that the Council is likely to continue to engage in projects alongside the private sector. Project management methodology in use at Cambridgeshire should be challenged and, if necessary, refined to ensure that it is applicable to projects undertaken with commercial partners.</p>		

	Key Actions	Timescale & Owner	Update – June 2016
3.2	<p>The Council's current Gateway Review Process functions as a system for resource allocation and prioritisation. The process does not include any provision for peer review or challenge; it does not require circulation of a Business Case for comment; and it focuses purely on the initiation of a project. This means that review of projects which are underway but experiencing delays or overruns is undertaken only by officers who are internal to the service in which the project is taking place. Internal Audit recommend that a review of the Gateway Review Process and project management protocols should be conducted, to ensure that there is a robust process for independent review and challenge of projects undertaken by the Council, which enables comment and challenge from officers outside the service area in which the project is taking place, and from appropriate members.</p>	<p><b>Review to be undertaken by SMT 01/02/2016</b></p> 	<p><u>Update from Internal Audit, 08/07/16:</u></p> <p>See Overall Update above.</p> <p><u>Update from Audit &amp; Accounts Committee, 07/06/16:</u></p> <p>The Chief Finance Officer indicated that the October deadline referred to in respect of the Corporate Capacity Review would not be met and the Plan required updating. It is also the intention to change the Gateway Review Process from an internal process to enable peer review and challenge.</p> <p><u>Update from Internal Audit 23/05/16:</u></p> <p>Internal Audit have shared the CLEC report and met with the lead on Project Management for the Corporate Capacity Review and it is understood that a review of the Gateway Review Process will be incorporated within this work.</p> <p>Internal Audit will seek to provide an additional verbal update on this action at the Audit &amp; Accounts Committee on the 7<sup>th</sup> June 2016.</p> <p><u>Update from Audit &amp; Accounts Committee, 15/03/16:</u></p> <p>The Corporate Capacity Review is expected to produce a proposed structure by the end of June 2016 and consultation will take place in October 2016. This means that potentially</p>

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			there could be a long time lag on this action. Internal Audit are seeking to liaise with leads on Project Management for the Corporate Capacity Review about this action, and an update will be brought to the June meeting of Audit & Accounts Committee.
4.	<p><b><u>Options Appraisal, Market Research &amp; Procurement:</u></b></p> <p>Options appraisals should be undertaken at the earliest opportunity in deciding whether proposals may be worth pursuing, and should be subject to continued challenge throughout the process by officers and, where appropriate, members, as new information becomes available and the market changes.</p>		
4.1	<p>Officers would benefit from further guidance regarding options appraisals. In cases where it is established that a service concession means that tendering is not required, Best Value may be established through conducting a thorough options appraisal. The guidance should include the following key points:</p> <ul style="list-style-type: none"> <li>➤ Basic market research must be conducted by Council officers when considering new commercial proposals, at the initial stages of considering whether to pursue a project and before work begins to develop a full Business Case.</li> <li>➤ On the basis of the research carried out, options appraisals should be drawn up; again this must be undertaken at the very earliest stages of a project.</li> <li>➤ Options appraisals and supporting market research must be</li> </ul>	<p><b>Options Appraisals Best Practice guidance to be included in the review of project management methodology (Director: Customer Service &amp; Transformation 01/02/2016)</b></p> 	<p><u>Update from Internal Audit, 08/07/16:</u></p> <p>See Overall Update above.</p> <p><u>Update from Audit &amp; Accounts Committee, 07/06/16:</u></p> <p>An oral update indicated the intention would be to develop a training programme linked to the Corporate Capacity Review.</p> <p><u>Update received from Service Transformation Manager, 23/05/16:</u></p> <p>The Service Transformation Team is in discussion with OWD to develop a training course around options appraisals. The discussions are considering the best method of delivery for this training (either face to face or –e-training) however no</p>


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	<p>continually challenged throughout the process of a project, and should be reactive to market changes and new information becoming available.</p> <ul style="list-style-type: none"> <li>➤ Market research should always involve a thorough review of: whether there is already any similar provision available in the local market; the potential impact on the local market of the proposals; and consideration of whether there is likely to be sustained demand for the proposed services.</li> <li>➤ All options appraisals should include thorough exploration of the 'do nothing' option.</li> <li>➤ Options should be appraised in light of their financial benefits; their non-financial benefits; their impact on the organisation and stakeholders; the risks relating to each option; and their resource requirements, in line with the CCC Business Case template.</li> <li>➤ Options presented to Committees must be comparable; when financial projections are produced to show the financial effect of different options over a number of years, it is crucial that the figures for all options are prepared on the same basis. Similarly, the analysis of risks and benefits for each possible option should be consistent. Officers would benefit from referring to the extant Cambridgeshire County Council Business Case template, which includes templates for options appraisal.</li> <li>➤ The opportunity cost of each project must be shown as part of the options appraisal, i.e. if existing income is foregone, this must be taken into account.</li> <li>➤ Where options are considered but rejected at an early stage and</li> </ul>		<p>timescales have been established for completion. This work includes working with partner organisations to identify good practice which is ongoing.</p> <p>This is also linked to the Corporate Capacity Review which is considering alternative approaches to options appraisals, one of which is adopting a more centralised approach to project management with one central team to undertake options appraisals.</p> <p><u>Update from Audit &amp; Accounts Committee, 15/03/16:</u></p> <p>The Service Transformation team has primarily focused on developing the project management guidance to date and therefore this action is still at the initial stages. The intention is to identify good practice from partner organisations. An update will be brought to the June Committee meeting.</p>


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	not worked up in detail, the reasons for this should be set out clearly.		
4.2	All risks relating to a project should be reported to the relevant Committee even where officers feel that these risks are likely to be tolerable, to enable members to make an informed decision to accept or reject the risk.	<p><b>Updated guidance to be included in the review of project management methodology (Director: Customer Service &amp; Transformation 01/02/16); responsibility for implementation lies with the Senior Responsible Officer (SRO) for each project/programme.</b></p> 	<p><u>Update from Internal Audit, 08/07/16:</u></p> <p>See Overall Update above.</p> <p><u>Update received from Service Transformation Manager, 23/05/16:</u></p> <p>The work on the Project Management Guidance is almost complete. There is a Portfolio leads meeting on 21/06/16 to discuss the changes to the guidance and incorporate the views of the Portfolio leads. At this meeting there will also be discussion of how the leads will assist with the communication to Project Sponsors, Managers, Leads etc. and how they will provide ongoing support.</p> <p><u>Update from Audit &amp; Accounts Committee, 15/03/16:</u></p> <p>The Service Transformation Team has agreed to review and further update the guidance to fully reflect the agreed action points.</p> <p><u>Update received from Service Transformation Manager, 01/03/16:</u></p> <p>Project management guidance has been updated, and portfolio leads made aware of revised guidance and asked to cascade to Project Managers in appropriate manner.</p>


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			<p><u>Internal Audit Note:</u> This action has not yet been marked as complete, as although new guidance has been produced, at the time of writing it needs to be confirmed that the new guidance explicitly addresses this action point. Internal Audit will engage further with the Service Transformation Team to bring a verbal update to the Committee meeting on 15<sup>th</sup> March.</p>
4.3	The expected impact of commercial proposals on the current local market should always be reported to the relevant Committee, to enable members to make an informed decision.	<p><b>Updated guidance to be included in the review of project management methodology (Director: Customer Service &amp; Transformation 01/02/16); responsibility for implementation lies with the Senior Responsible Officer (SRO) for each project/programme.</b></p> <p></p>	<p><u>Update from Internal Audit, 08/07/16:</u></p> <p>See Overall Update above.</p> <p><u>Update received from Service Transformation Manager, 23/05/16:</u></p> <p>The work on the Project Management Guidance is almost complete. There is a Portfolio leads meeting on 21/06/16 to discuss the changes to the guidance and incorporate the views of the Portfolio leads. At this meeting there will also be discussion of how the leads will assist with the communication to Project Sponsors, Managers, Leads etc. and how they will provide ongoing support.</p> <p><u>Update from Audit &amp; Accounts Committee, 15/03/16:</u></p> <p>The Service Transformation Team has agreed to review and further update the guidance to fully reflect the agreed action points.</p> <p><u>Update received from Service Transformation Manager, 01/03/16:</u></p>





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			<p>Project management guidance has been updated, and portfolio leads made aware of revised guidance and asked to cascade to Project Managers in appropriate manner.</p> <p><u>Internal Audit Note:</u> This action has not yet been marked as complete, as although new guidance has been produced, at the time of writing it needs to be confirmed that the new guidance explicitly addresses this action point. Internal Audit will engage further with the Service Transformation Team to bring a verbal update to the Committee meeting on 15<sup>th</sup> March.</p>
5.	<p><b><u>Engagement with Members:</u></b></p> <p>Now that the transition from the Cabinet system to a Committee model of governance is complete, both officers and members need to ensure that new ways of working are fully embedded. Whilst Committees only take papers on decisions, due to their high workload, progress on key projects and negotiations should be a standing agenda item for Spokes meetings. Spokes can then brief their Group accordingly, and this will ensure that members are able to engage throughout the process of developing major projects. Additionally, there needs to be further guidance available for officers and members setting out what constitutes a key decision.</p>		
5.3	Where projects of a commercial nature are underway, but have not yet progressed to the point of requiring a decision paper to be taken to the relevant Committee, updates on progress should be a standing agenda item for Spokes meetings, to enable continued member oversight and engagement with the development of major projects.	<p><b>Updated guidance to be included in the review of project management methodology</b> (Director: Customer</p>	<p><u>Update from Internal Audit, 08/07/16:</u></p> <p>See Overall Update above.</p> <p><u>Update received from Service Transformation Manager, 23/05/16:</u></p>

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		<p><b>Service &amp; Transformation 01/02/16); responsibility for implementation lies with the Senior Responsible Officer (SRO) for each project/programme.</b></p> <p></p>	<p>The work on the Project Management Guidance is almost complete. There is a Portfolio leads meeting on 21/06/16 to discuss the changes to the guidance and incorporate the views of the Portfolio leads. At this meeting there will also be discussion of how the leads will assist with the communication to Project Sponsors, Managers, Leads etc. and how they will provide ongoing support.</p> <p><u>Update from Audit &amp; Accounts Committee, 15/03/16:</u></p> <p>The Service Transformation Team has agreed to review and further update the guidance to fully reflect the agreed action points.</p> <p><u>Update received from Service Transformation Manager, 01/03/16:</u></p> <p>Project management guidance has been updated, and portfolio leads made aware of revised guidance and asked to cascade to Project Managers in appropriate manner.</p> <p><u>Internal Audit Note:</u> This action has not yet been marked as complete, as although new guidance has been produced, at the time of writing it needs to be confirmed that the new guidance explicitly addresses this action point. Internal Audit will engage further with the Service Transformation Team to bring a verbal update to the Committee meeting on 15<sup>th</sup> March.</p>
5.5	As per the Council's Constitution, local members should be kept informed about matters affecting their divisions during the formative stages of	<b>As above.</b>	<u>Update from Internal Audit, 08/07/16:</u>


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	policy development.		<p>See Overall Update above.</p> <p><u>Update received from Service Transformation Manager, 23/05/16:</u></p> <p>The work on the Project Management Guidance is almost complete. There is a Portfolio leads meeting on 21/06/16 to discuss the changes to the guidance and incorporate the views of the Portfolio leads. At this meeting there will also be discussion of how the leads will assist with the communication to Project Sponsors, Managers, Leads etc. and how they will provide ongoing support.</p> <p><u>Update from Audit &amp; Accounts Committee, 15/03/16:</u></p> <p>The Service Transformation Team has agreed to review and further update the guidance to fully reflect the agreed action points.</p> <p><u>Update received from Service Transformation Manager, 01/03/16:</u></p> <p>Project management guidance has been updated, and portfolio leads made aware of revised guidance and asked to cascade to Project Managers in appropriate manner.</p> <p><u>Internal Audit Note:</u> This action has not yet been marked as complete, as although new guidance has been produced, at the time of writing it needs to be confirmed that the new guidance explicitly addresses this action point. Internal Audit will engage further with the Service Transformation Team to bring a verbal update to the Committee meeting on 15<sup>th</sup> March.</p>

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5.6	Spokes must be briefed on proposals in time to consult with their Group members.	<p>As above.</p> 	<p><u>Update from Internal Audit, 08/07/16:</u></p> <p>See Overall Update above.</p> <p><u>Update received from Service Transformation Manager, 23/05/16:</u></p> <p>The work on the Project Management Guidance is almost complete. There is a Portfolio leads meeting on 21/06/16 to discuss the changes to the guidance and incorporate the views of the Portfolio leads. At this meeting there will also be discussion of how the leads will assist with the communication to Project Sponsors, Managers, Leads etc. and how they will provide ongoing support.</p> <p><u>Update from Audit &amp; Accounts Committee, 15/03/16:</u></p> <p>The Service Transformation Team has agreed to review and further update the guidance to fully reflect the agreed action points.</p> <p><u>Update received from Service Transformation Manager, 01/03/16:</u></p> <p>Project management guidance has been updated, and portfolio leads made aware of revised guidance and asked to cascade to Project Managers in appropriate manner.</p> <p><u>Internal Audit Note:</u> This action has not yet been marked as complete, as although new guidance has been produced, at the</p>

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			time of writing it needs to be confirmed that the new guidance explicitly addresses this action point. Internal Audit will engage further with the Service Transformation Team to bring a verbal update to the Committee meeting on 15 <sup>th</sup> March.
6.	<p><b><u>Public Consultation:</u></b></p> <p>Officers will always need to conduct work on new proposals before consultation with the public is possible, but the philosophy of the Council must be to engage with the public as soon as possible. The public and their contributions should be considered a valuable resource. Public consultation must feed into the Community Impact Assessment for all projects, which must be made available to the relevant Committee for their consideration as part of the decision-making process.</p>		
6.4	Consultation on projects must be held at a sufficiently early stage to be meaningful in shaping the proposed projects.	<p><b>Updated guidance to be included in the review of project management methodology (Director: Customer Service &amp; Transformation 01/02/16); responsibility for implementation lies with the Senior Responsible Officer (SRO) for each</b></p>	<p><u>Update from Internal Audit, 08/07/16:</u></p> <p>See Overall Update above.</p> <p><u>Update received from Service Transformation Manager, 23/05/16:</u></p> <p>The work on the Project Management Guidance is almost complete. There is a Portfolio leads meeting on 21/06/16 to discuss the changes to the guidance and incorporate the views of the Portfolio leads. At this meeting there will also be discussion of how the leads will assist with the communication to Project Sponsors, Managers, Leads etc. and how they will provide ongoing support.</p>

	Key Actions	Timescale & Owner project/programme.	Update – June 2016
			<p><u>Update from Audit &amp; Accounts Committee, 15/03/16:</u></p> <p>The Service Transformation Team has agreed to review and further update the guidance to fully reflect the agreed action points.</p> <p><u>Update received from Service Transformation Manager, 01/03/16:</u></p> <p>Project management guidance has been updated, and portfolio leads made aware of revised guidance and asked to cascade to Project Managers in appropriate manner.</p> <p><u>Internal Audit Note:</u> This action has not yet been marked as complete, as although new guidance has been produced, at the time of writing it needs to be confirmed that the new guidance explicitly addresses this action point. Internal Audit will engage further with the Service Transformation Team to bring a verbal update to the Committee meeting on 15<sup>th</sup> March.</p>
6.5	When a Key Decision is going to be made, information regarding consultation carried out and the results obtained needs to be available to members at the point that they are requested to make the decision, even if this means that a two-stage approach to consultation needs to be taken, with the public consulted first in a general way about proposals and then secondly about the detail of the proposals. Where this two-stage approach is taken, it must be ensured that final decisions are not taken with regards to the detailed proposals until consultation has been completed.	<p>As above</p> 	<p><u>Update from Internal Audit, 08/07/16:</u></p> <p>See Overall Update above.</p> <p><u>Update received from Service Transformation Manager, 23/05/16:</u></p> <p>The work on the Project Management Guidance is almost complete. There is a Portfolio leads meeting on 21/06/16 to discuss the changes to the guidance and incorporate the views</p>


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			<p>of the Portfolio leads. At this meeting there will also be discussion of how the leads will assist with the communication to Project Sponsors, Managers, Leads etc. and how they will provide ongoing support.</p> <p><u>Update from Audit &amp; Accounts Committee, 15/03/16:</u></p> <p>The Service Transformation Team has agreed to review and further update the guidance to fully reflect the agreed action points.</p> <p><u>Update received from Service Transformation Manager, 01/03/16:</u></p> <p>Project management guidance has been updated, and portfolio leads made aware of revised guidance and asked to cascade to Project Managers in appropriate manner.</p> <p><u>Internal Audit Note:</u> This action has not yet been marked as complete, as although new guidance has been produced, at the time of writing it needs to be confirmed that the new guidance explicitly addresses this action point. Internal Audit will engage further with the Service Transformation Team to bring a verbal update to the Committee meeting on 15<sup>th</sup> March.</p>
7.	<p><b><u>Business Cases:</u></b></p> <p><b>Robust individual Business Cases must be produced for new commercial proposals, and be subject to challenge from the appropriate professional officers within the Council, and by members.</b></p>		



	Key Actions	Timescale & Owner	Update – June 2016
7.3	As per the Council's Scheme of Financial Management (s.5), any new revenue or capital project costing more than £160,000 shall be appraised as to its financial, human resources, property and economic consequences and the appraisal approved by the relevant Strategic Finance Manager before detailed budgetary provision is made. The completion of this appraisal process should be confirmed in reporting to the relevant Committee.	<p>As above</p> 	<p><u>Update from Internal Audit, 08/07/16:</u></p> <p>See Overall Update above.</p> <p><u>Update received from Service Transformation Manager, 23/05/16:</u></p> <p>The work on the Project Management Guidance is almost complete. There is a Portfolio leads meeting on 21/06/16 to discuss the changes to the guidance and incorporate the views of the Portfolio leads. At this meeting there will also be discussion of how the leads will assist with the communication to Project Sponsors, Managers, Leads etc. and how they will provide ongoing support.</p> <p><u>Update from Audit &amp; Accounts Committee, 15/03/16:</u></p> <p>The Service Transformation Team has agreed to review and further update the guidance to fully reflect the agreed action points.</p> <p><u>Update received from Service Transformation Manager, 01/03/16:</u></p> <p>Project management guidance has been updated, and portfolio leads made aware of revised guidance and asked to cascade to Project Managers in appropriate manner.</p> <p><u>Internal Audit Note:</u> This action has not yet been marked as complete, as although new guidance has been produced, at the time of writing it needs to be confirmed that the new guidance</p>






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			explicitly addresses this action point. Internal Audit will engage further with the Service Transformation Team to bring a verbal update to the Committee meeting on 15 <sup>th</sup> March.


**Completed actions – at July 2016.**



	Key Actions	Timescale & Owner	Update – March 2016
1.	<p><b><u>Commercial Proposals Protocol:</u></b></p> <p>Increasingly, the public sector is competing to attract inward investment, to bring jobs and other economic opportunities to their local area. Cambridgeshire County Council will need to develop commercial skills to ensure innovation and inward investment opportunities are maximised, while still maintaining the principles of transparency and openness. A clear protocol is required to enable officers to develop commercial proposals which involve working alongside the private and voluntary sectors to enhance services and minimise the impact of austerity cuts on the public.</p>		
1.1	<p>An outline Commercial Proposals protocol has been developed, to enable officers to develop commercial proposals which involve working alongside the private and voluntary sectors. Audit recommend that this draft protocol is referred to the General Purposes Committee for their consideration and to agree a final version, which officers must follow if they are approached by or approach an external organisation with a commercial proposal.</p>	<p><b>General Purposes Committee</b> <b>15/03/2016</b></p> 	<p><b>COMPLETED</b></p> <p><u>Update from Audit &amp; Accounts Committee, 15/03/16:</u></p> <p>A draft protocol was taken to General Purposes Committee this morning. An amendment had been tabled and the item led to significant debate. Ultimately the Committee agreed that a small group of Members would meet to consider the draft protocol, possible amendments, and any other considerations which might need to be taken into account. This group would report back to GPC at the end of this process.</p>
2.	<p><b><u>Confidentiality:</u></b></p> <p>Although Confidentiality Agreements are an essential tool in many</p>		

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	circumstances, clear guidance should be in place to establish the content of agreements and the circumstances under which they are appropriate. This guidance should establish clear lines of authorisation for entering into confidentiality agreements, which should include members, as well as a process for recording all such agreements. The guiding principle for the authority must be to maximise the extent to which information may be shared with members and the public.		
2.2	Current Council guidance for members is not entirely clear with regards to items which are taken to Spokes meetings and marked confidential; while it appears that there is an expectation that the relevant Executive Director should make it clear whether Spokes can circulate information to their groups, this is not clearly set out in the relevant guidance on the role of Spokes. The guidance should therefore be updated to reflect this.	Monitoring Officer 30/11/2015 	<b>COMPLETED</b>  <u>Update received from Democratic Services Manager, 26/02/16:</u>  The guidance on the role of Spokes was considered by the Member Development Panel on 26 January 2016 following consultation with all Members. The guidance was e-mailed to Members on 26 February 2016 along with a newly developed protocol for Committee Chairman/woman's briefing meetings.
2.3	The exclusion of access by the public to meetings where it is considered that confidential information would be disclosed should be kept to a minimum. Where the nature of the proceedings means that it would be possible to have a public discussion regarding a point(s) of principle on a matter, followed by a confidential discussion regarding specific confidential details, this approach should be adopted.	Monitoring Officer 30/11/2015 	<b>COMPLETED</b>  <u>Update received from Democratic Services Manager, 09/12/15:</u>  This is the current process. Any proposal from a Service for an item to be confidential needs to be cleared by the Monitoring Officer who is very challenging. Democratic Services Officers are aware of this and advise Services of this requirement. We also encourage them to include any confidential information as a confidential appendix so that the main report remains non-confidential.

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			It is believed that the Chief Executive is also looking at a process via Staffing and Appeals Committee and General Purposes Committee which would identify when an item ceased to be confidential (potentially sometime after the meeting) and could be revealed to the public.
<b>3.</b>	<p><b><u>Project Management:</u></b></p> <p>The impact of budget cuts means that the Council is likely to continue to engage in projects alongside the private sector. Project management methodology in use at Cambridgeshire should be challenged and, if necessary, refined to ensure that it is applicable to projects undertaken with commercial partners.</p>		
3.1	A review should be conducted of project management methodology in use at Cambridgeshire, to ensure that it is comprehensive and relevant to projects undertaken with commercial partners, and states that every individual project should have clear governance arrangements in place, including a project team with formal responsibilities for progressing the project, and that respective Committees should be regularly updated on the projects taking place in their area.	<p><b>Review of project management methodology:</b> <b>Director: Customer Service &amp; Transformation</b> <b>01/02/2016</b></p> 	<p><b>COMPLETED</b></p> <p><u>Update received from Service Transformation Manager, 01/03/16:</u></p> <p>Project management guidance has been updated and now includes detail of the governance structure for projects and the need to update the appropriate Committee. Portfolio leads have been made aware of revised guidance and asked to cascade to Project Managers in appropriate manner.</p>
3.3	Services which receive Gateway Review forms should respond with their comments within the allotted time. Where responses are not received from services even after chasing by the Service Transformation Team, this should be recorded by the team and reviewed on a six-monthly basis, to	<p><b>Director: Customer Service &amp; Transformation</b> <b>31/12/2015</b></p>	<p><b>COMPLETED</b></p> <p><u>Update received from Service Transformation Manager, 01/03/16:</u></p>



	Key Actions	Timescale & Owner	Update – March 2016
	enable problem areas to be identified and issues escalated to the appropriate Service Director.		The Service Transformation Team is now monitoring turnaround times.
3.4	Where a project is managed jointly by Cambridgeshire County Council and an external partner, Cambridgeshire should always maintain and regularly review an internal risk register that focuses on the risks which are specific to the Council, even if this is in addition to a shared risk register for the project.	<p><b>Updated guidance to be included in the review of project management methodology (Director: Customer Service &amp; Transformation 01/02/16); responsibility for implementation lies with the Senior Responsible Officer (SRO) for each project/programme.</b></p> 	<p><b>COMPLETED</b></p> <p><u>Update received from Service Transformation Manager, 01/03/16:</u></p> <p>Project management guidance has been updated and now includes the requirement to maintain an internal risk register. Portfolio leads have been made aware of revised guidance and asked to cascade to Project Managers in appropriate manner.</p>
3.5	When projects are in development, the sensitivity of the Purdah period should be taken into account in project timelines.	<p><b>Updated guidance to be included in the review of project management methodology</b></p>	<p><b>COMPLETED</b></p> <p><u>Update received from Service Transformation Manager, 01/03/16:</u></p>



	Key Actions	Timescale & Owner	Update – March 2016
		<p>(Director: Customer Service &amp; Transformation 01/02/16); responsibility for implementation lies with the Senior Responsible Officer (SRO) for each project/programme.</p> 	<p>Project management guidance has been updated to include a point around consideration of purdah periods. Portfolio leads have been made aware of revised guidance and asked to cascade to Project Managers in appropriate manner.</p>
5.	<p><b><u>Engagement with Members:</u></b></p> <p>Now that the transition from the Cabinet system to a Committee model of governance is complete, both officers and members need to ensure that new ways of working are fully embedded. Whilst Committees only take papers on decisions, due to their high workload, progress on key projects and negotiations should be a standing agenda item for Spokes meetings. Spokes can then brief their Group accordingly, and this will ensure that members are able to engage throughout the process of developing major projects. Additionally, there needs to be further guidance available for officers and members setting out what constitutes a key decision.</p>		
5.1	<p>It is recommended that a review is undertaken of any remaining projects and proposals which were initiated under the previous Cabinet system, to confirm that all such projects have now submitted a report to the relevant</p>	<p><b>Democratic Services Manager</b> <b>31/12/2015</b></p>	<p><b>COMPLETED</b></p> <p><i>Update from Audit &amp; Accounts Committee, 15/03/16:</i></p>


	Key Actions	Timescale & Owner	Update – March 2016
	Committee or Spokes meeting, and that the appropriate members are therefore aware of all projects which are underway.		This review has been completed. No further projects or proposals were identified which have not already submitted a report to the relevant Committee or Spokes meeting.
5.2	Additional guidance regarding what constitutes a Key Decision should be produced, particularly with regards to the question of what constitutes “significant” impact on the community living or working in an area of Cambridgeshire. Guidance should also clearly state that if there is any doubt regarding whether or not a decision should be considered a Key Decision, officers should contact the Monitoring Officer. Key Decisions must be advertised in the Council’s Forward Plan as per the procedure set out in the Constitution (at 4.2.13).	<p><b>Monitoring Officer</b> <b>31/12/2015</b></p> 	<p><b>COMPLETED</b></p> <p><u>Update from Audit &amp; Accounts Committee, 15/03/16:</u></p> <p>The Audit &amp; Accounts Committee accepted this response to the action and commented that it was important that officers erred on the side of caution when considering whether or not a decision should be classed as a key decision.</p> <p><u>Update received from Democratic Services Manager, 15/02/16 (subject to the Monitoring Officer’s approval):</u></p> <p>Very few authorities have tried to attempt to define “significant” - where they do so they tend to list specific decisions to be treated as key, rather giving a general definition of “significant”. The County Council’s definition of a key decision is as follows:</p> <p>(a) Key Decisions</p> <p>A key decision is one which:</p> <ul style="list-style-type: none"> <li>• Results in the Council incurring expenditure or making savings, in a single transaction or a related series of transactions, in excess of £500,000 and/or</li> </ul>


	Key Actions	Timescale & Owner	Update – March 2016
			<ul style="list-style-type: none"> <li>• Is significant in terms of its effect on the community living or working in an area of Cambridgeshire. The first bullet is very clear.</li> </ul> <p>With reference to the second bullet, it is very difficult to define. CLEC is a prime example, as the officers might have thought the proposals to the third floor were not significant in relation to the effect on the community but the public outcry, which was not necessarily expected would suggest otherwise. It is therefore very difficult to provide guidance as to what constitutes a Key Decision in relation to significance. However, the following wording is very appropriate and should be included on the Forward Plan of Key Decisions:</p> <p><b>“If there is any doubt regarding whether or not a decision should be considered a Key Decision, officers should contact the Monitoring Officer.”</b></p>







	Key Actions	Timescale & Owner	Update – March 2016
5.4	When reporting to Committee regarding proposed projects which involve working with an external organisation, members should be provided with sufficient information about the proposed partner organisation to enable them to come to an informed decision, including information on due diligence which has been carried out in relation to the organisation.	<p><b>Updated guidance to be included in the review of project management methodology (Director: Customer Service &amp; Transformation 01/02/16); responsibility for implementation lies with the Senior Responsible Officer (SRO) for each project/programme.</b></p> 	<p><b>COMPLETED</b></p> <p><u>Update received from Service Transformation Manager, 01/03/16:</u></p> <p>Project management guidance updated. The new guidance includes the fact that the relevant Committee should be provided with details of due diligence carried out in relation to proposed projects with partner organisations, and that the Business Case should always be provided in the first update to Committee. Portfolio leads have been made aware of revised guidance and asked to cascade to Project Managers in appropriate manner.</p>
5.7	If a proposal is received positively at a Spokes meeting but, upon discussing the proposal further with their group, Spokes identify that there are concerns or issues which are likely to prohibit their party's support for the proposal at Committee, it would be useful for members to communicate this with the key officers concerned, who will then have an opportunity to address any concerns and provide additional information to the Committee meeting.	<p><b>General Purposes Committee 30/11/2015</b></p> 	<p><b>COMPLETED</b></p> <p><u>Update from Democratic Services 07/07/16:</u></p> <p>The Chairman of the Audit &amp; Accounts Committee has circulated a reminder to all Spokes, including the text of this recommendation and a copy of the guidance setting out the role of Spokes.</p>
5.8	Democratic Services has conducted annual training for Committee Chairs,	<b>Democratic Services</b>	<b>COMPLETED</b>




	Key Actions	Timescale & Owner	Update – March 2016
	Vice Chairs and Spokes on the 25 <sup>th</sup> August 2015, regarding the respective roles and responsibilities of each post. Following this report, Democratic Services are requested to review the content of this training and make it available to all members, for reference.	<b>Manager</b> <b>30/11/2015</b> 	<u>Update received from Democratic Services Manager, 09/12/15:</u> <p>The training provided for Chairs, Vice-Chairs and Spokes on 25 August 2015 was effectively a workshop looking at their role descriptions. The Member Development Panel has analysed feedback from the workshop and considered revised role descriptions. The Panel e-mailed these role descriptions to all Members for comment. The Panel did not therefore consider it appropriate to hold this particular training event for all Members.</p>
5.9	This review has identified that members require a common understanding of key processes for challenge, including the process by which they may submit items for consideration at Spokes and Committee meetings, how to initiate a call-in, and the question of whether a decision may be rescinded by a Committee or whether this is the responsibility of Full Council. Democratic Services are requested to provide additional training and resources for members, to address these points.	<b>Monitoring Officer &amp; Democratic Services Manager</b> <b>31/12/2015</b> 	<b>COMPLETED</b> <u>Update post Audit &amp; Accounts Committee, 07/06/16:</u> <p>The new Committee Management System went live on 14<sup>th</sup> June.</p> <u>Update received from Business Systems Strategist, 18/05/16:</u> <p>The new Committee Management system required a software update from the supplier prior to going live which has now been completed. User Acceptance Testing was being undertaken in the week beginning 16/05/16 and if no issues are raised, the system is expected to go live the following week.</p>
6.	<b><u>Public Consultation:</u></b> <b>Officers will always need to conduct work on new proposals before</b>		

	Key Actions	Timescale & Owner	Update – March 2016
	consultation with the public is possible, but the philosophy of the Council must be to engage with the public as soon as possible. The public and their contributions should be considered a valuable resource. Public consultation must feed into the Community Impact Assessment for all projects, which must be made available to the relevant Committee for their consideration as part of the decision-making process.		
6.1	<p>A Member Review Group is currently looking at the County Council's approach to consultation, with a view to revising the available advice and guidance, and member involvement. The legal requirements around consultation have recently been reviewed with Legal Services, as a result of which the Council's Research and Performance team will be running a member seminar on November 13<sup>th</sup> on the topic, to update member understanding. As part of this review, it is recommended that further guidance is made available to officers which gives additional information on:</p> <ul style="list-style-type: none"> <li>➤ Circumstances under which the Council would expect public consultation to take place prior to a decision being made by Committee;</li> <li>➤ Guidance on when consultation should be carried out in relation to the signing of contracts;</li> <li>➤ Legal requirements around consultation;</li> <li>➤ Guidance on the duration, timing and format of consultation which might be expected in different circumstances.</li> </ul>	<p><b>Member Review Group &amp; Research and Performance Team Manager</b> <b>01/02/2016</b></p> 	<p><b>COMPLETED</b></p> <p><u>Update received from Research and Performance Team Manager, 23/05/16:</u></p> <p>New consultation guidance has been drafted and discussed with both SMT and the Member working group on consultation. The resulting guidance has been submitted to GPC on the 31st May. There is specific reference within the GPC paper of the need to respond to the recommendations of the CLEC review. The consultation guidance does respond to the substantive points within the CLEC action plan; guidance on timing of consultation and legal advice in regard to how to carry out consultation. Reference is also made to the length of time consultations should take. Guidance drafted around consulting 'at a formative stage' in decision making should be taken as also applying to the point made within the CLEC review in regard to the signing of contracts.</p>
6.2	Guidance should also be made available for the public, to clarify the level,	<b>Research &amp;</b>	<b>COMPLETED</b>

	Key Actions	Timescale & Owner	Update – March 2016
	duration and timing of public consultation they can expect from the Council in relation to different types of decision to be made.	<b>Performance Team Manager</b> <b>01/02/2016</b> 	<u>Update received from Research and Performance Team Manager, 23/05/16:</u> <p>New consultation guidance has been drafted and discussed with both SMT and the Member working group on consultation. The resulting guidance has been submitted to GPC on the 31st May. There is specific reference within the GPC paper of the need to respond to the recommendations of the CLEC review. The consultation guidance does respond to the substantive points within the CLEC action plan; guidance on timing of consultation and legal advice in regard to how to carry out consultation. Reference is also made to the length of time consultations should take. Guidance drafted around consulting 'at a formative stage' in decision making should be taken as also applying to the point made within the CLEC review in regard to the signing of contracts.</p>
6.3	Plans for public consultation on Council projects should be discussed at Spokes and with the relevant local member(s), to enable members to give their input on the level of consultation required, and the milestones at which the community and other stakeholders should be engaged.	<b>Updated guidance to be included in the review of project management methodology (Director: Customer Service &amp; Transformation 01/02/16); responsibility for implementation lies with the Senior Responsible Officer</b>	<b>COMPLETED</b> <u>Update received from Service Transformation Manager, 01/03/16:</u> <p>Project management guidance updated. Portfolio leads made aware of revised guidance and asked to cascade to Project Managers in appropriate manner.</p>

	Key Actions	Timescale & Owner (SRO) for each project/programme.	Update – March 2016
			
6.6	Committees should be given the details of proposed public consultation in relation to decisions which they are being asked to make, specifically the timing and duration of the consultation, and the level of input which the public will be able to make.	As above 	<b>COMPLETED</b>  <u>Update received from Service Transformation Manager, 01/03/16:</u>  Project management guidance updated with the requirement to update the relevant Committee with details of planned consultation and discuss consultation plans at Spokes. Portfolio leads made aware of revised guidance and asked to cascade to Project Managers in appropriate manner.
6.7	Where projects are included in the Council's Business Plan in the knowledge that there is a possibility that they will be carried out by or in partnership with a commercial or third sector organisation, this should be made clear in the description of the scheme in the Business Plan.	As above 	<b>COMPLETED</b>  <u>Update received from Service Transformation Manager, 01/03/16:</u>  Business Planning Co-ordination group made aware of this recommendation.  <u>Update received from Director of Customer Service and Transformation, 07/01/16:</u>  This will be incorporated within the current Project

	Key Actions	Timescale & Owner	Update – March 2016
			Management guidance. Upon completion the Portfolio leads will be advised of the amended guidance to cascade to Project Managers etc accordingly. This is the responsibility of the SRO / Project Board to ensure this is undertaken. The Business Planning Coordination group will be advised of this requirement.
6.8	Public consultation must feed into the Community Impact Assessment for all projects, which must be made available to the relevant Committee for their consideration as part of the decision-making process.	As above 	<b>COMPLETED</b>  <u>Update received from Service Transformation Manager, 01/03/16:</u>  Project management guidance updated with this action. Portfolio leads made aware of revised guidance and asked to cascade to Project Managers in appropriate manner.
7.	<b><u>Business Cases:</u></b>  <b>Robust individual Business Cases must be produced for new commercial proposals, and be subject to challenge from the appropriate professional officers within the Council, and by members.</b>		
7.1	The Council's standard Business Case template should be completed for all projects.	<b>Updated guidance to be included in the review of project management methodology (Director: Customer Service &amp;</b>	<b>COMPLETED</b>  <u>Update received from Service Transformation Manager, 01/03/16:</u>  Project management guidance updated with this action. Portfolio leads made aware of revised guidance and asked to

	Key Actions	Timescale & Owner	Update – March 2016
		<p><b>Transformation 01/02/16); responsibility for implementation lies with the Senior Responsible Officer (SRO) for each project/programme.</b></p> 	<p>cascade to Project Managers in appropriate manner.</p>
7.2	<p>When reporting to Committee regarding proposed projects, officers should either provide the Business Case itself as an appendix to the report or ensure that the high-level headings in the Council's Business Case template are all covered. If an area of the template is deemed not to be relevant to the project in question, this should be highlighted to members. If the project is already underway, the current risk log for the project should also be provided to members.</p>	<p><b>As above</b></p> 	<p><b>COMPLETED</b></p> <p><u>Update received from Service Transformation Manager, 01/03/16:</u></p> <p>Project management guidance updated to specify that the Business Case should always be provided in the first update report to Committee. Portfolio leads made aware of revised guidance and asked to cascade to Project Managers in appropriate manner.</p>
7.4	<p>Officers should be reminded of the Business Case template and other key project management resources available, through an awareness-raising exercise on the CamWeb staff intranet.</p>	<p><b>As above</b></p> 	<p><b>COMPLETED</b></p> <p><u>Update received from Service Transformation Manager, 01/03/16:</u></p> <p>Project management guidance updated. Portfolio leads made</p>

	Key Actions	Timescale & Owner	Update – March 2016
			aware of revised guidance and asked to cascade to Project Managers in appropriate manner.