



# Greater South East Net Zero Hub

## Governance Framework for Sustainable Warmth

### High Level Document Summary

This document sets out the Governance Framework utilised by the Cambridge and Peterborough Combined Authority (CPCA) as an Accountable Body for the Greater South East Energy Hub (GSEEH), to assist the managed delivery of the Sustainable Warmth (funding for the Home Upgrade Grant Phase 1 (HUG1) and/or Local Authority Delivery Phase 3(LAD3)) Project.

### Document Control

Revision	Date	Purpose	Author	Notes
0.1	Aug 2022	First Draft for Review	SM	Ready for circulation and initial feedback comments
0.2	Aug 2022	Second Draft	SM	Re draft following feedback from RH Consulting
0.3	Sep 2022	Updated Draft	SM	Includes comments from Gordon Mitchell, Jon Alsop, Edwina Adefehinti & Esther Fadahunsi
0.4	Oct 2022	Issued for final sign off	SM	Included all comments and inputs received to date.
1	Nov 2022	Version 1	SM	All updates included

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**NB: Throughout the document Sustainable Warmth is referred to as “The Project”**

## 1. Purpose

This framework sets out the governance arrangements for The Project being undertaken by CPCA and the Greater South East Net Zero Hub (GSENZH). It includes how decisions are made, which can be delegated, and how, when and where escalations take place. As The Project progresses, the arrangements are expected to evolve and review points will be agreed. The first formal review is scheduled for December 2022.

The framework adheres to CPCA ways of working, processes, and frameworks, and is mindful of the CPCA Improvement Plan (pending approval) and the BEIS Hub Governance Structure Review (due September - November 2022) both of which may require the framework to be reviewed again. Appendix 1 lists the people engaged production, and Appendix 2 lists the source documents utilised. The framework is complimentary to the governance guidance specified in the [CPCA 10 Point Guide to Project Management](#), which aims to:

*“allow for project governance that is robust but also proportionate, recognising the diversity of the projects we undertake”.*

The framework also considers the BEIS governance structure, The [HMT Green Book](#), and [Managing Public Money](#), which states:

“Public sector organisations should have good quality internal governance and sound financial management. Appropriate delegation of responsibilities and effective mechanisms for internal reporting should ensure that performance can be kept on track. Good practice should be followed in procuring and managing resources and assets; hiring and managing staff; and deterring waste, fraud, and other malpractice”

## 2. Framework Goals

The goals of the Framework are to ensure clarity across the Governance Landscape for the delivery of The Project through:

- **Everyone understands the role they play** in delivery, decisions, and escalations
- **Accuracy, accountability, and transparency** across the reporting chain
- **Empowered leaders** make clear and consistent **evidence-based decisions** at the **right time in the right forum**
- **Challenge enabled** on progress, methodology and the outcomes of delivery
- **Proactive and collaborative communication** and external **relationships**
- **Audit and assurance** at all levels of the chain
- **Controls** are **understood** and **adherence monitored**
- **Stakeholders** feel their **voice is heard**.

### 3. Scope of the Governance Framework

The framework focusses on governance structure, process, tolerance, and control relating to The Project. It does not list responsibilities outside of the purview of the Project. For example, if a board / person has responsibilities outside of the remit of The Project, they will not be referred to. Whilst BEIS governance structures are contained within the framework as an important part of the structure, the CPCA does not have any influence over how BEIS chooses to manage the overall programme, or the controls set therein. A list of Local Authorities engaged in The Project can be found in appendix 3.

### 4. High Level Project Background

The [Sustainable Warmth Competition](#) is a single funding opportunity bringing together two fuel poverty schemes. Through which, Government aims to save households money, reduce fuel poverty, cut carbon and support the aims of the Prime Minister's 10 Point plan for a [Green Industrial Revolution](#). The Competition provides funding to upgrade homes both on and off the mains gas grid and is comprised of £286.8m for low-income households heated by mains gas through a third phase of LAD and up to £152.2m for low-income households off the gas grid; the HUG Phase. The Competition will provide funding to improve low energy performance in England by installing Eligible Measures. Upgrades delivered through the Sustainable Warmth Competition should be completed by the delivery deadline of 31 March 2023.

### 5. Project Outcomes

A key driver is to raise the energy efficiency rating of low-income and low EPC rated homes (those with D, E, F or G). This funding will also support low-income households with the transition to low-carbon heating. The expectation is that the competition will deliver the following outcomes<sup>1</sup>:

1. Tackle fuel poverty by increasing low-income homes' energy efficiency rating while reducing their energy bills –a key principle of the Sustainable Warmth: Protecting Vulnerable Households in England Strategy 2021.
2. Deliver cost effective carbon savings to carbon budgets and progress towards the UK's target for Net Zero by 2050.
3. Support clean growth and ensure homes are thermally comfortable, efficient, and well-adapted to climate change.
4. Support economic resilience and a green recovery in response to the economic impacts of Covid-19.

### 6. Accountable Body

CPCA, as the Grant administrator is accountable for delivery of The Project as per the terms of the SW MOU (signed 19.11.21) and subsequent variations. It operates The Project, through the GSENGH, which operates many other schemes within its portfolio of projects, representing a consortium of Local Energy Partnerships (LEPs). The arrangements for GSENGH are stipulated in the Accountable Body Agreement (signed 24.10.19). The Accountable Body

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<sup>1</sup> As stipulated in the SWC HUG1 & LAD3 MOU: BEIS and the CPCA (signed 19.11.21)

Agreement stipulates the ways of working for the HUB and sets out the original objectives<sup>2</sup> which are in the process of being updated in the *Draft* MOU for the Net Zero Hub, covering 2022-25 (see section 8).

## 7. The Relationship with BEIS

BEIS, as the Grant Authority is the provider of funds and ultimately responsible for the management of the National Programme (of which SW is part), including the delivery of benefits, setting the overall strategic direction, alignment with wider Government schemes and Departments, and setting the overarching priorities. They will support Net Zero Hubs and hold the reins on the management of the Business Case produced to obtain programme level funding. The BEIS team is part of the Net Zero Buildings Domestic Directorate, under the Director General (DG) for Net Zero Buildings and Industry.

## 8. The Net Zero Hub

The Net Zero Hub is mandated as part of the Accountable Body Agreement, currently being updated: *Draft* MOU for the Net Zero Hub, covering 2022-25.

Each Hub must maintain a regionally representative governance structure to oversee Hub activities, of which domestic property retrofit is one strand. The accountable body for each Hub is the Local/Combined Authority (in this case the CPCA) which hosts the Hub and to whom Hub operations funding is devolved from BEIS. Each Hub has a Board made up of local representatives, regional leaders and third parties, which is responsible for ensuring supported projects are in line with wider Net Zero goals and signing-off resource/funding decisions for the hub structure and operations.

BEIS has set the Net Zero Hub the following objectives in the Draft MOU for the Net Zero Hub, covering 2022-25:

1. Continue to increase the number, quality, and scale of local Net Zero projects being delivered across the region in line with national targets and strategies, including supporting the early-stage development and delivery of projects. The scope of Net Zero projects will be agreed by the Hub and its board and set out in the operating strategies. (As of 12 August 2022: Strategy still in development with no timeline for completion).
2. Attract commercial investment and help LAs and other local public sector bodies to develop investment models which accelerate progress to Net Zero. Commercial funding can come from private, public (non-grant) and social investment including from communities, whilst directly contributing to building a stronger and greener future which supports clean growth and levelling up.
3. Collaborate with BEIS to develop and support Net Zero elements to wider programmes and initiatives delivered across England, including the Transport Decarbonisation Plan and Levelling Up. This collaboration will be led by BEIS and Hubs will support this work depending on capacity.
4. Support a national knowledge transfer programme to improve information sharing, training, and evaluation and create a network of experience that amalgamates learning to strengthen and teach others.
5. Raise local awareness of opportunities for and benefits of local Net Zero investment – including through national schemes.

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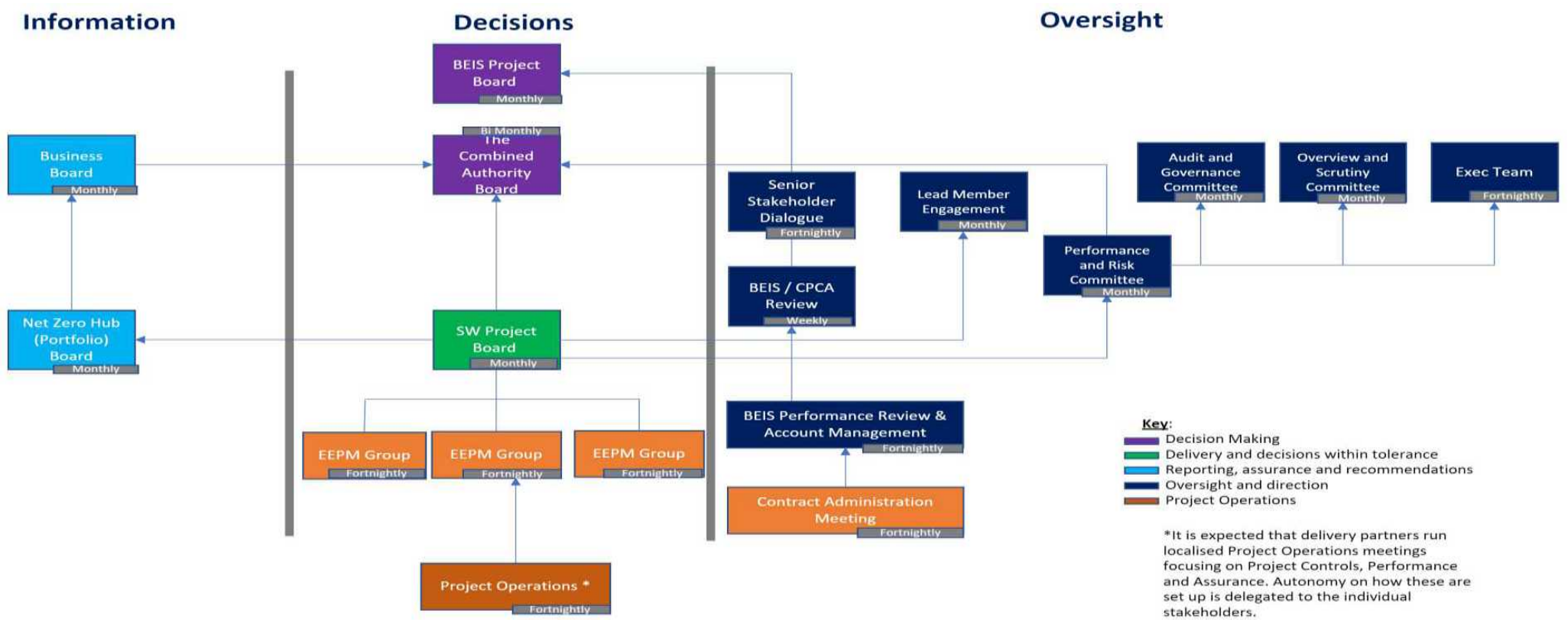
<sup>2</sup> Original objectives: 1. Increase the number, quality and scale of local energy projects being delivered; 2. Raise local awareness of opportunity for and benefits of local energy investment; 3. Enable local areas to attract private and/or public finance for energy projects; 4. Identify working models for teams to be financially self-sustaining after the funding period.

The objectives of the Hub do not directly cover the Sustainable Warmth project, or other specifically funded Central Government programmes with specific funding arrangements e.g., LAD2.

## 9. Governance Arrangements for the Project

This section of the document explains the structure that is in place to govern the delivery of The Project outputs and outcomes. The following diagram Figure 1 details the Governance Structure for the delivery of the Project.

Figure 1: Governance Chart



## 9.1. Governance Forums Summary

An overview of the high-level responsibilities for the key governance Boards and Working Groups are included in Table's 1 and 2. The Net Zero Hub, as an overseer of the entire Net Zero Portfolio is not an operational decision-making forum for the Project, but rather an overarching strategic function expected to infuse its wide-reaching knowledge and experience in ensuring the targets are met through their role of as a critical assurance and recommendation function, making "big" strategic decisions where they cannot be resolved at the Project Board.

The table is made up using a combination of the MOU stipulations, CPCA process and core documentation, and, the best practice methodology as set out in Prince2, and referenced in the Green Book and the suite of CPCA documentation.

*N.B. The summary in the following table focuses on the duties of the respective forum in relation to The Project, and do not focus on the wider responsibilities the forum may manage and deliver. References:*

*(a) Aligns with MOU Documentation, (b) Aligns with Managing Public Money, (c) Aligns with the CPCA 10 Step Guide to Project Management (d) Aligns to the CPCA Constitution, (e) Aligns to the CPCA Risk Management Strategy, (f) Aligns to the CPCA M&E Framework, (g) Aligns to the CPCA Assurance Framework, (h) Aligns to Prince2, (i) Aligns to CPCA PM RACI Matrix, (k) Aligns to the CPCA relationship between risk and change*

Tier	Forum	Chair & Cadence	Purpose, Roles, and Responsibilities	Attendees (Organisation)	Inputs	Outputs
0	BEIS Project Board (Programme Sponsor)	Monthly	<b>Accountable for:</b> <ul style="list-style-type: none"> <li>Grant Authority functions (a)</li> <li>Managing the National Programme and Benefits (b)</li> <li>Control and management of ALB's (b)</li> </ul> <b>Decisions:</b> <ul style="list-style-type: none"> <li>Ultimate decision-making forum for the National Programme (a)</li> </ul> <b>Escalations Received:</b> <ul style="list-style-type: none"> <li>Strategic risks, issues, and dependencies (a)</li> <li>Changes to the MOU / Project Forecasts (delegated to change sub board) (a)</li> </ul> <b>Performance, Monitoring and Evaluation:</b> <ul style="list-style-type: none"> <li>Receiving The Monthly Report (a)</li> </ul>	<ul style="list-style-type: none"> <li>BEIS Staff</li> </ul>	<ul style="list-style-type: none"> <li>Monthly Report</li> <li>Change Requests</li> <li>Significant escalations</li> </ul>	<ul style="list-style-type: none"> <li>Escalation decisions</li> <li>Change Control decisions</li> </ul>
1	Senior Stakeholder Dialogue	CPCA Project Lead Fortnightly	<b>Strategy:</b> <ul style="list-style-type: none"> <li>Focusing on overall strategic progress and risk</li> </ul> <b>Decisions:</b> <ul style="list-style-type: none"> <li>Guidance decisions on correct routing of escalations and papers</li> </ul> <b>Escalations Received:</b> <ul style="list-style-type: none"> <li>Urgent (out of process escalations)</li> </ul>	<ul style="list-style-type: none"> <li>BEIS Project Director</li> <li>CPCA Project Lead</li> <li>CPCA Sponsor (as required)</li> </ul>	<ul style="list-style-type: none"> <li>N/A</li> </ul>	<ul style="list-style-type: none"> <li>N/A</li> </ul>
1	The CPCA Board	Mayor Monthly	<b>NB in line with the 10-Step Guide to Project Management, the Board is currently fulfilling the role of the Committee</b> <b>Accountable for:</b> <ul style="list-style-type: none"> <li>The delivery of the Project and regional benefits (a)</li> </ul>	<ul style="list-style-type: none"> <li>The Mayor, or deputy Mayor</li> <li>Elected Member appointed by each of</li> </ul>	<ul style="list-style-type: none"> <li>Monthly Report</li> <li>Corporate Risk Register Escalations</li> </ul>	<ul style="list-style-type: none"> <li>Decisions</li> <li>Change Control Decisions</li> </ul>



Tier	Forum	Chair & Cadence	Purpose, Roles, and Responsibilities	Attendees (Organisation)	Inputs	Outputs
	(The Project Executive)		<ul style="list-style-type: none"> <li>Project Level Finance and legal adherence</li> <li>Securing the budget allocation in conjunction with BEIS (c) (h)</li> <li>Making arrangements with other LA's (including funding) (d)</li> <li>Holding the Project and suppliers responsible for the delivery of the project (h)</li> </ul> <b>Strategy:</b> <ul style="list-style-type: none"> <li>Ultimate CPCA strategic steer for the Project</li> </ul> <b>Decisions &amp; approvals:</b> <ul style="list-style-type: none"> <li>Ultimate CPCA decision making forum for the Project</li> <li>Decisions on escalated risk outside of delegated thresholds (c)</li> <li>Significant change requests to scope (c) (k)</li> <li>Approves Project Governance structure (delegated)</li> <li>Approves the project structure (delegated)</li> <li>Approves Project Risk Appetite (delegated)</li> <li>Approves Project Delegations (delegated)</li> </ul> <b>Escalations Received:</b> <ul style="list-style-type: none"> <li>Changes to Project wide funding (k)</li> <li>Corporate / CPCA-wide Risks that cannot be resolved (k)</li> <li>Significant reputational risk (k)</li> </ul> <b>Performance, Monitoring and Evaluation:</b> <ul style="list-style-type: none"> <li>Receiving reports on changes to project timeline (k)</li> <li>Receiving reports relating to project assurance (f)</li> <li>Receiving Corporate Highlight Report and Exception reports (f)</li> </ul>	<ul style="list-style-type: none"> <li>the Constituent Councils.</li> <li>A Representative of the Business Board</li> <li>Co-opted Members (non-voting) invited to attend</li> </ul>	<ul style="list-style-type: none"> <li>Change Control Requests</li> <li>Escalated decisions</li> </ul>	<ul style="list-style-type: none"> <li>Approval to proceed to BEIS</li> <li>Strategic Steer</li> </ul>
2	Net Zero Hub Portfolio Board <a href="#">TOR</a>	Hub Chair  6 Weekly (exceptional meeting will take place if a decision requires hub approval outside of the normal cadence)	<b>Accountable for:</b> <ul style="list-style-type: none"> <li>Ensuring visibility across the stakeholder group for The Project (a)</li> <li>Granting authority to the Project Board for the delivery of the project (h)</li> </ul> <b>Responsible for:</b> <ul style="list-style-type: none"> <li>When required, providing direction, insight and support in relation to the development, delivery, and implementation of The Project activities (a)</li> <li>Providing recommendations to CPCA regarding the staffing structure of the Operational Team related to the delivery of the Project (in consultation with the S73 Officer) (a)</li> <li>Following the strategic direction in accordance with the MOU (a)</li> </ul> <b>Strategy:</b> <ul style="list-style-type: none"> <li>Provide a HUB communication strategy (a)</li> </ul> <b>Decisions and approvals</b> <ul style="list-style-type: none"> <li>Acting in an advisory body capacity, making recommendations as required (a)</li> <li>Where asked to, making decisions based on the scrutiny of individual Project Support proposals (technical / consultancy) (a)</li> </ul> <b>Assurance:</b> <ul style="list-style-type: none"> <li>Assuring and making recommendations regarding the strategic direction of The Project. (a)</li> </ul> <b>Performance, Monitoring and Evaluation:</b> <ul style="list-style-type: none"> <li>Monitoring and evaluating progress of the Project in line with the wider objectives of the Hub (a)</li> </ul>	<ul style="list-style-type: none"> <li>CPCA (accountable body)</li> <li>CPCA (Business Board)</li> <li>New Anglia LEP</li> <li>South East LEP</li> <li>South East Midlands LEP</li> <li>Coast to Capital LEP</li> <li>Enterprise M3 LEP</li> <li>Hertfordshire LEP</li> <li>Oxfordshire LEP</li> <li>Thames Valley Berkshire LEP</li> <li>Buckinghamshire LEP</li> <li>Greater London Authority</li> <li>BEIS (permanent observer representing Local Energy)</li> </ul>	<ul style="list-style-type: none"> <li>Monthly Report</li> <li>Monitoring and evaluation reports</li> <li>Project papers (updates / decisions required)</li> </ul>	<ul style="list-style-type: none"> <li>Published minutes, actions and decisions</li> <li>Approval to progress to CPCA Board / BEIS</li> <li>Project Prioritisation</li> <li>Project improvement recommendations</li> </ul>
1	Exec Team	Chief Exec  As required	<b>Performance, Monitoring and Evaluation:</b> <ul style="list-style-type: none"> <li>Performance, risks, issues, and opportunities update</li> <li>Receive Programme Dashboard with Project Content (e)</li> </ul> <b>Project Delivery and controls</b> <ul style="list-style-type: none"> <li>Highlighting any CPCA dependencies</li> </ul>	<ul style="list-style-type: none"> <li>Chief Exec &amp; Team</li> <li>CPCA GSENZH Lead</li> <li>Project Team (as required)</li> </ul>	<ul style="list-style-type: none"> <li>Performance Report</li> </ul>	Recommendations and actions

Tier	Forum	Chair & Cadence	Purpose, Roles, and Responsibilities	Attendees (Organisation)	Inputs	Outputs
			<ul style="list-style-type: none"> <li>Reviewing any Project risks entering the corporate risk register (g)</li> </ul>			
2	Lead Member Engagement	Lead Member	<b>Responsibilities:</b> Monthly update of decision making, activity and progress against plan. Focus on large financial and reputational risk and decision making	<ul style="list-style-type: none"> <li>Lead Member</li> <li>Sponsor</li> <li>Programme Manager</li> </ul>		
2	Business Board (LEP)	Bi-Monthly	<b>Performance, Monitoring and Evaluation:</b> <ul style="list-style-type: none"> <li>Authorisation (in conjunction with the CPCA board) that the CPCA is the Accountable Body for The Project</li> <li>Insight and direction on the public / private partnerships for the Project</li> <li>Strategic input and advice as required</li> <li>Receiving information updates on Progress from Hub / Project</li> <li>Critical Friend as required</li> <li>Opportunity for wider engagement with Business Advisory Panel</li> </ul>	<ul style="list-style-type: none"> <li>The Mayor</li> <li>Portfolio for Economic Growth – CPCA</li> <li>6 Private Sector members</li> <li>1 Private Sector SME member</li> <li>Project Team (as required)</li> </ul>	<ul style="list-style-type: none"> <li>Verbal Updates</li> </ul>	Recommendations
2	Committee	TBC / Bridget Smith Monthly	<b>NB Discussions are underway as part of the CPCA Improvement Plan about setting up a Sustainable Growth committee under which the GSENZH and the Project will probably sit.</b>	TBC	TBC	TBC
2	Performance and Risk Committee (PARC)	Chief Exec Monthly	<b>Assurance:</b> <ul style="list-style-type: none"> <li>Reviewing CPCA Programme dashboard (project included) (i)</li> <li>Review CPCA Risk exception report (e)</li> <li>Escalating risks to corporate level (e)</li> <li>Escalations to Exec Team, Overview &amp; Scrutiny Committee and, or Audit and Governance Committee</li> </ul>	<ul style="list-style-type: none"> <li>Chief Executive</li> <li>Directors</li> <li>External (as invited)</li> <li>Project Team (as required)</li> </ul>	<ul style="list-style-type: none"> <li>Corporate Highlight Report</li> <li>Corporate Risk Register</li> </ul>	Recommendations and actions
2	Audit and Governance Committee	Members Monthly	<b>Project Delivery and Controls:</b> <ul style="list-style-type: none"> <li>Ensuring via escalation from PARC, that the CPCA is spending public money properly and has the right systems in place to manage finances correctly and meet legal and regulatory responsibilities. (g)</li> <li>Reviewing the corporate risk register on a quarterly basis. (g)</li> </ul>	<ul style="list-style-type: none"> <li>One member from each Constituent Authority</li> <li>Project Team (as required)</li> </ul>	<ul style="list-style-type: none"> <li>Corporate Risk Register</li> </ul>	Recommendations and actions
2	Overview and scrutiny committee	Members Monthly	<b>Accountability:</b> <ul style="list-style-type: none"> <li>Reviews decisions made at CPCA board, to ensure they meet the needs of the people of the Cambridgeshire and Peterborough and are made in line with agreed policies, making recommendations where necessary. (g)</li> </ul> <b>Performance, Monitoring and Evaluation:</b> <ul style="list-style-type: none"> <li>Receiving performance Monitoring Report together with a more Strategic Overview of Performance against key metrics</li> </ul>	<ul style="list-style-type: none"> <li>14 members, two nominated from each of the Constituent Authorities.</li> <li>Project Team (as required)</li> </ul>	<ul style="list-style-type: none"> <li>Performance monitoring report</li> </ul>	Recommendations and actions
2	BEIS / CPCA Meeting	BEIS SRO Fortnightly	<b>Performance, Monitoring and Evaluation:</b> <ul style="list-style-type: none"> <li>Reviewing Monthly Report</li> </ul> <b>Project Delivery and Controls:</b> <ul style="list-style-type: none"> <li>Managing escalations</li> <li>Providing ongoing strategic steer</li> </ul>	<ul style="list-style-type: none"> <li>BEIS SRO</li> <li>BEIS PD</li> <li>Accountable Body / CPCA Sponsor</li> <li>Account / Contract Manager</li> <li>Project Lead</li> <li>NZH Lead</li> <li>Programme Manager</li> </ul>	<ul style="list-style-type: none"> <li>N/A</li> </ul>	Steer and direction
3	SW Project Board	Sponsor Monthly	<b>Accountable for:</b> <ul style="list-style-type: none"> <li>The success of the project as delegated by the CPCA Board through the Greater South East Net Zero Hub</li> </ul> <b>Responsible for:</b>	<ul style="list-style-type: none"> <li>Project Sponsor</li> <li>CPCA GSENZH Lead</li> <li>Programme Manager</li> <li>CPCA Project Lead</li> </ul>	<ul style="list-style-type: none"> <li>Highlight report</li> <li>Change requests and escalations</li> </ul>	<ul style="list-style-type: none"> <li>Minutes and actions</li> <li>Items to report to CA</li> </ul>

Tier	Forum	Chair & Cadence	Purpose, Roles, and Responsibilities	Attendees (Organisation)	Inputs	Outputs
			<ul style="list-style-type: none"> <li>Effective governance and project controls (i)</li> <li>Ensuring Project outputs are planned, monitored and recognised (h)</li> <li>Ensuring the project remains viable, deliverable, and desirable (h)</li> <li>Ensuring project progress is managed effectively and outputs maximised (h)</li> <li>Facilitating cross functional integration across the project (h)</li> <li>Requesting the necessary resources to deliver the project (h)</li> <li>Confirming project tolerances within the Sponsor's thresholds (h)</li> <li>Ensuring effective decision making (h)</li> <li>Managing risks, issues, changes and exceptions (h)</li> <li>Management of Gateway Reviews (i)</li> </ul> <p><b>Performance, reporting, assurance and fraud management</b></p> <ul style="list-style-type: none"> <li>Manage and report progress against plan and forecast</li> <li>Manage finance actuals vs forecast</li> <li>Ensuring a robust fraud risk assessment in place, with mitigating counter fraud actions (a)</li> <li>Managing fraud prevention and associated activities as set out in the plan (a)</li> </ul> <p><b>Escalations received:</b></p> <ul style="list-style-type: none"> <li>Receiving Early Warning Notifications (k)</li> <li>A change requires a decision at the Project Board or needs approval for further escalation (k)</li> <li>Escalated risk (h)</li> </ul> <p><b>Decisions and approvals:</b></p> <ul style="list-style-type: none"> <li>Decisions on escalated issues (h)</li> <li>Approving project change within project tolerance, or escalating to committee or board (g)</li> <li>Identifying RAG changes (to be signed off by the sponsor) (e)</li> <li>Approving the plan and associated resources (h)</li> </ul> <p><b>Communications and Support:</b></p> <ul style="list-style-type: none"> <li>Providing direction and support to the Project Delivery Team</li> <li>Ensuring there is a communications plan and effective communication is taking place</li> <li>Providing the cascade of information from more senior governance forums</li> </ul>	<ul style="list-style-type: none"> <li>Consortia Leads (Bedfordshire, Berkshire, Buckinghamshire, Essex, GLA, Hampshire, Kent, Northamptonshire, Oxfordshire, Surrey)</li> <li>EEPMS (as chair of SG)</li> <li>CPCA Finance Representative</li> <li>CPCA PMO Representative (optional)</li> <li>CPCA Procurement / contract management Representative (representing the suppliers) (optional)</li> <li>CPCA Engagement Manager</li> </ul>	<ul style="list-style-type: none"> <li>Items for discussion (as required)</li> </ul>	<ul style="list-style-type: none"> <li>Board (monthly)</li> <li>Change Request escalations and approvals</li> <li>Monthly finance approved</li> </ul>

**Table 1: Summary of The Top-Level Governance Chart**

Level	Forum	Chair & Cadence	Purpose, Roles and Responsibilities	Attendees (Organisation)	Inputs	Outputs
4	EEPM groups (split TBD based on a supplier, geography or both)	EEPM's  Monthly	<p><i>Split across the respective territories</i></p> <p><b>Responsible for:</b></p> <ul style="list-style-type: none"> <li>Monitoring and steering the successful delivery of the projects</li> <li>Making recommendations for delivery mitigations and / or improvements</li> <li>Provide direction and support to the stakeholder group</li> <li>Recommending change requests for the Project Board</li> <li>Provide a critical friend function for the overall delivery plan</li> <li>Understand supply chain and skills constraint</li> <li>Review and assess supplier performance against objectives</li> <li>Tackle barriers to performance and escalate risk</li> </ul>	<ul style="list-style-type: none"> <li>EEPMS</li> <li>Project Sponsor (optional)</li> <li>CPCA GSENGH Lead (optional)</li> <li>Programme Manager (optional)</li> <li>CPCA Project Lead (optional)</li> <li>LA Leads</li> </ul>	<ul style="list-style-type: none"> <li>Project / LA Reports</li> <li>Change Requests</li> <li>Escalated Risks, Issues, Dependencies</li> </ul>	<ul style="list-style-type: none"> <li>Actions and decisions</li> <li>Agreed items to escalate to Project Board</li> </ul>

Level	Forum	Chair & Cadence	Purpose, Roles and Responsibilities	Attendees (Organisation)	Inputs	Outputs
			<ul style="list-style-type: none"> <li>Identify how the group can influence the project from a regional perspective</li> </ul> <b>Performance, Monitoring and Evaluation:</b> <ul style="list-style-type: none"> <li>Monitor performance and finance against forecast, making recommendations or escalations as required.</li> </ul> <b>Project Delivery and Controls:</b> <ul style="list-style-type: none"> <li>Identify project risks, issues and opportunities that need to be escalated further</li> <li>Discuss wider identified delivery issues, including project inter-dependencies</li> <li>Undertake Deep Dives into a project or topic (where required or requested)</li> <li>Determine appropriate escalations to Project Board,</li> <li>Supporting project assurance</li> </ul> <b>Communications and support:</b> <ul style="list-style-type: none"> <li>Provide direction and support for the LA's and Supplier</li> <li>Steer effective communication across the delivery chain</li> </ul> <p>N.B. These groups are the new "label" for the current Project meetings led by EEPMs.</p>	<ul style="list-style-type: none"> <li>MA / Supplier Leads (optional)</li> <li>CPCA Finance Representative (optional)</li> <li>CPCA Procurement / contract management Representative</li> <li>CPCA Engagement Manager</li> </ul>	<ul style="list-style-type: none"> <li>Items for discussion (when requested)</li> </ul>	
4	BEIS Performance Review and Account Management	BEIS Fortnightly / on request	<ul style="list-style-type: none"> <li>Review performance against objectives</li> <li>Feeds into BEIS / CPCA Weekly</li> </ul>	<ul style="list-style-type: none"> <li>NZHB Lead</li> <li>Project Lead</li> <li>BEIS Commercial Leads</li> <li>Account / contract Manager</li> </ul>	<ul style="list-style-type: none"> <li>N/A</li> </ul>	<ul style="list-style-type: none"> <li>N/A</li> </ul>
5	Project Operations	EPM's ~Fortnightly	<p><i>NB: It is expected that Constituent LA's (including the CPCA) are running Project Operations Meetings to support effective, transparent and accurate dialogue and reporting in the EEPM Groups. Whilst the exact make up of these meetings isn't mandated, there is a need to be action driven with a focus on:</i></p> <p><b>Reporting:</b></p> <ul style="list-style-type: none"> <li>Review and agree monthly report submission</li> <li>Receive reporting cascade from BEIS</li> </ul> <p><b>RAID Management:</b></p> <ul style="list-style-type: none"> <li>Ongoing review of Project risks, issues, opportunities, assumptions and dependencies</li> <li>Escalation of RAID items</li> <li>Ensure risks, issues and opportunities are included in the Monthly Report</li> <li>Tackle barriers to performance and escalate risk</li> </ul> <p><b>Delivery against Plan:</b></p> <ul style="list-style-type: none"> <li>Review performance against objectives</li> <li>Review performance against plan</li> <li>Make recommendations for delivery improvement</li> </ul> <p><b>Supplier Management:</b></p> <ul style="list-style-type: none"> <li>Review and assess supplier performance against objectives</li> <li>Understand supply chain and skills constraint</li> </ul> <p><b>Strategy:</b></p> <ul style="list-style-type: none"> <li>Future proofing</li> <li>Assess, review and make recommendations for change to the SW Strategy</li> </ul>	<ul style="list-style-type: none"> <li>Meeting dependent</li> </ul>	<ul style="list-style-type: none"> <li>RAID Log</li> <li>Plan</li> <li>Performance Data</li> <li>Monthly report</li> </ul>	<ul style="list-style-type: none"> <li>Actions</li> <li>Escalations</li> </ul>

Level	Forum	Chair & Cadence	Purpose, Roles and Responsibilities	Attendees (Organisation)	Inputs	Outputs
			<ul style="list-style-type: none"> <li>Review and where necessary escalate strategic risks</li> </ul> <p>NB Within the CPCA this consists of a Project Huddle, Project Meeting and a Risk Register Workshop.</p>			
5	Contract Administration  TOR:	MACE  Weekly	<ul style="list-style-type: none"> <li>Management Agents update Framework Manager on the progress, (action tracker, commercials and supply chain).</li> <li>Identify risks and blockers. Review against targets and KPI's</li> </ul>	<ul style="list-style-type: none"> <li>MA</li> <li>Framework Manager</li> <li>MACE</li> <li></li> </ul>	<ul style="list-style-type: none"> <li>Action Tracker</li> </ul>	<ul style="list-style-type: none"> <li>Action Tracker</li> </ul>
5	LA Progress Meeting	MA / TKP  Fortnightly	<ul style="list-style-type: none"> <li>MA's to update EEPM's on progress, identify blockers and resolutions</li> </ul>	<ul style="list-style-type: none"> <li>GSENZH</li> <li>Framework Manager</li> <li>MA</li> <li>EEPM's</li> </ul>	<ul style="list-style-type: none"> <li>MA Progress Report</li> </ul>	<ul style="list-style-type: none"> <li>Minutes</li> </ul>

**Table 2: Summary of The Performance and Assurance Level Governance Chart**

## 9.2. Decision Making Framework

The decision-making process and governance for Cambridgeshire and Peterborough as set out in the Cambridgeshire and Peterborough Business Plan is as follows:

*“Investment decisions using public funds will be made with reference to statutory requirements, conditions of the funding, local transport objectives and through formal LEP involvement. The Monitoring Officer and S73 review all proposed funding decision and their comments are included in all public or delegated power reports.”*

**Error! Reference source not found.**<sup>3</sup> sets out the decision-making framework for the Project. The key principles to follow when using this framework are:

- This framework is **complementary to and does not replace CPCA governance, risk management, project delivery, and assurance structures, guidance, and frameworks** – where a control, policy or process has been implemented across the Authority it will be adhered to, unless specific exemption is granted to the Project. **Similarly, it does not replace the BEIS protocols** set out in the MOU(S). In both instances **the framework seeks to incorporate the requirements set out by both.**
- An **assessment of impact, risk and novelty is relatively subjective** – it is important to take this assessment objectively, and **moderated through the Risk Review Process**
- At a high level, the **‘what’** the project is doing is **reserved to “The Board”**, but the **‘how’** we achieve it is in the **control of the Project Board.**

*N.B. The summary in the following table focuses on the decisions in relation to The Project, and do not focus on the wider decisions the forum or person may make.*

Decision Maker*	Decisions dependent on level of Risk / Novelty	Decisions dependent on level of Impact / Scope
BEIS	<ul style="list-style-type: none"> <li>Receives programme level risk and variations to spend profiles</li> <li>Manages mitigations against nationwide reputational damage</li> <li>Receives red project level risk that cannot be treated / mitigated at CPCA / NZH level</li> </ul>	<ul style="list-style-type: none"> <li>Programme level impacts (including funding)</li> <li>Project wide funding and scope</li> <li>Benefit level decisions</li> <li>MOU level change requests</li> </ul>
Lead Member	<ul style="list-style-type: none"> <li>Receives CPCA-Wide Risk at all levels</li> <li>Receives corporate level risk that cannot be treated / mitigated</li> </ul>	<ul style="list-style-type: none"> <li>Project wide funding &amp; Project wide scope</li> <li>CPCA-level risks, issues and opportunities</li> <li>Informed of all revenue spend decisions over £0.5m and all capital spend decisions over £15m</li> <li>Consulted on all major change control requests (e.g. spend profile significantly amended)</li> </ul>
CPCA Board	<ul style="list-style-type: none"> <li>Receives CPCA-Wide Risk at all levels</li> <li>Receives corporate level that cannot be treated / mitigated</li> <li>Receives project level risk that cannot be treated / mitigated</li> <li>Risks that result in the potential for reputational damage to CPCA</li> <li>Risks that exceed 30% cost-based risk appetite</li> </ul>	<ul style="list-style-type: none"> <li>Any spending increase in excess of the agreed spend profile</li> <li>Change control relating to delays / reduction to spend profile and / or a significant scope change</li> <li>Approval of CapEx virements of £15m and over, and £0.5m for RevEx</li> <li>Delegation of authority to Project Sponsor</li> </ul>
Chief Exec	<ul style="list-style-type: none"> <li>Notified of all corporate level risk that cannot be resolved</li> </ul>	<ul style="list-style-type: none"> <li>Escalated decisions within scope with no material impact on cost</li> <li>Informed of all revenue spend decisions over £0.5m and all capital spend decisions over £15m</li> <li>Consulted on all major change control requests (e.g. spend profile significantly amended)</li> </ul>
Net Zero Hub Portfolio Board	<ul style="list-style-type: none"> <li>Risks and Issues affecting Hub resource and delivery in other areas</li> <li>Portfolio wide reputational risk</li> <li>Escalates to CPCA Board all portfolio risk that cannot be treated / mitigated and, or may result in reputational damage to the CPCA</li> </ul>	<ul style="list-style-type: none"> <li>Strategic Portfolio implications</li> <li>Informing future bids</li> <li>Lessons Learned for future projects</li> <li>Hub resource management</li> </ul>
CFO	<ul style="list-style-type: none"> <li>Financial Risk within tolerances</li> </ul>	<ul style="list-style-type: none"> <li>Request to accelerate spending (made in conjunction with the Sponsor)</li> <li>Informed of all revenue spend decisions over £0.5m and all capital spend decisions over £15m</li> </ul>
Project Board / Sponsor	<ul style="list-style-type: none"> <li>All project level risks that cannot be treated / mitigated in lower-level forums</li> <li>Portfolio / corporate level risk identified in lower-level forums</li> <li>Receives escalated risks that exceed project boundaries</li> <li>Sign off RAG rating changes**</li> <li>Escalates all corporate level risk that cannot be treated / mitigated (to PARC / CPCA Board)</li> <li>Escalates programme / portfolio level risk that cannot be treated / mitigated (to PARC / CPCA Board)</li> <li>Escalates reputational risk to lead member and CPCA board</li> </ul>	<ul style="list-style-type: none"> <li>Timescale where no significant change to budget or scope</li> <li>Request to accelerate spending (made in conjunction with the CFO)</li> <li>Approve all changes within the risk tolerance (up to 30% cost-based risk appetite)</li> <li>Up to £15m CapEx and £0.5m RevEx spend, informing finance, CPCA board and lead member when in excess of delegations</li> <li>Prioritisation and baselining</li> <li>Project performance</li> </ul>
EEPM Groups	<ul style="list-style-type: none"> <li>Project Level Risk</li> <li>Project Risks at LA Level cannot be resolved</li> <li>Escalates all risk that cannot be treated / mitigated</li> </ul>	<ul style="list-style-type: none"> <li>Low level tactical decision making</li> </ul>

**Table 3: Project Decision Making Framework\***

\* all decisions **must** be taken in line with the scheme of delegation and **adhere** to procurement controls

## 9.2.1. Escalation and Delegation

Aligned to the decision-making framework in the previous section, the following table 4 lists the escalations and delegations for the key governance groups.

Forum	Incoming Escalations	Outgoing Escalations	Delegated Authority
<b>BEIS Project Board</b>	<ul style="list-style-type: none"> <li>Programme/project level risk cannot be treated / mitigated at lower-level forums</li> <li>Nationwide reputational damage is likely to occur</li> <li>Spending forecasts will not be met</li> <li>Change control decisions are required</li> </ul>		<ul style="list-style-type: none"> <li>National Programme Management</li> <li>Production of MOU's</li> <li>Management of Benefits</li> </ul>
<b>CPCA Board</b>	<ul style="list-style-type: none"> <li>Corporate level that cannot be treated / mitigated</li> <li>Project level risk that cannot be treated / mitigated</li> <li>Risks that exceed 30% cost-based risk appetite</li> <li>Potential for reputational damage to CPCA</li> <li>Revenue spending in excess of £0.5m</li> <li>Capital Spending in excess of £15m</li> <li>Change control relating to a significant scope change</li> <li>Spending forecast will not be met</li> </ul>	<ul style="list-style-type: none"> <li>Spending forecast will not be met (to BEIS)</li> <li>Potential for reputational damage at national level (to BEIS)</li> </ul>	<ul style="list-style-type: none"> <li>All delegations for the management of the project</li> <li>Requests to approve RevEx over £0.5m</li> <li>Requests to approve CapEx over £15m</li> </ul>
<b>Performance and Risk Committee</b>	<ul style="list-style-type: none"> <li>Corporate risks with a score greater or equal to 12 and entered onto the corporate risk register</li> </ul>	<ul style="list-style-type: none"> <li>Escalations to Audit and Governance Committee and / or CPCA Board as directed by the chair</li> </ul>	
<b>Net Zero Hub</b>	<ul style="list-style-type: none"> <li>Risks and Issues affecting Hub resource and delivery in other areas</li> <li>Portfolio wide reputational risk</li> <li>Strategic implications for portfolio</li> </ul>	<ul style="list-style-type: none"> <li>Portfolio level risks that cannot be resolved / provide a significant reputational risk to the CPCA, to the CA Board</li> </ul>	<ul style="list-style-type: none"> <li>Hub Resource as referred by the PjB</li> <li>Hub Structure &amp; MOU Change Decisions</li> <li>Management of portfolio level risk</li> <li>Management of Lessons Learned</li> <li>Sourcing and supply chain strategy</li> </ul>
<b>Project Board</b>	<ul style="list-style-type: none"> <li>All project level risks that cannot be treated / mitigated in lower-level forums</li> <li>Portfolio / corporate level risk identified in lower-level forums</li> <li>Change control that requires a Project Board Decision</li> <li>Decisions that require Project Board approval</li> <li>Ratification of decisions required at high level forums</li> </ul>	<ul style="list-style-type: none"> <li>All corporate level risk that cannot be resolved or mitigated (to the CA Board and PARC)</li> <li>All project level risk that cannot be treated / has an impact outside of the agreed 30% budget tolerance for risk (to the CA Board &amp; PARC)</li> <li>Portfolio level risk that cannot be resolved to the Net Zero Hub</li> <li>Reputational risk (reported to lead member and CPCA board)</li> <li>Decisions that cannot be made at the project board</li> </ul>	<ul style="list-style-type: none"> <li>Change control decisions within risk tolerance (30% of total budget)</li> <li>Changes to timeline</li> <li>Ability to accelerate spending</li> <li>CapEx decisions up to £15m (requires decisions to be discussed with the Lead Member, Finance team and CA Board)</li> <li>RevEx decisions up to £0.5m</li> <li>Management of the project</li> <li>Management of project level risk (upto 30% of total budget)</li> </ul>
<b>EEPM Group</b>	<ul style="list-style-type: none"> <li>Project Risks at LA Level cannot be resolved</li> </ul>	<ul style="list-style-type: none"> <li>All risks that cannot be resolved or treated (to the Project Board)</li> <li>All risks with a score in excess of 11 (to the Project Board)</li> </ul>	<ul style="list-style-type: none"> <li>Low level tactical decision making</li> </ul>



### 9.3. Project Roles and Responsibilities

Table 5 lists the high-level roles and responsibilities pertaining to the Governance Framework. A more detailed CPCA Project RACI relating to project delivery can be found in appendix 4.

*N.B. The summary in the following table focuses on the duties of the respective forum in relation to The Project, and do not focus on the wider responsibilities the forum may manage and deliver.*

*References: (a) Aligns with MOU Documentation, (b) Aligns with Managing Public Money, (e) Aligns with the CPCA 10 Step Guide to Project Management (d) Aligns to the CPCA Constitution, (e) Aligns to the CPCA Risk Management Strategy, (f) Aligns to the CPCA M&E Framework, (g) Aligns to the CPCA Assurance Framework, (h) Aligns to Prince2, (i) Aligns to CPCA PM RACI Matrix, (k) Aligns to the CPCA relationship between risk and change (L) Aligns to the HMT Green Book, (m) Aligns to the CPCA Monitoring and Evaluation Framework (n) Aligns to Managing Success Programmes*

Role	Name	Accountabilities / Responsibilities / Escalations
Secretary of State for Business, Energy and Industrial Strategy	Rt Hon Grant Shapps MP	<b>Accountabilities</b> <ul style="list-style-type: none"> <li>Delivering the National Programme within the context of managing public money (a)</li> <li>Transparency, including requesting audit procedures are initiated where required (a)</li> </ul>
Responsible Minister	Lord Callanan	<b>Responsibilities</b> <ul style="list-style-type: none"> <li>Delivering the National Programme</li> </ul> <b>Escalations</b> <ul style="list-style-type: none"> <li>Programme wide strategic risk, change and underperformance (as directed by BEIS)</li> </ul>
Mayor  (Being covered by the Deputy Mayor)	Dr Nik Johnson  Cllr Anna Smith	<b>Accountabilities:</b> <ul style="list-style-type: none"> <li>Through chairing CPCA board, setting the scheme of delegation, including authorising an individual Member or Officer the power to act on the Mayors behalf for the project (d)</li> <li>Owning CPCA level risk (e)</li> <li>Chairing the CPCA Board (d)</li> <li>Consulting on Committee / Board Reports (i)</li> </ul> <b>Escalations</b> <ul style="list-style-type: none"> <li>Virements in excess of £0.5m (signed off through the CPCA board) (d)</li> </ul>
Lead Member	Cllr Bridget Smith	<b>Accountabilities:</b> <ul style="list-style-type: none"> <li>Consulted on prioritisation decisions (i)</li> <li>Owning CPCA level risk</li> <li>Consulted on Committee / Board Reports (i)</li> </ul> <b>Escalations</b> <ul style="list-style-type: none"> <li>Informed of revenue decisions relating to budget in excess of £15m (signed off through the project board) (d)</li> </ul>
BEIS SRO	Selvin Brown	<b>Accountable:</b> <ul style="list-style-type: none"> <li>Defining Programme governance (b)</li> </ul> <b>Responsibilities:</b> <ul style="list-style-type: none"> <li>Chairing the BEIS Project Board</li> <li>Responsible for initiating government led audits (b)</li> <li>Management of Programme level risks (b)</li> </ul>



Role	Name	Accountabilities / Responsibilities / Escalations
Interim CEO for Cambridgeshire and Peterborough	Gordon Mitchell	<b>Accountabilities:</b> <ul style="list-style-type: none"> <li>• Prioritisation (i)</li> <li>• Consultation on Committee / Board Reports (i)</li> <li>• Owning strategic / corporate risks and issues, ensuring mitigation actions are dealt with at the appropriate senior level. (e)</li> </ul> <b>Escalations:</b> <ul style="list-style-type: none"> <li>• Corporate strategic risk, change and underperformance (e)</li> </ul> <b>Responsibilities:</b> <ul style="list-style-type: none"> <li>• Chairs the Exec Team Meeting</li> </ul>
Sustainable Warmth Project Sponsor (CPCA)	Mark Parkinson	<b>Accountabilities:</b> <ul style="list-style-type: none"> <li>• Producing the Project RACI and governance model (i)</li> <li>• Producing / setting the PID, Gateways, Project Controls, claims &amp; invoices, legal contracts funding agreement and, closure) (i)</li> <li>• Accountable for ensuring all project reports meet required standards (quality, content and submission deadlines) (i)</li> <li>• Accountable for ensuring FOI requests are notified to the BEIS Project Board (a)</li> <li>• Ensuring the Project delivers value for money (g)</li> </ul> <b>Responsibilities:</b> <ul style="list-style-type: none"> <li>• Chairing the Project Board</li> <li>• Prioritisation within delegated authority (i)</li> <li>• Ensuring a robust fraud risk assessment is in place (a)</li> <li>• Signing off change Early Warning Notification (k)</li> <li>• Authorising change within delegated authorities (d)</li> <li>• Defining clear rules for escalation and promotion within the Project (e)</li> <li>• Sign off RAG changes (e)</li> </ul> <b>Upwards escalation and risk management:</b> <ul style="list-style-type: none"> <li>• Escalating issues, risks or concerns about the SW Competition to BEIS (in consultation with the Chief Exec and/or CPCA Board) (a)</li> <li>• Escalating risks outside of threshold to the Corporate Risk Register (e)</li> <li>• Escalating change outside of threshold (g)</li> <li>• Ensuring there is ownership of Project-level risk and issues. (e)</li> <li>• Assures portfolio adherence to the risk management principles (e)</li> <li>• Escalates items across the programme boundaries to Programme Risk Owner for resolution where necessary (e)</li> </ul>
LA Leaders (CPCA board members)	Multiple	<ul style="list-style-type: none"> <li>• Represent the views of their constituent authorities at the Combined Authority Board whilst putting the needs and opportunities of Cambridgeshire and Peterborough at the forefront of all decisions (g)</li> </ul>
Hub Chair	Rotating	<b>Accountabilities:</b> <ul style="list-style-type: none"> <li>• Delivering on Portfolio Level Objectives (a)</li> </ul> <b>Responsibilities:</b> <ul style="list-style-type: none"> <li>• Chairing the Hub Board (a)</li> <li>• Portfolio level controls and secretariat functions (a)</li> </ul>
BEIS Project Director	Shaun Garvey	<b>Responsibilities:</b> <ul style="list-style-type: none"> <li>• Programme level delivery (including benefits)</li> <li>• Managing Public Money protocols at a national level</li> <li>• Adherence to the HMT Green Book</li> <li>• Defining programme governance</li> </ul>
CFO (CPCA) / Section 73 Officer	Jon Alsop	<b>Accountabilities:</b> <ul style="list-style-type: none"> <li>• Ensuring the Project manages budgets and timescales, adhering to all financial regulations, process, and governance arrangements. (d)</li> <li>• Ensuring the Project regularly reports on spend and to support the integration of this reporting with the wider M&amp;E work (m)</li> <li>• Assurance Framework Compliance across the Project (i)</li> <li>• Finance reports, claims and invoices across the Project (i)</li> <li>• Ensuring the M&amp;E work provides insightful lessons for similar future schemes (g)</li> </ul> <b>Responsibilities:</b>

Role	Name	Accountabilities / Responsibilities / Escalations
		<ul style="list-style-type: none"> <li>The identification and management of financial risk (e)</li> <li>Providing the final sign off for funding decisions, including the operational budget for The Project (e) (a)</li> <li>Overall responsibility for maintaining adequate and effective internal control arrangements (e)</li> </ul>
BEIS Head of Programmes  (last day 9 Dec 2022)	Elinor Bendell	<b>Responsibilities</b> <ul style="list-style-type: none"> <li>Setting strategic direction for the Hub programme, including alignment with wider Government schemes and priorities. (a)</li> <li>Overseeing the Local Net Zero programme across all regions, including reporting, finance, and stakeholder engagement. (a)</li> <li>Attending meetings with relevant authorities and bodies as required. (a)</li> <li>Managing and mitigation of risks for the Local Net Zero Programme. (a)</li> <li>Supporting the Hubs in engagement with other policies/programmes and central departments. (a)</li> </ul>
BEIS Senior Project Manager	Phil Jones	<b>Responsibilities:</b> <ul style="list-style-type: none"> <li>Specific overseeing inc. schemes but also risk/issue management and opportunity identification. (a)</li> <li>Project managing bespoke funded projects and tools within their region(s). (a)</li> <li>Developing and maintaining a network of stakeholders and relevant contacts across the region, engaging on a regular basis to ensure opportunity identification. (a)</li> <li>Attending meetings with relevant authorities and bodies as required. (a)</li> <li>Developing and submitting regular reports to BEIS management setting out the milestones, successes and challenges faced. (a)</li> <li>Disseminating work, e.g., provision of case studies, speakers, etc to ensure timely interaction with policy development. (a)</li> </ul>
HUB Manager (CPCA)	Maxine Narburgh	<b>Responsibilities:</b> <ul style="list-style-type: none"> <li>Supporting and delivering on Net Zero related initiatives, as agreed by the Hub and its Board, and improving access to relevant funding. (a)</li> <li>Developing and delivering The Project, as agreed by the Hub and its Board, working alongside key public and private sector partners, including local and central Government. (a)</li> <li>Leading and managing a technically skilled and multi-disciplined team to ensure successful delivery of Hub programme. (a)</li> <li>Preparing individual Monitoring and Evaluation Plans. (a)</li> <li>Achieving targets around securing funding opportunities, including identifying appropriate internal and external partners (a)</li> <li>Supporting progression through overcoming technical, legal, social and other barriers (a)</li> <li>Ensure resources are put in place as required to deliver (a)</li> <li>Ensure risks and issues are escalated to the Net Zero Hub board (a)</li> <li>Procurement (i)</li> <li>Legal Contracts (i)</li> </ul>
Programme Manager	Chris Bailey	<ul style="list-style-type: none"> <li>Planning and designing the programme and governance framework (n)</li> <li>Developing and maintaining the right environment for the Project (n)</li> <li>Developing the programme budget and maintaining the same by keeping track of expenditures and costs against the benefits delivered by the programme (n)</li> <li>Leading and supervising the daily routine programme management activities (n)</li> <li>Co-ordinating the projects in the programme and their interdependencies (n)</li> <li>Proactively monitoring the progress, resolving issues while maintaining overall integrity and coherence of the programme (n)</li> <li>Responding with activities or management interventions as appropriate when gaps are identified, or issues raised (n)</li> <li>Representing the sponsor as his agent to make sure the programme delivers the desired capability as planned and reporting regularly to the sponsor on the progress of the programme (n)</li> <li>Acting as a lead in the appointment of people to the project delivery teams and making sure the resources and skills are allocated as efficiently as possible (n)</li> <li>Making sure that the projects deliver products and services that meet the quality, schedule and cost of the programme (n)</li> <li>Making sure any third parties involved make the right contributions to the success of the programme (n)</li> <li>Managing all relevant stakeholders and the communications with them (n)</li> <li>Oversight and management of highlight report process (n)</li> <li>Closing the programme (n)</li> <li>Decisions relating to the production of Early Warning Notification(s) (k)</li> <li>Achieving targets around securing funding opportunities, including identifying appropriate internal and external partners. (a)</li> </ul>

Role	Name	Accountabilities / Responsibilities / Escalations
		<ul style="list-style-type: none"> <li>Supporting progression of the project, overcoming technical, legal, social and other barriers. (a)</li> <li>Ensuring resources are put in place as required to deliver, e.g. procuring contractors for the project.(a)</li> <li>Ensuring risks and issues are escalated to the board, and to BEIS where necessary, and establish robust risk management processes to resolve or mitigate any that arise. (a)</li> <li>Attending regular meetings with the BEIS Hub leads to update on progress and address any challenges. (a)</li> </ul>
Head of EEPM	Dipna Pattni	<b>Responsibilities:</b> <ul style="list-style-type: none"> <li>Manage the EEPM's to fulfil the duties listed below (h)</li> <li>Ensure resource is available to deliver the project (h)</li> <li>Plan, monitor and manage the teams work (h)</li> <li>Identify and manage team level risks, issues and opportunities (h)</li> <li>Responsible for the EEPM progress (h)</li> <li>Ensure quality management processes are in place for the teams work (h)</li> </ul>
EEPM	Multiple	<ul style="list-style-type: none"> <li>Responsibilities:</li> <li>Chairing the EEPM Project Meetings (multiple meetings)</li> <li>Project Documentation (m)</li> <li>Producing, managing and updating the delivery risks and issues relating to each stage of the project. (m)</li> <li>Defining what outputs and outcomes will be achieved and approximately by when (m)</li> <li>Making change requests (m)</li> <li>Producing reporting materials e.g. highlight reports (m)</li> <li>Gateway / audit Reviews (documentation, lessons learned) (i)</li> <li>Information management compliance (e)</li> <li>Evaluation (i)</li> <li>Closure (i)</li> <li>Stakeholder engagement and consultation (e)</li> <li>Identifying RAG changes (e)</li> <li>Preparation of individual monitoring plans (f)</li> <li>Responsible for project support (h)</li> </ul>
Finance Lead	Esther Fadahunsi (supported by Natasha Marshall)	<ul style="list-style-type: none"> <li>Ensure invoices are paid on time (b)</li> <li>Provide financial support and analysis</li> <li>Owns financial figures</li> <li>Close liaison with S73 officer acting on their behalf at the project board</li> </ul>
PMO Analyst (future requirement)	TBC	<b>Responsibilities:</b> <ul style="list-style-type: none"> <li>Set up and maintain project files (h)</li> <li>Establish document control procedures (h)</li> <li>Collect actuals and forecast data (h)</li> <li>Update plans (h)</li> <li>Administer meetings and reviews (h)</li> <li>Assist with the compilation of reports (h)</li> <li>Maintain records are required by the EEPM (h)</li> </ul>
CPCA Reporting Lead	Heather Stevenson	<b>Responsibilities:</b> <ul style="list-style-type: none"> <li>Providing monthly updates to BEIS on project progress and performance against objectives. (a)</li> <li>Providing Project Board data for inclusion in the highlight report</li> <li>Information management (e)</li> </ul>
Corporate PMO	Chris Bolton (delegated)	<b>Accountabilities:</b> <ul style="list-style-type: none"> <li>SharePoint Information Management (i)</li> <li>Highlight Reports (i)</li> <li>Performance and Risk Committee Reporting</li> </ul> <b>Responsibilities:</b> <ul style="list-style-type: none"> <li>Including the project in the single project register (e)</li> </ul>

Role	Name	Accountabilities / Responsibilities / Escalations
		<ul style="list-style-type: none"> <li>• Populating the Performance Dashboard, for relevant members of CMT</li> <li>• Managing and coordinating the information and support systems to enable efficient handling of the risk and issues.</li> <li>• Maintaining the risk register for each programme. (i)</li> <li>• Maintaining the issue register for each programme. (i)</li> <li>• Facilitates the change control steps. (i)</li> </ul>
Local Authority	Multiple	<b>Accountabilities:</b> <ul style="list-style-type: none"> <li>• Local level delivery of the project workstreams in line with the objectives</li> <li>• Local level project controls</li> </ul> <b>Responsibilities:</b> <ul style="list-style-type: none"> <li>• Comply with the M&amp;E Framework (f)</li> <li>• Produce Performance Data</li> <li>• Manage LA level RAID, escalating where appropriate</li> <li>• Consortia Leads attend the Project Board</li> <li>• LA Reps attend the EEPM Group</li> <li>• Local delivery of project comms and marketing</li> <li>• Local stakeholder networks</li> <li>• Fraud prevention, eligibility and identification</li> </ul>
Supply Chain Engagement Officers	Steven Eshiet Genevieve Dady	<b>Responsibilities:</b> <ul style="list-style-type: none"> <li>• Monitoring risks in relation to supplier activity (h)</li> <li>• Support supplier onboarding and delivery</li> <li>• Due diligence / compliance checks as part of supplier assessment</li> <li>• Supply chain intelligence skills development</li> </ul>
Legal	Not Specified	<b>Accountabilities:</b> <ul style="list-style-type: none"> <li>• Contracts or Funding Agreement (i)</li> </ul>
Procurement / Contract Manager	Not Specified	<b>Accountabilities:</b> <ul style="list-style-type: none"> <li>• Procurement forms (such as waiver, brief or ODN) (i)</li> </ul>
Stakeholder Engagement Officer	Dawn Murphy	<b>Accountabilities:</b> <ul style="list-style-type: none"> <li>• Consultation (i)</li> </ul> <b>Responsibilities:</b> <ul style="list-style-type: none"> <li>• Responsible for creating, managing and delivering the comms strategy (i)</li> </ul>
Secretariats	Multiple	<b>Responsibilities:</b> <ul style="list-style-type: none"> <li>• Managing the administration for the allocated meeting or board</li> <li>• Collating papers and reports for issuance to the meeting or board</li> <li>• Taking and issuing minutes and actions at allocated meeting or board</li> </ul>

**Table 4: High-level Governance Roles and Responsibilities**

## 10. Working Arrangements

The working arrangements section are split into two for the purpose of the delivery of The Project. Firstly, it encompasses the CPCA process for managing The Project. Secondly, there is a need to adhere to BEIS MOU stipulations for Delivery. It is expected that Local Authorities will manage in accordance with their own processes and procedures, adhering to the Framework as “information progress up the chain”.

## 10.1. The Role of Change Control in the Governance Framework

### 10.1.1. CPCA:

Early Warning Notifications (EWN) are the first opportunity to raise any potential change that could affect the scope, cost, programme, outputs, and/or deliverables. These are supporting documents for future Change Events (CE) and advise the Project Board that a change may occur, and that additional mitigation may be required. Only appropriate and viable changes should be taken forward to the next stage with the cost and effort implications of a full-scale review. All project change requests must be clearly documented, with evidence of approvals and notifications saved where applicable and recorded within the performance highlight reports.

Project change requests should be used when approval is higher than that of the Sponsor (CPCA director) and for changes which include the following:

- Changes to timescales (i.e., delay to completion date)
- Amendments to budget
- Variations to outputs delivered
- Withdrawal of project
- Agreed mitigation/action arising from RAG

The Sponsor is responsible for agreeing change requests within delegation and promoting change requests outside their delegation. It is expected that most decisions (excluding exceptions) will take place at the SW Project Board. For more information on the management of change within the CPCA, please refer to “The relationship between risk and change” or the “10 step guide to project management” documents.

Any change must be recorded in an issue register. In summary, the process can be seen in the following, figure 3:

#### Change control process:



Where there is insufficient time to run a change through a board or meeting due to the nature of the cadence, authority must be sought outside of the meeting process.

### 10.1.2. Escalations of change requests to BEIS:

If the Project cannot deliver the upgrades to the number of homes originally forecast then BEIS is notified soon as possible using the change request process set out in the MOU. The BEIS Project Team will validate **all** change requests before submitting it to the BEIS Project Board (delegated to a sub change board) for approval who will seek to respond within 10 working days.

## 10.2. Financial Management and Approvals

### 10.2.1. CPCA:

Project Managers are required to complete monthly finance reports for each of their projects, which provide a detailed overview of the year-to-date actual spend, commitments, budget and a full year forecast spend. This does not replace the need to adhere to any reporting requirements set by BEIS.

Project Managers will be the first point of contact for external organisations, so will need to review claims for accuracy, progress against the project plan and, if it is within their delegation limit, will sign off the claim as Project Manager before forwarding the claim to Finance with confirmation of approval.

If the value of the claim exceeds their delegated limit the Project Manager will escalate approval to the Sponsor with their recommendation as to whether it is approved or not. Project Managers must ensure invoices are emailed directly to Finance from the external organisation.

### 10.2.2. BEIS Stipulations as outlined in Managing Public Money

Parliament expects assurances that decentralised funds are used appropriately, i.e., that they are spent with economy, efficiency and effectiveness, and not wasted nor misused. In the case of the SW grant, CPCA are adhering to all BEIS requests for financial data and reporting.

## 10.3. The Role of Assurance in the Governance Framework

In line with IPA guidance on Assurance, the Project has 3 lines of defence. The Project Team is the first line of defence for the Project. The Accountable Body forms the second line of defence. BEIS is the third line of defence.

### 10.3.1. CPCA:

The CPCA Assurance Framework states that the Project must achieve value for money through ensuring all projects contribute to the objectives of the Combined Authority via adherence to the Green Book principles. A Gateway process is designed to ensure that Net Zero Project Managers are delivering the Bid appropriately and are capturing lessons learned. A Gateway process must take place at the end of each project stage which includes completion of a workbook and a Project Board review meeting.

### 10.3.2. BEIS Stipulations

The Accountable Body will support all activities in relation to monitoring, evaluation and audit. The Accountable Body will adhere to all stipulations as set out in the MOU(s) and any requests from the Secretary of State or their representatives, including Central Government audit teams. This is set out in the MOU.

## 10.4. Monitoring and Evaluation

### 10.4.1. CPCA:

Monitoring and evaluation will incorporate best practice as set out in the HMT [Green](#) and [Magenta](#) Books. The CPCA Monitoring and Evaluation Framework, states that monitoring and evaluation is a critical component of project delivery. Monitoring will be used to support the effective tracking of The Project. Evaluation quantifies and assesses outcomes, including how schemes were delivered and whether the investment generated had the intended impact and ultimately delivered value for money. The CFO is accountable for the overall monitoring and evaluation of the Project and ensuring performance lessons are incorporated into any future bids. Please refer to the M&E framework for further detail.

### 10.4.2. BEIS:

BEIS will adhere to the stipulations set out in the Green and Magenta books. The MOU sets out the reporting requirements for the Project and Portfolio as a whole. The Project is expected to comply with these requirements. Predominantly the completion of the monthly report.

## 10.5. The Management of Risk

### 10.5.1. CPCA:

Risk is presented, mitigated, and escalated at the formal boards and working groups. For corporate / strategic risks that cannot be resolved they will be added to the corporate risk register. All risks must be recorded in the Project risk register. The corporate risk register which incorporates the CPCA wide risks will be reviewed monthly by the Combined Authority Director team and will be considered by the Audit and Governance Committee quarterly and at the Performance and Risk Committee monthly.

Ongoing Project risk registers will be maintained and incorporated into the monthly highlight reports, presented within CPCA and BEIS. Risk owners are responsible for the management of the risk reporting and escalation. The risk actioner is responsible for completing the actions associated with the risk. More detail on the CPCA RAG definitions can be found in Appendix 5.

Within CPCA, risk is defined into four groups. This is to effectively implement the risk management strategy. The four risk groups are:

- Project – has a specific impact on a single project only.

- Programme – has common attributes across multiple projects (within an interdependent group of projects) and may affect the delivery of those associated projects
- Portfolio – distinct directorial area, made up of a collection of individual projects and programmes that are not necessarily interdependent
- Corporate – refers to the liabilities and opportunities that positively or negatively impact CPCA as an organisation

In line with the CPCA Risk Management Strategy, priority will be given according to the RAG Status:

- Red – Require immediate action plans
- Amber – Require action plans and / or to be closely monitored as appropriate.
- Green – Can be “Accepted” and may not require action plans.

It is the decision of the relevant Risk Owner (as per the Roles and Responsibility table within the Risk Management Strategy) to decide to promote the risk. A risk can be deemed to have project, programme, portfolio and corporate significance and therefore might stay on all four risk registers with different levels of action / mitigation and different risk owners. It is important to remember that no matter which level the risk sits, that the risk is managed effectively and reviewed on a regular basis to ensure no escalation.

### 10.5.2. CPCA Risk Appetite Thresholds

The CPCA has allocated a level of Risk Appetite as a percentage of the financial cost. This is dependent on optimism biased via either the HM Treasury’s Five Case Model or based on the overall financial cost of the project.

Total Project Cost	% Level of Appetite
Anything over £500k	30%
£250k - £500k	20%
£100k - £249k	10%
£0k - £99k	10%

**Table 4: CPCA Risk Appetite for Project Cost**

This percentage level of appetite is based on the total financial cost of the bid/grant.

The Risk Tolerance (also known as contingency or risk pot) is calculated against the financial implication (quantitative assessment) vs the residual likelihood (qualitative assessment) of the risk happening. The updated Risk and Opportunity log calculates this contingency automatically. The Risk Tolerance is calculated against each individual risk, as summarised below:

Residual Likelihood Score	Percentage of Financial Risk Implication
1	20%



2	40%
3	60%
4	80%
5	100%

**Table 5: CPCA Risk Contingency Calculation**

As new risks are added on the risk and opportunity register, and existing risks reviewed, the financial tolerance is calculated appropriately. This cannot be greater than the approved CPCA Risk Appetite allocated. If an occasion occurs where the tolerance is higher than the CPCA Risk Appetite, the project team should review all risks in the first instance, to ensure the financial implications and residual likelihood scores are correct. It is recommended that a full review with the project team (Project Manager, Project Director and Finance Manager) and any other external suppliers if required, takes place.

If it is correct that the Risk Tolerance is higher than the approved Risk Appetite percentage, this will require a discussion with the Sponsor. The Sponsor will be responsible for reviewing the Risk and Opportunity Register with CPCA Corporate Management Team (CMT) and seeking approval for the increased Risk Tolerance. CMT will then decide whether the tolerance can accept internally, or whether it will require a higher level of approval at the Combined Authority Board.

For more information, see the CPCA “Relationship between Risk and Change”.

### 10.5.3. BEIS Risk Management stipulations:

The Accountable Body must provide assurance that risks have been identified and mitigated. The Accountable Body will identify risks and issues which arise from its own activities and those which arise from third parties, including those delivering measures or services under the scheme and those referring potential scheme recipients or otherwise publicising the scheme.

The Monthly Report will include the status of the risks and issues identified within the reporting and whether any new risks or issues have emerged. The report will also provide a statement as to whether risk management is effective and whether any remedial action is necessary in line with the change process. As soon as it becomes apparent to the Accountable Body or the BEIS Project Team that a risk will significantly impact on the delivery of The Project, the BEIS Project Team and the Accountable Body will work through recommendations and if needed will propose a change request.

## 10.6. Fraud

As part of the delivery of the agreement with BEIS, the CPCA as the Accountable Body is responsible for carrying out or arranging for the reasonable ongoing due diligence, controlling, monitoring, reporting, as well as managing any specific cases of suspected or identified fraud. The Secretary of State has specified that all Authorities funded through the Sustainable Warmth Competition should, at a minimum, have a robust fraud risk assessment in place, with mitigating counter fraud actions, to provide assurance about the management of fraud risks.

The Project Board takes overall responsibility for the management of Fraud as set out in the MOU with BEIS.

## 10.7. Significant Escalation

If the Secretary of State or the CPCA as the Accountable Body has any issues, concerns or complaints about the Sustainable Warmth Competition, or any matter in this MOU, that party will notify the other party and the parties will then seek to resolve the issue by a process of consultation. If the issue cannot be resolved within 21 days, the matter will be escalated to the senior management teams of both parties, which will decide on the appropriate course of action to take. If the matter cannot be resolved by the senior management teams within 60 days, the parties will consider mediation as an alternative dispute resolution process. If a party receives claims made by a supplier or requests for information made under the Freedom of Information Act 2000 in relation to the Sustainable Warmth Competition that party will promptly inform the BEIS Project Board (or its nominated representatives) of the matter.

## 10.8. Managing Public Money: internal decision making

The essentials of effective internal decision-making choice as specified by the guidance contained in Managing Public Money are:

- active management of risks and opportunities
- appraisal of alternative courses of action using the techniques in the Green Book, and including assessment of feasibility to achieve value for money where appropriate, use of models or pilot studies to provide evidence on which to make decisions among policy or project choices
- active steering of initiatives, eg reviews to take stock at critical points of projects operation
- appropriate internal delegations, with a single senior responsible officer (SRO) for each significant project or initiative, and a single senior person leading each end-to-end process
- prompt, regular, and meaningful management information on costs (including unit costs), efficiency, quality and performance against targets to track progress and value for money
- proportionate administration and enforcement mechanisms, without unnecessary complexity
- use of feedback from internal and external audit and elsewhere to improve performance
- regular risk monitoring, to track performance and experience and adjust in response afterwards
- mechanisms to evaluate policy, project and programme outputs and outcomes, including whether to continue, adjust or end any continuing activities
- arrangements to draw out and propagate lessons from experience

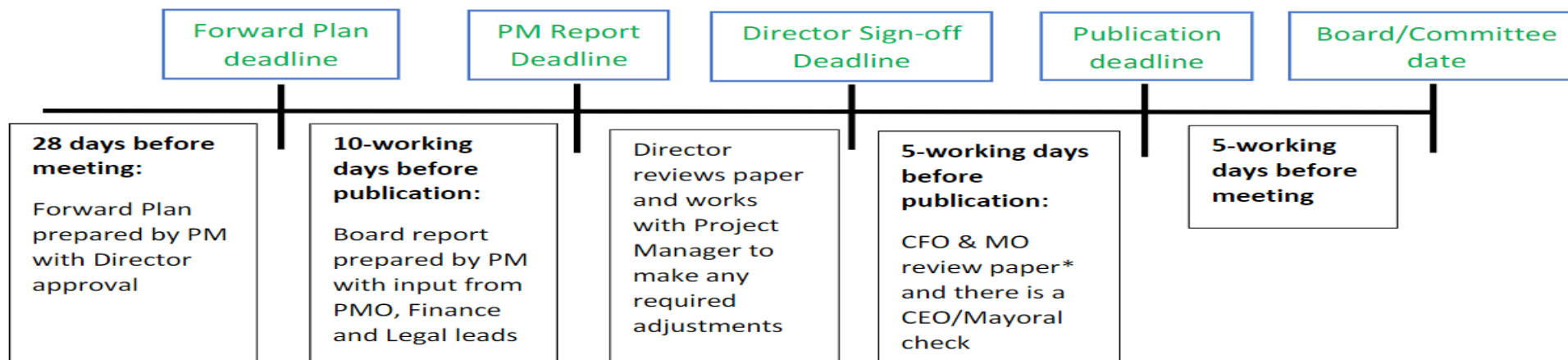
## 11. Reporting Matrix

	Report	Cadence	Content	Input from	Produced by	Approved by	Returned to	Schedule
BEIS	The Monthly Report	Monthly	a. High level summary b. Update progress against KPI's* c. Statistic reporting for web publication d. Delivery confidence assessment e. Top 5 R&I f. Fraud g. Escalations to BEIS	All delivery partners (including Surrey GFA), CPCA finance, hub project team.	Hub Team	NZH Manager	BEIS	Returned on or before the 14 <sup>th</sup> working day of the following month  Delivery partner first draft received on 7 <sup>th</sup> of the month
Hub	Supply Chain Monthly Dashboard	Monthly	a. Supply chain information	All consortia LA's Suppliers	MACE	NZH Manager	Hub	Monthly
CPCA	CA Highlight Report	Last Wed of the month	a. Monthly Project updates e.g. RAG	Project Team	Hub Team	NZH Manager	Performance and risk Committee and exec team	Monthly
	Exception Report	Quarterly	a. Provide further information on Red and Amber projects	Project Team	Hub Team	NZH Manager	The CPCA Board	As required
	Monthly finance report	Monthly	a. Project finance data update	Project Team	Hub Team	NZH Manager	Central Finance	Monthly
Local Authorities	Inter Authority Agreements (IAA)	Monthly	a. Delivery (referrals, instals) Data	Delivery partner reports	Hub Team	N/A	LA's	Monthly Return
	Quarterly Review Process	Quarterly	a. Delivery referral data b. Activities delivered by LA's	Hub team and LA's	Hub Team	N/A	LA's	Quarterly schedule (as set out in the IAA)
	Grant Funding agreement LA's	Monthly	a. High level summary b. Update progress against KPI's* c. Statistic reporting for web publication d. Delivery confidence assessment e. Top 5 R&I f. Fraud g. Escalations to BEIS	GFA delivery partners, GFA.	GFA	GFA	Hub Team	7 <sup>th</sup> of the following month.
	Delivery Partners	Monthly	a. High level summary b. Update progress against KPI's* c. Statistic reporting for web publication (Measure and household data) d. Delivery confidence assessment e. Top 5 R&I f. Fraud g. Escalations to BEIS	Delivery Partner Installers	Delivery Partners	Delivery Partners	Hub Team	7 <sup>th</sup> of the following month.

\*KPI's Split between HUG1 and LAD3 to aid BEIS reporting processes

## 11.1. Committee Reporting

The following figures details the forward plan for committee reporting:



*\* For Skills Committee and Business Board CFO & MO review prior to Director.*

## 12. Review Points

It is expected that the governance arrangements are reviewed every 3 – 6 months. In the event the governance isn't functioning correctly then a review should be initiated immediately. Equally, if a core change to the BEIS or CPCA working arrangements, processes or protocols are changed then a review should also be initiated.

## 13. Appendices

### 13.1. Appendix 1: People Engaged in the Production of the Framework

Name	Role
Gordon Mitchell	Interim Chief Executive, CPCA
Matt Gladstone	Chief Executive for Cambridge and Peterborough
Bridget Smith	Lead Member for Climate and Environment
Mark Parkinson	Sponsor
Jodie Townsend	Head of Democratic Services (interim)
Jon Alsop	CFO, CPCA
Edwina Adefehinti	Monitoring Officer, CPCA
Maxine Narburgh	Regional Head – GSNZH
Esther Fadahunsi	Hub / CPCA Finance Lead
Chris Bolton	Head of Programme Management Office

Richard Hall	Interim Consultant at RH Consulting
Julie Crossen	MACE Supplier
Edward Barlow	Buckinghamshire Representative
Dale Hoyland	Oxfordshire Representative
Ben Burfoot	Reading Representative
Anita Purser	Reading Representative
Net Zero Hub Board	N/A
Domenico Cirillo	Business Programmes & Business Board Manager
Heather Stevenson	Data and Information Manager - Greater South East Net Zero Hub
Phil Jones	BEIS, Hub Lead
Niamh McNamara	BEIS
David Williams	BEIS

## 13.2. Appendix 2: Source Documentation

- MOU Documentation
- Managing Public Money
- The 10 Step Guide to Project Management
- The Constitution
- The Risk Management Strategy
- The M&E Framework
- The Assurance Framework
- Prince2
- CPCA PM RACI Matrix
- CPCA relationship between risk and change
- CA Sustainable Growth Strategy
- Communication Principles

## 13.3. Appendix 3: Local Authority's Engaged in The Project

Basildon, Braintree, Brentwood Borough Council, Castlepoint, Chelmsford, Colchester, Epping Forest, Harlow, Maldon, Rochford, Southend on Sea, Tendering, Thurrock, Uttlesford District, Broxbourne Borough, Dacorum Borough, East Herts District Council, Hertsmere Borough, North Hertfordshire District, St Albans

City & District, Stevenage Borough, Three Rivers District, Watford Borough, Welwyn Hatfield Borough, Havering, Lewisham, Sutton, Bedford Borough, Central Bedfordshire, Luton Borough, Milton Keynes, Bracknell Forest, Reading, Slough, West Berkshire, Windsor & Maidenhead, Wokingham, Hart District Council, Test Valley Borough Council, Oxford City Council, West Oxfordshire District Council, Ashford Borough Council, Canterbury City Council, Folkstone & Hythe District Council, Gravesham Borough Council, Maidstone Borough Council, Medway Council, Sevenoaks District Council, Swale Borough Council, Thanet District Council, Tonbridge & Malling Borough Council, Tunbridge Wells Borough Council, North Northamptonshire, West Northamptonshire, Elmbridge Borough Council, Epsom & Ewell, Guildford Borough Council, Mole Valley, Reigate & Banstead, Runnymede Borough Council, Spelthorne, Surrey Heath Borough Council, Tandridge, Waverly Borough Council, Woking Borough Council.

## 13.4. Appendix 4: RACI – CPCA roles and responsibilities in project management

### **RACI Matrix - CPCA roles and responsibilities in project management**

Project Deliverable (or Activity)	CA Role											
	Mayor / Mayors Office	CEO	Other Directors	Project Director	Project Managers / SRO	PMO	Finance	Legal / Governance	Procurement	Comms	Analysis and Evaluation	Democratic services
<b>1. Project governance</b>												
Defining project governance (RACI)			I	A	R							
Committee/Board Reports (drafting and putting on forward plan)	C	C	I	A	R		C	C				I
<b>2. Commencing Project delivery</b>												
Prioritisation	A	A	R/A	R/A								
PID		C	C	A	R	C	C	C	C			
Logic model				I	R/A						R/A	
<b>3. Project gateway reviews</b>												
Gateway document				A	R	I	C					
Lessons learned (inc feeding into organisation register)				A	R	I	C					
<b>4. Business Case development</b>												
Business Case / Study				A	R						C	
Assurance (framework compliant)				A	R		A					
<b>5. Project controls</b>												
Scope document				A	R							
Baseline management				A	R							
Risk and opportunity register				A	R							
Issues register				A	R							
Programme				A	R		I					
Project folder upkeep: sharepoint				A	R	A						
Stakeholder mapping				A	R							
Consultation	C	C	I	A	R					R/A		
<b>6. Project reporting and monitoring</b>												
Highlight Reports		I	I	I	R	A						
Finance Reports		I	I	I	R		A					
Claims and invoices				A	R		A					
<b>7. Procurement</b>												
Procurement forms (such as waiver, brief or ODN)					R		C	C	A			
<b>8. Legal</b>												
Contracts or Funding Agreement				A	R			A				
<b>9. Evaluation</b>												
Evaluation plan				C	R	I					R	
<b>10. Closure</b>												
Closure document				A	R	I	C					

R - Responsibility

A - Accountable

C - Consulted

I - Informed

R/A - Responsible and Accountable

R

A

C

I

R/A

## 13.5. Appendix 5: CPCA RAG Definitions

Traffic light	RAG status definition	Action
Red	<b>Red RAG status:</b> <ul style="list-style-type: none"> <li>Without action, successful delivery is highly unlikely;</li> <li>Directors need to investigate the potential problems;</li> <li>Management action is needed immediately.</li> </ul>	<p>The issue should be escalated immediately to the responsible Combined Authority Director.</p> <p>Relevant actions to be carried out accordingly, or an action / mitigation plan identified.</p>
	<p>Red can indicate one or more of the following:</p> <ol style="list-style-type: none"> <li>1) Significant overspend on budget with no clear means of retrieving the overspend;</li> <li>2) Critical delays with no current means of time retrieval;</li> <li>3) Decreased quality, with knock on effect for benefit realisation;</li> <li>4) Project team does not have the resources or capacity to address issues;</li> <li>5) Exceptional risk or a group of risks that are becoming issues.</li> </ol>	
Amber	<b>Amber RAG status:</b> <ul style="list-style-type: none"> <li>Without action, successful delivery is in doubt;</li> <li>Management action is needed;</li> <li>The Senior Management team needs to assure itself that remedial action is being taken.</li> </ul>	<p>The Programme Manager (and Project Board where relevant) should be alerted.</p> <p>Relevant actions to be carried out accordingly, or an action / mitigation plan identified.</p>
	<p>Amber can indicate one or more of the following:</p> <ol style="list-style-type: none"> <li>1) Committed/actual spend to date exceeds the budget/projected annual spend;</li> <li>2) Time delays, but not very significant;</li> <li>3) Quality affected, but won't affect tolerances or outputs;</li> <li>4) Any problems can be fixed by the project manager;</li> <li>5) Risks are highly likely to become an issue but can be retrieved with the correct mitigation.</li> </ol>	
Green	<b>Green RAG status:</b> <ul style="list-style-type: none"> <li>Successful delivery has a high level of confidence;</li> <li>Project Manager can proceed with the project plan as currently agreed.</li> </ul>	<p>No action needed beyond continuing active project management</p>
	<p>Green can indicate the following:</p> <ol style="list-style-type: none"> <li>1) The budget is on track and may come in under budget;</li> <li>2) The project will complete on time or ahead of schedule;</li> <li>3) The quality comes in at the expected levels, or better;</li> <li>4) The resources are suitable;</li> <li>5) There are no risks that are likely to become issues which would cause overspend, delay, or otherwise put the project in jeopardy.</li> </ol>	