

Ten-point guide to Cambridgeshire and Peterborough Combined Authority (CPCA) Project Management

Overview

This 10-point guidance document has been produced and updated by the Programme Management Office (PMO), to help answer the most important questions about our project management processes.

In the points below, we have attempted to capture the key issues and questions you may have. For any further questions, please speak to the PMO Programme Manager.

This document will be updated regularly. The PMO will circulate updates when they are made.

Version 2

Version control

Version	Date	Description of change
1.0	25.03.2019	Document finalised and circulated
1.1	20.05.2019	Project initiation document, 'approving a project' and approval flow chart updated
2	06.04.2020	Refresh of document, including additional Gateway process

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1. What are the CPCA roles and responsibilities in Project Management?

All live projects must have an agreed CPCA 'client side' Project Manager and Director. The CPCA Project Manager is responsible for creating the initial PID and ensuring appropriate monitoring takes place and updates are provided to the Combined Authority.

Project Managers are responsible for the day-to-day running of the project. As part of this process, Project Managers will be accountable for managing budgets and timescales; identifying and mitigating risks and issues; change control management; ensuring the project is compliant with CPCA's processes and guidance; taking project decisions to Board/Committee; managing the closedown and ensuring all the relevant documents/emails are saved to SharePoint.

The Senior Responsible Officer (SRO) is the relevant CPCA Director, accountable for the strategic fit, interdependencies and overall project direction; agreeing new projects to go to the CPCA Board in line with the Medium-Term Financial Plan (MTFP); agreeing change requests within delegation and the corporate overview of Red and Amber-rated projects.

There are three **CPCA Committees** of the Combined Authority; Skills, Transport and Infrastructure and Housing and Communities. They are executive committees of the Combined Authority Board that take decisions within the strategic and budgetary framework agreed by the Combined Authority Board. There are also two statutory committees, which do not have executive functions; the Overview and Scrutiny Committee and Audit and Governance Committee.

CPCA Board sets strategic direction; is responsible for setting the MTFP; approving and signing off new project business cases; reviewing the corporate dashboard and approving major changes. **The Business Board** acts as the Local Enterprise Partnership for our area.

Senior Management and relevant contacts can be found in the following: [CPCA Staff list](#).

For further information on other roles that may impact the delivery of your project, please see the '[Other CPCA Roles and Responsibility](#)' document.

The Programme Management Office (PMO) are responsible for creating key documentation and implementing processes; storing and tracking documentation; maintaining the change management procedure; and providing guidance on the use of project management tools.



2. What is the CPCA project management process?

i. What is a project?

A project is defined as a unique venture established for a fixed term, with defined start and end dates with set outcomes/outputs. Projects need to have Board approval and budget provision in the MTFP. They can be managed together as Programmes or Portfolios.

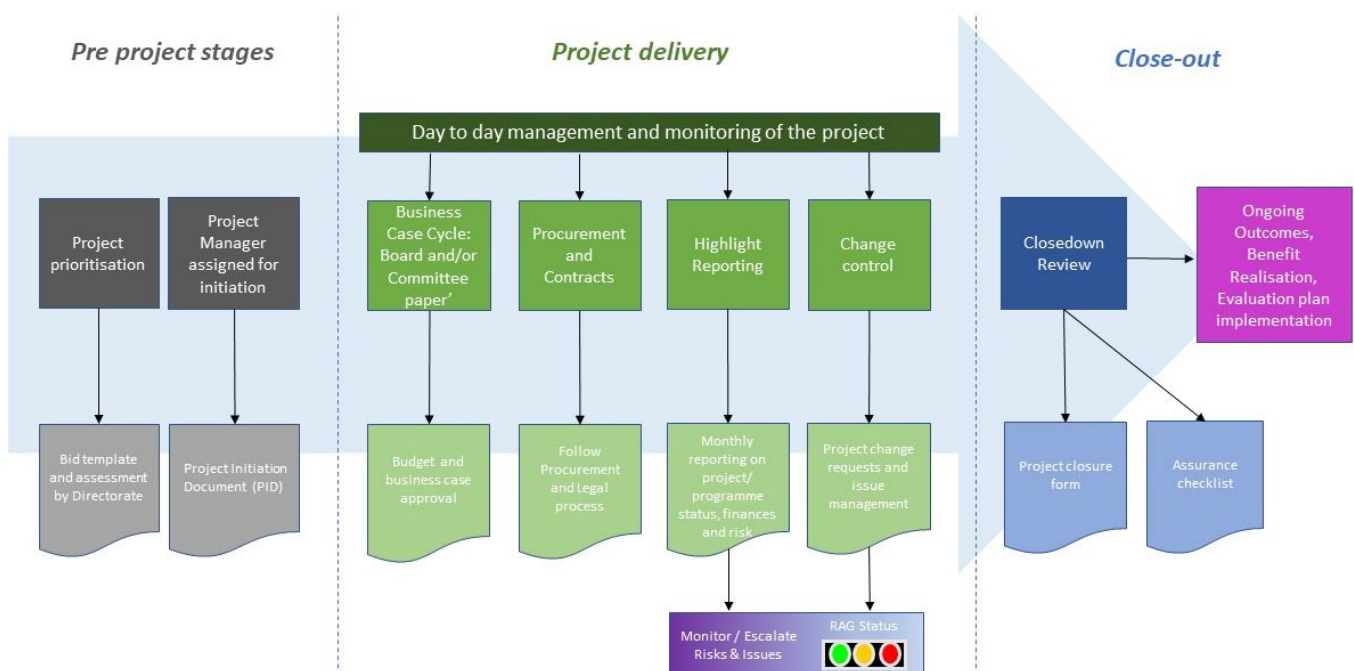
The PMO will track projects through the Single Project Register, where each project is given an identifying number.

As a project evolves, it will move through stages to prepare for effective delivery and/or construction. If the project no longer remains viable, then projects may no longer proceed, or a re-scoping process may take place. For significant project changes, please [see section 7](#).

As projects move from stage to stage, the project number will usually remain the same (although this may not be the case for larger programmes with different elements). The finance cost code (CX) number, however, will change through the stages, and Project Managers must therefore request a new code at each stage.

ii. CPCA Project Management Process

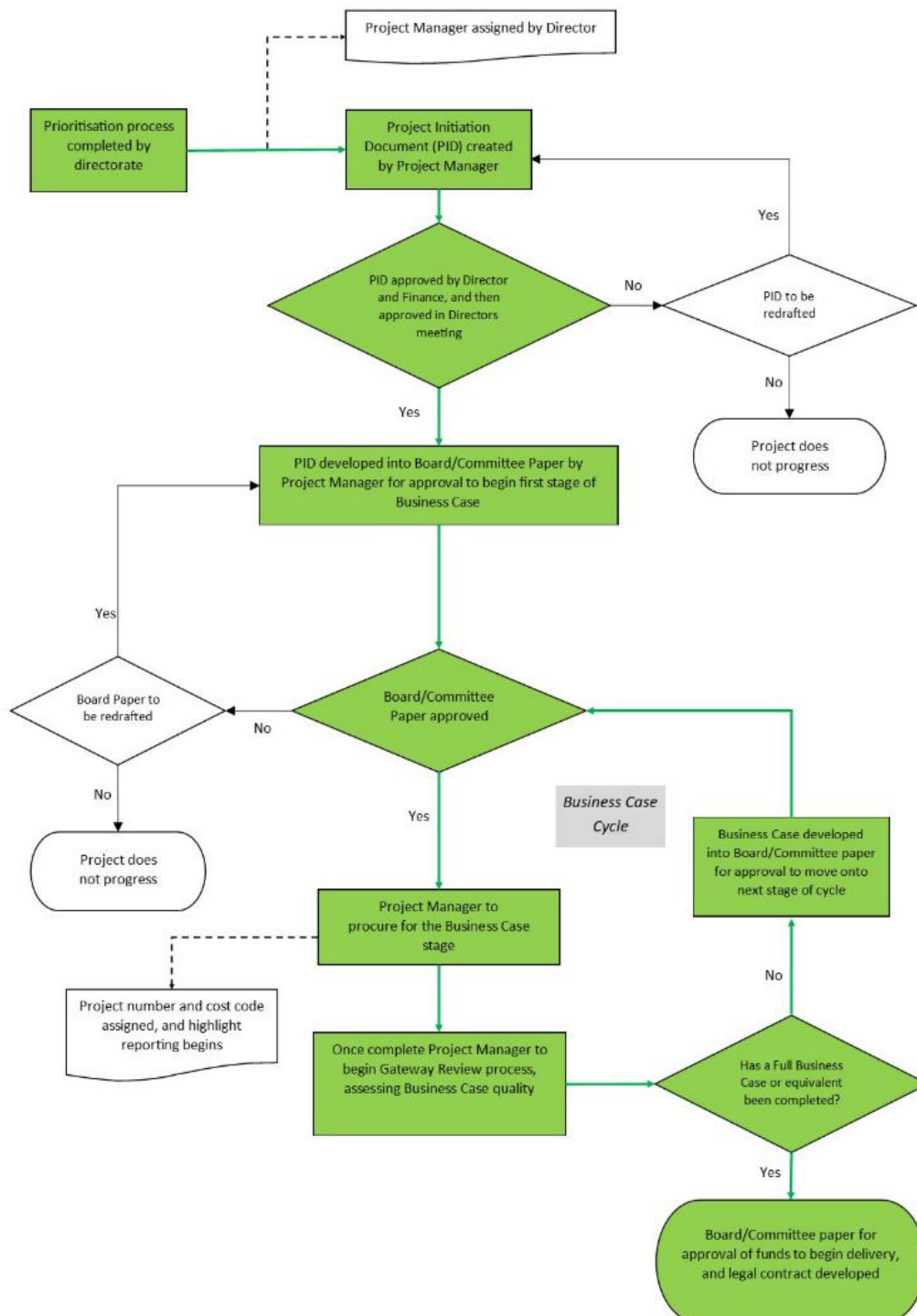
The following diagram offers a high-level overview of Project Manager tasks through to close-out:





iii. Approvals

The Combined Authority has a range of funding streams and the majority of projects (those funded through the Single Pot, such as Investment/Gainshare Funds or Transforming Cities Funds) must follow the Business Case process below. [Section iv](#), however, will explain the alternative approval processes for funding pots which will not follow this process (such as LGF and the £60m housing grant fund).



iv. Prioritisation process

Projects are subject to a prioritisation decision as part of preparing the budget. **For the Transport Directorate**, an **Early Appraisal Sifting Tool (EAST)** is a DfT requirement and must be completed for all new project ideas. To get an EAST completed, please submit the [Transport EAST form](#) to the PMO.

For everything else, such as Housing or Local Growth Fund projects, directorates have their own prioritisation process which must be followed. [Click here for the Directorates Prioritisation Processes.](#)

v. Project Initiation Documentation (PID) creation

[Click here for the Project Initiation Document template.](#)

A PID is an internal document designed to capture key information on budget, scope, timescales and governance of projects. This the first step required for establishing a project but doesn't need to be too complicated - it should only be created as a high-level overview. Some larger projects may need an updated PID at each stage of delivery (e.g. SOBC, OBC and FBC); please ask the PMO or the relevant Director if you feel this applies to you.

The PID is completed by the named Project Manager and requires sign-off by Combined Authority Directors as confirmation for the project to proceed.

The Combined Authority has adopted HM Treasury's Five Case Model for Business Cases, and the PID (as well as Business Cases) will need to be prepared according to the following elements:

Five Cases	Detail
Strategic Case	Sets out the rationale for the proposal and makes the case for change at a strategic level. It should include background to the proposal and explain the objective that is to be achieved (objectives should be SMART: Specific, Measurable, Achievable, Realistic and Time limited).
Economic Case	Essential core of the document and should be prepared according to Treasury's Green Book Guidance. This section assesses the economic costs and benefits of the proposal to society, and spans the entire period covered by the proposal.
Commercial Case	Concerned with issues of commercial feasibility and sets out to answer "can the proposed solution be effectively delivered through a workable commercial deal or deals?" What procurement does the proposal require, is it crucial to delivery and what is the procurement strategy?
Financial Case	Concerned with issues of affordability, and sources of budget funding. It covers the lifespan of the scheme and all attributable costs. The case needs to demonstrate that funding has been secured and that it falls within appropriate spending and settlement limits.
Management Case	The management case is concerned with the deliverability of the proposal. This section must clearly set out management responsibilities, governance and reporting arrangements. It should also include the risks register and plans for risks management. The Senior Responsible Officer should be identified.

For further information about the Five Cases, refer to The HM Treasury [Green Book](#) (2018, pp10-12).

vi. Getting the PID approved

PID approval process:

1. The PID is written by the Project Manager for the allocated project concept;
2. It is sent to, and reviewed, by the PMO team; then
3. Sent to the relevant Finance Manager to sign off the financial aspects.
4. The PID requires sign-off by all Directors for approval for the project to proceed.

Once approved, the concept becomes a project and a project number is assigned. From this point, monitoring and project management commences and monthly reporting is required through highlight reports, along with a Project Timeline (high-level Gantt Chart - [Timeline template](#)) and a logic model for evaluation ([see section 8](#)). Where the Combined Authority is funding a partner organisation to deliver the project, a Funding Agreement ([see section 6](#)) should also be prepared as part of project initiation.

Once the PID has been approved, a Board or Committee paper is then required to secure authority to expend money. **Project Managers will be expected to liaise with Finance for assistance in identifying a budget line.**

vii. Business Case development

Business Cases describe the feasibility, options, design and outcomes of the project. This would also include a Value for Money (VfM) assessment. The CPCA Assurance Framework also requires Business Cases to be developed in line with HM Treasury's Five Case Model. Where external partners are delivering the project on behalf of the CPCA, internal Project Managers must ensure external Project Managers are aware of this requirement.

HM Treasury guidance sets out a three stage Business Case process, the Strategic Outline Business Case (SOBC), the Outline Business Case (OBC) and the Full Business Case (FBC). At each stage, the document becomes more detailed as the project prepares to enter delivery. Rail projects will follow the Network Rail (GRIP) process and some Highways projects will follow the Highways England (P.C.F) process which have similar phases.

The below milestones document illustrates the types of milestones that fall within the Business Case stages. [Click here for guidance on CPCA milestones and tasks.](#)

Decisions on Business Cases need to be published on the CPCA website as part of the Board/Committee submission for approval and funding for the next stage ([see section 3](#)).



Value for Money (VfM):

All projects must have an independent VfM assessment at each stage of the Business Case, unless the Combined Authority's Chief Finance Officer (CFO) agree otherwise. The VfM assessment may be procured separately or as part of the Business Case and must be reviewed and signed off by the CFO. It is the responsibility of the Project Manager to complete the below form to receive sign off from the CFO as part of the CPCA approvals gateway process ([see section viii](#)).

The Assurance Framework requires **all projects to demonstrate high Value for Money; this means a Benefit Cost Ratio (BCR) of 2 or above unless it has evidenced strategic value of contributing to our devolution ambition.**

[Click here for the Value for Money approval form.](#)

All transport projects must also be TAG compliant, and therefore it is recommended that Project Managers share the below TAG guidance with external parties who have been procured to prepare the Business Case. Furthermore, if the project is being delivered externally, then the appraisal and modelling will also need to be scrutinised by our external Highways Authority delivery partner planning lead. [Click here for TAG guidance for CPCA projects.](#)

Business Cases must include a quantitative/qualitative narrative on **how the project outcomes will contribute to CPCA economic and social targets such as doubling GVA**, therefore the economic impacts table should be included. [Click here for Economic Impacts template.](#)

viii. Gateway

The Gateway Review process sets out the documentation to be produced, and the approvals to be sought, at key stages of a project lifecycle:

CPCA Gateway stages:

Gateway 0: Once the PID has been signed off by Directors, a Board and/or Committee Paper needs to be written to request funding ([see section 3](#)).

Gateway 1: Once the SOBC has been developed, the document is reviewed to ensure that all relevant tasks have been completed. If an Options Assessment Report (OAR) or similar has been developed, this will need to be included within the submission. If a Value for Money (VfM) assessment has been completed, it will require sign-off from the CFO ([see section 2 \(vii\)](#)).

Gateway 2: Once the OBC has been developed, the document is reviewed to ensure that all relevant tasks have been completed. If a VfM assessment has been completed, it will require sign-off from the CFO ([see section 2 \(vii\)](#)).



Gateway 3: Once the FBC has been developed, the document is reviewed to ensure that all relevant tasks have been completed. If relevant, contracts must be prepared and agreed ready for delivery or construction ([see section 6](#)). If a VfM assessment has been completed, it will require sign-off from the CFO ([see section 2 \(vii\)](#)).

Gateway 4: Once construction or delivery has been completed, then a Project Closure Form is required to be completed ([see section 10](#)).

Gateway 5: As agreed within the Evaluation Plan, continued monitoring and evaluation of the project post-completion ([see section 8](#)).

Successfully passing each Gateway will enable approval of the next tranche of funding at Board and Committee meetings. Project Managers should set up review meetings with the relevant Director and a member from PMO, Legal and Finance at the end of each stage to discuss progress. If an internal programme board exists, this facilitates the review process.

A Gateway workbook has been created to help track these meetings from Gateway 0 – 3 (Gateway 4 and 5 require alternative documentation, please see table above).

[Click here for the Gateway Workbook.](#)

If your project does not follow the standard Business Case process (SOBC/OBC/FBC), then the above can be tailored accordingly. Please speak to a member of the PMO for more information.

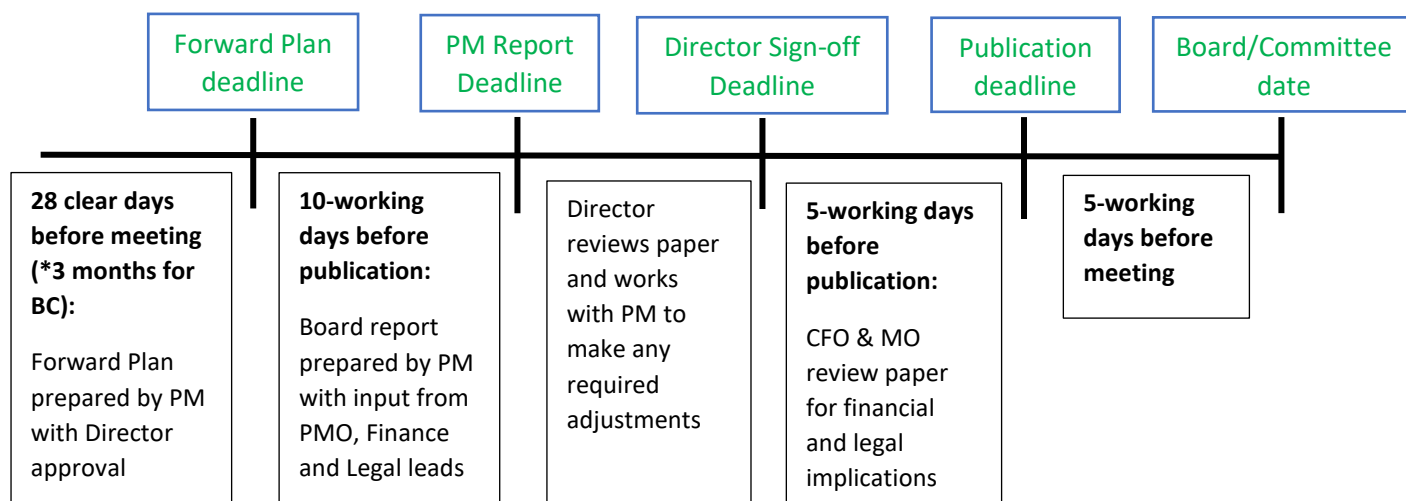
3. What is the process for seeking Board and Committee Approval?

- i. [How to have a project considered by Committee and/or Board, bi-monthly](#)

Board and Committee papers should be written by the Project Manager(s) with support from the PMO. They **must** be cleared with Legal and Financial leads and approval must be given by the Director in whose name they are submitted. The Chief Finance Officer and Monitoring Officer also review papers prior to publication. Legally, papers must be published 5 clear working days before the Board and Committee meetings.

The CPCA Forward Plan is managed by the Democratic Services team and papers/items for approval must be added to this in sufficient time before the meeting (28 days before, for key decisions).

The diagram below shows the deadlines for Project Managers leading up to publication of papers for Committees/Board:



**Decisions about Business Cases must be included in the Forward Plan 3 months prior to the meeting to which it is being considered.*

Project Managers must be aware of when a paper needs to be developed for Board or Committee and the following flowchart offers examples. [Click here for the Board and/or Committee flowchart.](#)

ii. Approval via an Officer or Mayoral Decision Notice

Under some circumstances, decisions can be made by the Combined Authority Mayor or an Officer. Please speak to the Combined Authority Monitoring team for guidance on this if required.

4. How should I manage my project budgets and how does it relate to the Medium-Term Financial Plan (MTFP)?

The Combined Authority Board sets the budget allocations for activity it wants to pursue through its Business Plan and MTFP. If your project is not within the current MTFP, please speak to Finance and refer to [section 2 \(iv\)](#) on how a new project entry should be added into the MTFP.

Even if the project is within the MTFP it does not necessarily mean that the money can be spent. There are two budget lines within the MTFP, 'subject to approval' and 'approved to spend'. **If a budget is subject to approval, it will require a Combined Authority Board decision to approve funding and delegate to Committee to approve the drawdown of funding.**

Most Project Managers will only have approval to spend funds for the next stage of the project and only a set amount per financial year. If the costings are due to increase above what is approved for a given year, then the Project Manager will need to seek Board approval for the under/overspend in that year, even if the overall project remains on budget. Furthermore, Project Managers will also have to seek Board approval to change future 'subject to approval' allocations.

Project Managers are required to attain Finance sign off within the monthly highlight reports. See [section 8 \(i\)](#) for more on Highlight Reporting. Project Managers must also request a new cost-centre (CX) code from their Finance Lead at each stage of the project.

i. [Claims and invoices](#)

For claims: Project Managers will be the first point of contact for external organisations, so will need to review claims for accuracy, and sign them off through the claim forms process.

[Click here for further clarification on the claims process.](#)

Project Managers must ensure invoices are emailed directly to Finance from the external organisation. These are then checked with budget holders that the goods or services have been received and the supplier should be paid. Please ensure that detail is given about the invoice to ensure correct coding for the activity/task.

It is the responsibility of Project Managers to ensure payments are up-to-date and that external parties are submitting their claims in line with the agreed draw down schedule. Claims and invoices must be saved in the correct project folder on SharePoint (refer to [section 9](#)).

5. What is the CPCA Procurement process which I should follow?

Before Project Managers commit to spending budgets, they will need to ensure they have procured external service providers legally and properly.

For contracts under £5,000, one quote must be provided from a local supplier; and contracts between £5-25,000, 3 quotes must be procured. For all contracts over £25,000, advice must be sought from the CPCA procurement lead, who is Heidi Parker.

The [CPCA Constitution](#) sets out the CPCA Procurement process so please refer to this for more detail or please speak to the CPCA procurement lead.

6. What is the CPCA legal process I should follow?

Almost all projects involve contracts and other legal agreements and the CPCA Legal team must be consulted throughout the project lifecycle. No contract can be drafted, amended or signed without consent from the Legal team and no legal document can be signed until after a CPCA Board decision to allocate the funding for the project has been made - only some officers have the authority to sign contracts. The CPCA Legal team must also be consulted prior to procurement decisions.

Please ensure the final signed versions of any agreement/contract is saved in the correct place on SharePoint ([see section 9](#)).

If the Project is not being delivered directly by CPCA, and is instead delivered by a third party/external organisation (through a grant funding agreement or loan agreement) or the Combined Authority is commissioning a third party to deliver the project on its behalf (through a services/works agreement), then this contract/agreement will need to be drafted by Legal Services. A Funding Agreement sets out the conditions of the funding.

If CPCA is to deliver the project, in many cases external suppliers will need to be procured, and a contract developed prior to each relevant stage. Project Managers must also liaise with the Legal team about such contracts.

Project Managers should secure a warranted statement from the supplier after work is completed, confirming that the work has been done as set out in the contract.

7. What is the Change Control process?

Change Control is the process through which all requests to a change in the scope of a project, programme or portfolio are captured, evaluated and then approved or rejected.

All project changes **must receive Director approval in writing or approval in the form of an appropriate Board or Committee paper. Evidence must be saved on SharePoint, with PMO informed.**

Approval will be required for:

- **RAG rating change in the Highlight Report**
- **Changes of scope**
- **Changes to timescales**
- **Amendments to budget**
- **Variations to outputs delivered**
- **Withdrawal of project**

The change request process is for the change request form to be completed and signed off by all relevant parties. [Click here for the Project Change Request Form](#). This must be saved onto SharePoint.

8. How do I monitor and evaluate my project?

Monitoring checks that a project remains on track and on budget during its lifetime.

Evaluation assesses whether a project has delivered the benefits envisaged at the outset.

i. Highlight Reporting

It is important that projects are monitored so that risks or issues which threaten the timescales or budget can be effectively managed.

The CPCA has a highlight report process. Highlight reports are submitted to the PMO on **the last working Wednesday of each month** and provide monthly updates on all projects.

[Click here for the latest Highlight Report template](#) and [for the Highlight Report guidance notes](#).

Where projects are delivered externally, highlight reports may be completed by an external Project Manager. These must be, however, signed off by the internal Project Manager before they are uploaded to SharePoint. **Please ensure external contacts are aware of the deadline, so reports can be submitted in adequate time. (For Transport projects, an external deadline of the 21st of each month has also been set).**

One of the important aspects of the highlight report is allocating a RAG status to help identify how the overall project is delivering. **Any change to a project RAG status must be clearly explained in the project highlight report and approval/sign-off from the relevant Director/SRO is required.** Please refer to the [CPCA RAG Definitions](#) for assistance and more information on this.

Each highlight report also contains a risk register which must be completed for the project and updated monthly.

Performance Report

Following submission of the highlight reports, a programme dashboard is created, which is reviewed by Directors on a monthly basis. Red and Amber projects within the dashboard are also turned into an Exception report and shared with Board Members when the regular Performance Report is taken to Board meetings.

ii. Evaluation

The Combined Authority's Monitoring & Evaluation Framework sets out our approach to evaluation. Project Managers **must comply with this** (it is a condition of our funding).

[Click here for the Monitoring and Evaluation framework.](#)

Stages where evaluation processes are required:

Project stage	What is required for evaluation	Document for evaluation
PID stage	Outline of baseline scope , and how the project aligns with CPCA and Mayoral priorities. Along with the outputs and outcomes that will be achieved and approximately by when.	PID document (see section 2 (v)).
SOBC stage or equivalent	Logic Model to show the key inputs, activities, outputs, outcomes, impacts and metrics. To do this, Project Managers must complete this Evaluation form which has been designed as a high level overview for the logic model. Please speak to the PMO for support in developing this.	Evaluation form / logic model .
SOBC / OBC / FBC	Value for Money assessments to assess viability at each stage. This should also include a narrative on how the project outcomes will contribute to the CPCA target of doubling GVA and other key CPCA metrics.	Value for Money statement and CFO sign off form (see section 2 (vii)).
FBC / Post-FBC	An Evaluation Plan should be established to see how the project will be evaluated into delivery stage and post-completion – this may involve a cost on the projects budget .	Evaluation plan (This varies by project).
Post-completion	Immediately post-completion, Project Managers must report on completed outputs and lessons learned through completing a project closure form .	Project closure report (see section 10). Project closure report guidance .

CPCA have a service level agreement with CambridgeshireInsight who will offer Project Managers support in developing logic models and commissioning evaluation plans for key priority projects. Please speak to the PMO for contact details.

Certain projects are evaluated externally, for example the majority of Investment Fund (Gainshare) projects are being externally appraised by SQW, Adult Education Budget will be appraised by the Department for Education and Transforming Cities Fund projects will be appraised by the Department for Transport.

9. What documents are needed and where are these saved?

i. SharePoint filing structure

All Project Managers **MUST** use CPCA's SharePoint to save down all documentation.

The PMO has created a standard filing structure within SharePoint, to ensure consistency across all directorates. Project Managers are ultimately responsible for ensuring these folders are correctly populated in readiness for any audits or monitoring requirements.

[Click here for the SharePoint filing structure.](#)

Project folders are to be set up under the 'Portfolio Workstreams' folders. It is mandatory that Project Managers review their individual projects and ensure the SharePoint folders are updated regularly. **All Project Managers should assume that their projects will be audited, and that full documentation will be required.**

ii. External File Sharing

Through SharePoint, Project Managers can set up a shared space with externals to share documentation. Speak to the CPCA IT lead to set this up. Caution needs to be taken, as any documents added into this shared space will be available to the external organisation, therefore only approved documents should be uploaded.

10. How do I close-down my project after completion?

Project Managers are responsible for identifying when their project has reached practical completion and if all outputs have been achieved. The close-down process will remove the project from the Project Management System, but it will remain on the financial system until all claims are paid.

Large projects that need to do a PID for each stage will also need to do a close-down at the end of each stage (at SOBC, OBC and FBC) in order to begin the new project within the programme/portfolio. This is to ensure the contracted deliverables have been fulfilled and all commercial aspects of the project closed out.

Please ensure all evidence is saved in the relevant place on SharePoint ([see section 9](#)).

i. Closure process

- Project Managers are required to let the relevant Director know that the project has come to an end. Written confirmation must be saved within SharePoint, to ensure no project is closed without Director awareness;
- All relevant documents relating to the entire lifecycle of the project must be saved on SharePoint ([see section 9](#));
- The internal CPCA project closure report needs to be completed by the Project Manager: [Click here for the project closure report](#) and [Click here for the project closure report guidance](#). Tab 2 (Lessons Learned) must also be completed for all projects;
- A closeout meeting is mandatory for large scale projects, as a post project review. At a minimum, this will include the Project Manager, a member of the Finance team and a member of the PMO team. All evidence of this meeting needs to be saved within SharePoint;
- An Evaluation Plan must be in place and agreed with the Monitoring and Evaluation team ([see section 8](#));
- A final [highlight report](#), to formally mark the project as complete, is required (**this can only be done when the project closure form has been fully signed**).

Previous Status		Current Status	Complete
Project description			
Project update and rationale for current status			

For projects that are closed prematurely and will no longer be continuing to the original timescales, [see section 7](#) on change control.

Appendix 1 – Documentation links

Staff list – CPCA	Click here
Other CPCA Roles and Responsibility	Click here
Transport EAST form	Click here
Directorates prioritisation processes	Click here
Project Initiation Document template	Click here
The Green Book	Click here
Timeline template	Click here
Guidance on CPCA milestones and tasks	Click here
Value for Money approval form	Click here
TAG guidance for CPCA projects	Click here
Economic impacts template	Click here
Gateway Workbook	Click here
Board and/or Committee flowchart	Click here
Claims process	Click here
CPCA Constitution	Click here
Project Change Request Form	Click here
Highlight report template	Click here
Highlight report guidance notes	Click here
CPCA RAG Definitions	Click here
Monitoring and Evaluation framework	Click here
Evaluation form	Click here
Project Closure Report	Click here
Project Closure Report Guidance	Click here
SharePoint filing structure	Click here