

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

To: **Audit and Accounts Committee**

Date: **15th March 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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CLECAction Plan


Follow up of actions – at March 2016.



	Key Actions	Timescale & Owner	Update – March 2016
1.	<p><u>Commercial Proposals Protocol:</u></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>General Purposes Committee 15/03/2016</p> 	<p><u>Update received from Chief Finance Officer, 15/02/16:</u></p> <p>As agreed at the January Audit & Accounts Committee, the protocol will be taken to the March General Purposes Committee.</p> <p><u>Update from Audit & Accounts Committee, 26/01/16:</u></p> <p>It was agreed that the Chief Finance Officer would aim for the Commercial Proposals protocol to be taken to the General Purposes Committee meeting in March.</p> <p><u>Update received from Executive Secretary to Chief Finance Officer, 18/12/15:</u></p>


	Key Actions	Timescale & Owner	Update – March 2016
			The Chief Finance Officer will be the lead on this action and will take this forward in the new year.
2.	<p><u>Confidentiality:</u></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	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>General Purposes Committee 31/12/2015</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 & Accounts Committee meeting on the 15th March.</p> <p><u>Update from Audit & 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>


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			<p><u>Update taken to Audit & Accounts Committee, 26/01/16</u></p> <p>No update on this action point.</p> <p>No individual lead has been identified and the draft protocol has not been referred to the General Purposes Committee. Internal Audit have been working to identify an owner for the action, but as yet no officer has been found who has agreed to take this forward and refer the protocol to GPC.</p>
2.2	<p>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.</p>	<p>Monitoring Officer 30/11/2015</p> 	<p>COMPLETED</p> <p><u>Update received from Democratic Services Manager, 26/02/16:</u></p> <p>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.</p> <p><u>Update received from Democratic Services Manager, 09/12/15:</u></p> <p>The Member Development Panel, at its meeting held on 26th November 2015, considered the recommendations arising from the Cambridge Library Enterprise Centre (CLEC) review which related to the role of Spokes.</p> <p>Guidance on the role and purpose of Spokes meetings, which includes a section on confidential items, has been prepared. It has already been agreed by SMT and is currently out for comment to all Members. The Member Development Panel</p>


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			will meet on 26 January 2016 to consider comments.
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 	COMPLETED <u>Update received from Democratic Services Manager, 09/12/15:</u> <p>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.</p> <p>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.</p>
3.	<u>Project Management:</u> <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>		

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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>Review of project management methodology: Director: Customer Service & Transformation 01/02/2016</p> 	<p>COMPLETED</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> <p><u>Update received from Director of Customer Service and Transformation, 07/01/16:</u></p> <p>The implementation of the new Business Case template (for projects aligned to the Business Planning Process) will ensure this is undertaken. This will be incorporated within the current Project Management guidance. Upon completion the Portfolio leads will be advised of the amended guidance to cascade to Project Managers etc. accordingly. The revised guidance will be made available on Camweb. Committees will receive regular updates on large and/or politically sensitive projects. It is the responsibility of the SRO / Project Board to ensure that the guidance and templates are utilised.</p>
3.2	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	<p>Review to be undertaken by SMT 01/02/2016</p>	<p><u>Update received from Service Transformation Manager, 01/03/16:</u></p> <p>This action has been delayed, awaiting outputs from the Council's Corporate Capacity Review, as this review is seeking to consider how to re-configure transformation/project</p>



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	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>management resource across the Council and is considering the role of peer review of projects and how this should take place.</p> <p><u>Update received from Director of Customer Service and Transformation, 11/01/16:</u></p> <p>The review of the project management guidance will consider these issues and the response will be part of the updated guidance. A Business Case template, which requires sign off from Finance, has been introduced to support the business planning process; this is being reviewed to see if it can also be used at 'Gate 0' as part of the project management process.</p> <p>The Corporate Capacity Review launched by the new Chief Exec will consider how best to re-configure transformation/project management resources across the council. As part of this, consideration will be given to the role of peer review of projects, both at the outset and when they are underway, and the criteria against which this peer review takes place including the role of members.</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 enable problem areas to be identified and issues escalated to the appropriate Service Director.	<p>Director: Customer Service & Transformation 31/12/2015</p> 	<p>COMPLETED</p> <p><u>Update received from Service Transformation Manager, 01/03/16:</u></p> <p>The Service Transformation Team is now monitoring turnaround times.</p> <p><u>Update received from Director of Customer Service and Transformation, 07/01/16:</u></p>


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			Turnaround times will be monitored and reviewed from February 2016, by the Service Transformation Team, and escalated accordingly.
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>Updated guidance to be included in the review of project management methodology (Director: Customer Service & Transformation 01/02/16); responsibility for implementation lies with the Senior Responsible Officer (SRO) for each project/programme.</p> 	<p>COMPLETED</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> <p><u>Update received from Director of Customer Service and Transformation, 07/01/16:</u></p> <p>The implementation of the new Business Case template (for projects aligned to the Business Planning Process) will ensure this is undertaken. This will be incorporated within the current Project Management guidance. Upon completion, the Portfolio leads will be advised of the amended guidance to cascade to Project Managers etc. accordingly. The revised guidance will be made available on Camweb. It is the responsibility of the SRO / Project Board to ensure that the guidance and templates are utilised.</p>
3.5	When projects are in development, the sensitivity of the Purdah period should be taken into account in project timelines.	Updated guidance to be included in the	COMPLETED


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		<p>review of project management methodology (Director: Customer Service & Transformation 01/02/16); responsibility for implementation lies with the Senior Responsible Officer (SRO) for each project/programme.</p> 	<p><u>Update received from Service Transformation Manager, 01/03/16:</u></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> <p><u>Update received from Director of Customer Service and Transformation, 07/01/16:</u></p> <p>The implementation of the new Business Case template (for projects aligned to the Business Planning Process) will ensure this is undertaken. This will be incorporated within the current Project Management guidance. Upon completion the Portfolio leads will be advised of the amended guidance to cascade to Project Managers etc. accordingly. The revised guidance will be made available on Camweb. It is the responsibility of the SRO / Project Board to ensure that the guidance and templates are utilised.</p>
4.	<p><u>Options Appraisal, Market Research & Procurement:</u></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</p>	<p>Options Appraisals Best Practice guidance</p>	<p><u>Update received from Service Transformation Manager, 01/03/16:</u></p>

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	<p>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"> ➤ 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. ➤ 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. ➤ Options appraisals and supporting market research must be continually challenged throughout the process of a project, and should be reactive to market changes and new information becoming available. ➤ 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. ➤ All options appraisals should include thorough exploration of the 'do nothing' option. ➤ 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. ➤ Options presented to Committees must be comparable; when 	<p>to be included in the review of project management methodology (Director: Customer Service & Transformation 01/02/2016)</p> <p></p>	<p>Investigations ongoing.</p> <p><u>Update received from Director of Customer Service and Transformation, 07/01/16:</u></p> <p>Investigating feasibility of obtaining advice and guidance from other organisations.</p>


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	<p>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.</p> <ul style="list-style-type: none"> ➤ 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. ➤ Where options are considered but rejected at an early stage and not worked up in detail, the reasons for this should be set out clearly. 		
4.2	<p>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>	<p>Updated guidance to be included in the review of project management methodology (Director: Customer Service & Transformation 01/02/16); responsibility for implementation lies with the Senior Responsible Officer (SRO) for each project/programme.</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 15th March.</p> <p><u>Update received from Director of Customer Service and Transformation, 07/01/16:</u></p>



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			The implementation of the new Business Case template (for projects aligned to the Business Planning Process) will ensure this is undertaken. This will be incorporated within the current Project Management guidance. Upon completion the Portfolio leads will be advised of the amended guidance to cascade to Project Managers etc. accordingly. The revised guidance will be made available on Camweb. Committees will receive regular updates on risks / issues for large and/or politically sensitive projects. It is the responsibility of the SRO / Project Board to ensure that the guidance and templates are utilised.
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>Updated guidance to be included in the review of project management methodology (Director: Customer Service & Transformation 01/02/16); responsibility for implementation lies with the Senior Responsible Officer (SRO) for each project/programme.</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 15th March.</p> <p><u>Update received from Director of Customer Service and Transformation, 07/01/16:</u></p> <p>The implementation of the new Business Case template (for projects aligned to the Business Planning Process) will ensure this is undertaken. This will be incorporated within the current</p>


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			Project Management guidance. Upon completion the Portfolio leads will be advised of the amended guidance to cascade to Project Managers etc. accordingly. The revised guidance will be made available on Camweb. It is the responsibility of the SRO / Project Board to ensure that the guidance and templates are utilised.
5.	<p><u>Engagement with Members:</u></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	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 Committee or Spokes meeting, and that the appropriate members are therefore aware of all projects which are underway.	<p>Democratic Services Manager 31/12/2015</p> 	<p><u>Update received from Democratic Services Manager, 15/02/16:</u></p> <p>Two Democratic Services Officers are currently working on this which as you would expect is quite a laborious job. The work will be completed before the March Audit and Accounts Committee.</p> <p><u>Update received from Democratic Services Manager, 09/12/15:</u></p> <p>Two Democratic Services Officers are currently working on this and an oral update on progress will be provided at the Audit & Accounts Committee meeting on 26th January, as this has been</p>



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			a very labour-intensive piece of work.
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>Monitoring Officer 31/12/2015</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"> • 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 • Is significant in terms of its effect on the community living or working in an area of Cambridgeshire. <p>The first bullet is very clear.</p> <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>


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			<p>“If there is any doubt regarding whether or not a decision should be considered a Key Decision, officers should contact the Monitoring Officer.”</p> <p><i>Update received from Democratic Services Manager, 09/12/15:</i></p> <p>Key Decisions are advertised in the Council’s Forward Plan as per the procedure set out in the Constitution. If any officer is unsure, the Forward Plan contains the following sentence: - Further information on the forward plan is available from Michelle Rowe, Democratic Services Manager. Michelle.Rowe@cambridgeshire.gov.uk, (01223) 699180. The Democratic Services Manager will then contact the Monitoring Officer if appropriate.</p> <p>This action is still being progressed; we are currently researching what other authorities do regarding guidance in relation to what constitutes a Key Decision and working with the Monitoring Officer on this.</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.	Updated guidance to be included in the review of project management methodology (Director: Customer Service & Transformation 01/02/16); responsibility for implementation lies	<p><i>Update received from Service Transformation Manager, 01/03/16:</i></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</p>


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		<p>with the Senior Responsible Officer (SRO) for each project/programme.</p> <p></p>	<p>further with the Service Transformation Team to bring a verbal update to the Committee meeting on 15th March.</p> <p><u>Update received from Director of Customer Service and Transformation, 07/01/16:</u></p> <p>The implementation of the new Business Case template (for projects aligned to the Business Planning Process) will ensure this is undertaken. This will be incorporated within the current Project Management guidance. Upon completion the Portfolio leads will be advised of the amended guidance to cascade to Project Managers etc. accordingly. The revised guidance will be made available on Camweb. Spokes meetings will receive regular updates on large and/or politically sensitive projects. It is the responsibility of the SRO / Project Board to ensure that the guidance and templates are utilised.</p>
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>Updated guidance to be included in the review of project management methodology (Director: Customer Service & Transformation 01/02/16); responsibility for implementation lies with the Senior Responsible Officer (SRO) for each project/programme.</p>	<p>COMPLETED</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 Committees 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> <p><u>Update received from Director of Customer Service and</u></p>


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			<p><u>Transformation, 07/01/16:</u></p> <p>The implementation of the new Business Case template (for projects aligned to the Business Planning Process) will ensure this is undertaken. This will be incorporated within the current Project Management guidance. Upon completion the Portfolio leads will be advised of the amended guidance to cascade to Project Managers etc. accordingly. The revised guidance will be made available on Camweb. Committees will receive regular updates on large and/or politically sensitive projects. It is the responsibility of the SRO / Project Board to ensure that the guidance and templates are utilised.</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 policy development.	<p>As above.</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 15th March.</p> <p><u>Update received from Director of Customer Service and Transformation, 07/01/16:</u></p> <p>This will be incorporated within the current Project Management guidance. Upon completion the Portfolio leads</p>


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			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.
5.6	Spokes must be briefed on proposals in time to consult with their Group members.	<p>As above.</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 15th March.</p> <p><u>Update received from Director of Customer Service and Transformation, 07/01/16:</u></p> <p>The implementation of the new Business Case template (for projects aligned to the Business Planning Process) will ensure this is undertaken. This will be incorporated within the current Project Management guidance. Upon completion the Portfolio leads will be advised of the amended guidance to cascade to Project Managers etc. accordingly. The revised guidance will be made available on Camweb. Spokes will be briefed on large and/or politically sensitive projects. It is the responsibility of the SRO / Project Board to ensure that the guidance and templates are utilised.</p>



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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>General Purposes Committee 30/11/2015</p> 	<p><u>Update from Audit & Accounts Committee, 26/01/16:</u></p> <p>It was agreed that the Chair of the Audit & Accounts Committee would be in the best position to take this action forward and was nominated as the action owner. Chair to write to all Spokes to make it clear that it would benefit the Committee process for Spokes to give officers advance notice where, following a Spokes meeting, it subsequently transpires in reporting back to their group that the group would not support the officer recommendations.</p> <p><u>Update taken to Audit & Accounts Committee, 26/01/16</u></p> <p>No update on this action point.</p> <p>No individual lead has been identified and the action has not been referred to the General Purposes Committee or communicated to Members.</p> <p>Democratic Services have recommended that a Member or Members take ownership of this action.</p>
5.8	Democratic Services has conducted annual training for Committee Chairs, Vice Chairs and Spokes on the 25 th 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.	<p>Democratic Services Manager 30/11/2015</p> 	<p>COMPLETED</p> <p><u>Update received from Democratic Services Manager, 09/12/15:</u></p> <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</p>


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			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.
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.	Monitoring Officer & Democratic Services Manager 31/12/2015 	<p><u>Update received from Democratic Services Manager, 15/02/16:</u></p> <p>Council approved the recommendation from the Constitution and Ethics Committee and the Constitution has been updated accordingly.</p> <p>A copy of the guidance on the new Committee Management System has been placed in each Group Room, however the system is not yet live and is reliant on IT before a go live date can be set.</p> <p><u>Update received from Democratic Services Manager, 09/12/15:</u></p> <p>The Member Development Panel considered draft guidance for Members on engaging in the democratic process at its last meeting. It was noted that the action plan arising from the CLEC review had recommended that additional training and resources be provided for Members to provide clarity on key mechanisms for engaging in the democratic process, including how to initiate a call-in, how to request inclusion of an item on a committee agenda etc. Clarification had also been sought on whether a committee could rescind a decision or whether this was reserved to Full Council. The Panel noted that the Constitution already provided for committees to rescind a decision made within the past 6 months and that the Constitution and Ethics Committee, at its meeting held on 19th November 2015, had agreed to recommend Council on 15th</p>


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			<p>December that such rescissions should be on a notice of motion signed by at least half the members of the relevant committee.</p> <p>The Member Development Panel agreed to publish the guidance on the new Committee Management System, when available, so that it is easily accessible for reference by all Members and to place a copy of the guidance for reference purposes in each political group room.</p>
6.	<p><u>Public Consultation:</u></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>		
6.1	<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 13th 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> <p>➤ Circumstances under which the Council would expect public consultation to take place prior to a decision being made by</p>	<p>Member Review Group & Research and Performance Team Manager 01/02/2016</p> <p></p>	<p><u>Update received from Research and Performance Team Manager, 25/02/16:</u></p> <p>Consultation guidelines are now in the process of being re-drafted. The draft guidance is due to be taken to the May General Purposes Committee.</p> <p><u>Update received from Research and Performance Team Manager, 11/01/16:</u></p> <p>New consultation guidelines currently being drafted.</p>


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	<p>Committee;</p> <ul style="list-style-type: none"> ➤ Guidance on when consultation should be carried out in relation to the signing of contracts; ➤ Legal requirements around consultation; ➤ Guidance on the duration, timing and format of consultation which might be expected in different circumstances. 		<p><u>Update received from Research and Performance Team Manager 05/11/15:</u></p> <p>In regard to consultation the member working group considered this item earlier in the week. Members also wanted:</p> <ul style="list-style-type: none"> • Guidance to go to GPC for sign off (subject to clarification around if GPC can sign off on CCC policy guidance given their powers). The ideal date would be February GPC. • As a group they'd want to evaluate the implementation of the Consultation Guidance in its entirety later in the year.
6.2	<p>Guidance should also be made available for the public, to clarify the level, duration and timing of public consultation they can expect from the Council in relation to different types of decision to be made.</p>	<p>Research & Performance Team Manager 01/02/2016</p> <p></p>	<p><u>Update received from Research and Performance Team Manager, 25/02/16:</u></p> <p>Consultation guidelines are in the process of being re-drafted. The draft guidance is due to be taken to the May General Purposes Committee.</p> <p><u>Update received from Research and Performance Team Manager, 11/01/16:</u></p> <p>New consultation guidelines currently being drafted.</p>



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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.	<p>Updated guidance to be included in the review of project management methodology (Director: Customer Service & Transformation 01/02/16); responsibility for implementation lies with the Senior Responsible Officer (SRO) for each project/programme.</p> 	<p>COMPLETED</p> <p><u>Update received from Service Transformation Manager, 01/03/16:</u></p> <p>Project management guidance updated. Portfolio leads made aware of revised guidance and asked to cascade to Project Managers in appropriate manner.</p> <p><u>Update received from Director of Customer Service and Transformation, 07/01/16:</u></p> <p>The implementation of the new Business Case template (for projects aligned to the Business Planning Process) will ensure this is undertaken. This will be incorporated within the current Project Management guidance. Upon completion the Portfolio leads will be advised of the amended guidance to cascade to Project Managers etc. accordingly. The revised guidance will be made available on Camweb.Spokes and relevant local members will be briefed on large and/or politically sensitive projects. It is the responsibility of the SRO / Project Board to ensure that the guidance and templates are utilised.</p>
6.4	Consultation on projects must be held at a sufficiently early stage to be meaningful in shaping the proposed projects.	<p>Updated guidance to be included in the review of project management methodology (Director: Customer Service & Transformation 01/02/16);</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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		<p>responsibility for implementation lies with the Senior Responsible Officer (SRO) for each project/programme.</p> <p></p>	<p>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 15th March.</p> <p><u>Update received from Director of Customer Service and Transformation, 07/01/16:</u></p> <p>The implementation of the new Business Case template (for projects aligned to the Business Planning Process) will ensure this is undertaken. This will be incorporated within the current Project Management guidance. Upon completion the Portfolio leads will be advised of the amended guidance to cascade to Project Managers etc. accordingly. The revised guidance will be made available on Camweb. Committees will receive regular updates on large and/or politically sensitive projects. It is the responsibility of the SRO / Project Board to ensure that the guidance and templates are utilised.</p>
6.5	<p>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>	<p>As above</p> <p></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 15th March.</p>


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			<p><u>Update received from Director of Customer Service and Transformation, 07/01/16:</u></p> <p>Consultations will be undertaken in accordance with the Consultation Guidance documented by the Research and Performance Team. This will be incorporated within the current Project Management guidance. Upon completion the Portfolio leads will be advised of the amended guidance to cascade to Project Managers etc. accordingly. The revised guidance will be made available on Camweb. It is the responsibility of the SRO / Project Board to ensure that the guidance / templates are utilised.</p>
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.	<p>As above</p> 	<p>COMPLETED</p> <p><u>Update received from Service Transformation Manager, 01/03/16:</u></p> <p>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.</p> <p><u>Update received from Director of Customer Service and Transformation, 07/01/16:</u></p> <p>The implementation of the new Business Case template (for projects aligned to the Business Planning Process) will ensure this is undertaken. This will be incorporated within the current Project Management guidance. Upon completion the Portfolio</p>

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			leads will be advised of the amended guidance to cascade to Project Managers etc. accordingly. The revised guidance will be made available on Camweb. Committees will receive regular updates on large and/or politically sensitive projects. It is the responsibility of the SRO / Project Board to ensure that the guidance and templates are utilised.
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.	<p>As above</p> 	<p>COMPLETED</p> <p><u>Update received from Service Transformation Manager, 01/03/16:</u></p> <p>Business Planning Co-ordination group made aware of this recommendation.</p> <p><u>Update received from Director of Customer Service and Transformation, 07/01/16:</u></p> <p>This will be incorporated within the current Project 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.</p>
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	<p>COMPLETED</p> <p><u>Update received from Service Transformation Manager, 01/03/16:</u></p>

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			<p>Project management guidance updated with this action. Portfolio leads made aware of revised guidance and asked to cascade to Project Managers in appropriate manner.</p> <p><u>Update received from Director of Customer Service and Transformation, 07/01/16:</u></p> <p>Public consultations will be carried out in accordance with the Council's consultation requirements. Consultations will be undertaken for projects which propose significant change or impact on the public. Committees will be made aware of public consultation which will be incorporated into CIA's for example on large and/or politically sensitive projects.</p>
7.	<p><u>Business Cases:</u></p> <p>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.</p>		
7.1	The Council's standard Business Case template should be completed for all projects.	<p>Updated guidance to be included in the review of project management methodology (Director: Customer Service & Transformation 01/02/16); responsibility for</p>	<p>COMPLETED</p> <p><u>Update received from Service Transformation Manager, 01/03/16:</u></p> <p>Project management guidance updated with this action. Portfolio leads made aware of revised guidance and asked to cascade to Project Managers in appropriate manner.</p>

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		<p>implementation lies with the Senior Responsible Officer (SRO) for each project/programme.</p> 	<p><u>Update received from Director of Customer Service and Transformation, 07/01/16:</u></p> <p>The implementation of the new Business Case template (for projects aligned to the Business Planning Process) will ensure this is undertaken. This will be incorporated within the current Project Management guidance. Upon completion the Portfolio leads will be advised of the amended guidance to cascade to Project Managers etc. accordingly. The revised guidance will be made available on Camweb. It is the responsibility of the SRO / Project Board to ensure the guidance and templates are utilised.</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>As above</p> 	<p>COMPLETED</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> <p><u>Update received from Director of Customer Service and Transformation, 07/01/16:</u></p> <p>The implementation of the new Business Case template (for projects aligned to the Business Planning Process) will ensure this is undertaken. This will be incorporated within the current Project Management guidance. Upon completion the Portfolio leads will be advised of the amended guidance to cascade to</p>

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			Project Managers etc. accordingly. The revised guidance will be made available on Camweb. Committees will receive regular updates on large and/or politically sensitive projects. It is the responsibility of the SRO / Project Board to ensure the guidance and templates are utilised.
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 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 15th March.</p> <p><u>Update received from Director of Customer Service and Transformation, 07/01/16:</u></p> <p>The implementation of the new Business Case template (for projects aligned to the Business Planning Process) will ensure this is undertaken. This will be incorporated within the current Project Management guidance. Upon completion the Portfolio leads will be advised of the amended guidance to cascade to Project Managers etc. accordingly. The revised guidance will be made available on Camweb. It is the responsibility of the SRO / Project Board to ensure the guidance and templates are utilised.</p>

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7.4	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>As above</p> 	<p>COMPLETED</p> <p><u>Update received from Service Transformation Manager, 01/03/16:</u></p> <p>Project management guidance updated. Portfolio leads made aware of revised guidance and asked to cascade to Project Managers in appropriate manner.</p> <p><u>Update received from Director of Customer Service and Transformation, 07/01/16:</u></p> <p>The implementation of the new Business Case template (for projects aligned to the Business Planning Process) will ensure this is undertaken. This will be incorporated within the current Project Management guidance. Upon completion the Portfolio leads will be advised of the amended guidance to cascade to Project Managers etc. accordingly. The revised guidance and templates will be made available on Camweb. It is the responsibility of the SRO / Project Board to ensure the guidance and templates are utilised.</p>