

10-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 3

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
3	20.11.2020	Introduction of RACI Table, a new Change Control process and updated risk information

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

i. Key roles within CPCA project delivery

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 Project 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 the 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 [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.

ii. Project Specific Roles and Responsibilities

From the initiation stage, the internal Project Manager must establish project roles and responsibilities. This must include who is responsible for taking what decisions.

This must involve a discussion with the Project Director/SRO and, if relevant, a senior member within the delivery partner’s management team.

The purpose is to ensure everybody is clear who is responsible for all aspects of project delivery. This will enable a clear escalation process where risks, issues and change are reported appropriately (by identifying those individuals accountable for changes). There must also be a clear distinction between managerial groups responsible for decisions and delivery, stakeholder forums which offer advice, and third-party consultancy teams which take direction.

Detail on roles and responsibilities must be recorded in a Matrix table. For projects delivered by the Combined Authority, these tables must be developed internally and confirmed with external partners. For externally delivered projects, the Delivery Partner must develop the RACI model, however, the Combined Authority Project Manager will set the basis for what responsibility lies with whom.

[Click here for the Combined Authority RACI Model](#)

This detail must first be established as part of the Project Initiation Document (PID) and through a Gateway 0 meeting (see section 2 (vii)) but a more comprehensive version must be developed through the lifecycle of the project. The RACI model should be discussed at every Project Board to ensure that tasks and roles remain current, along with reviewing other aspects of delivery such as risks and milestones. This is also an important addition in any contract or Funding Agreement and Schedule 5 contains the basic RACI model (which is then developed prior to commencement of the project). The final RACI model must be signed off by the Director or SRO.

RACI Matrix - [Project name]																	
Project Deliverable (or Activity)	Project Governance					Project Team Members			Project Sub-Teams			External Resources (and role)					
	CA Board (organisation)	T&C Committee (organisation)	CMT (organisation)	Director (organisation)	CFO (organisation)	Head of Transport (organisation)	Project Manager (organisation)	Assistant PM (organisation)	Finance PM (organisation)	PMO	Finance	Legal	Consultant	CCC	HDC	Network Rail	Highways England
Initiate Phase Activities	R	A	C	I													
- Submit Project Request																	
- Request Review by PMO																	
- Research Solution																	
- Develop Business Case																	
Plan Phase Activities																	
- Create Project Charter																	
- Create Schedule																	
- Create Additional Plans as required																	
Execute Phase Activities																	
- Build Deliverables																	
- Create Status Report																	
Control Phase Activities																	
- Perform Change Management																	
Close Phase Activities																	
- Create Lessons Learned																	
- Create Project Closure Report																	
- Participate in Project Closure meeting																	

R - Responsibility
A - Accountable
C - Consulted
I - Informed

Project Boards must be established if proportionate and should include the Project Director/SRO, project manager, finance lead and legal lead. The Project Director/SRO is the Chair.

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.

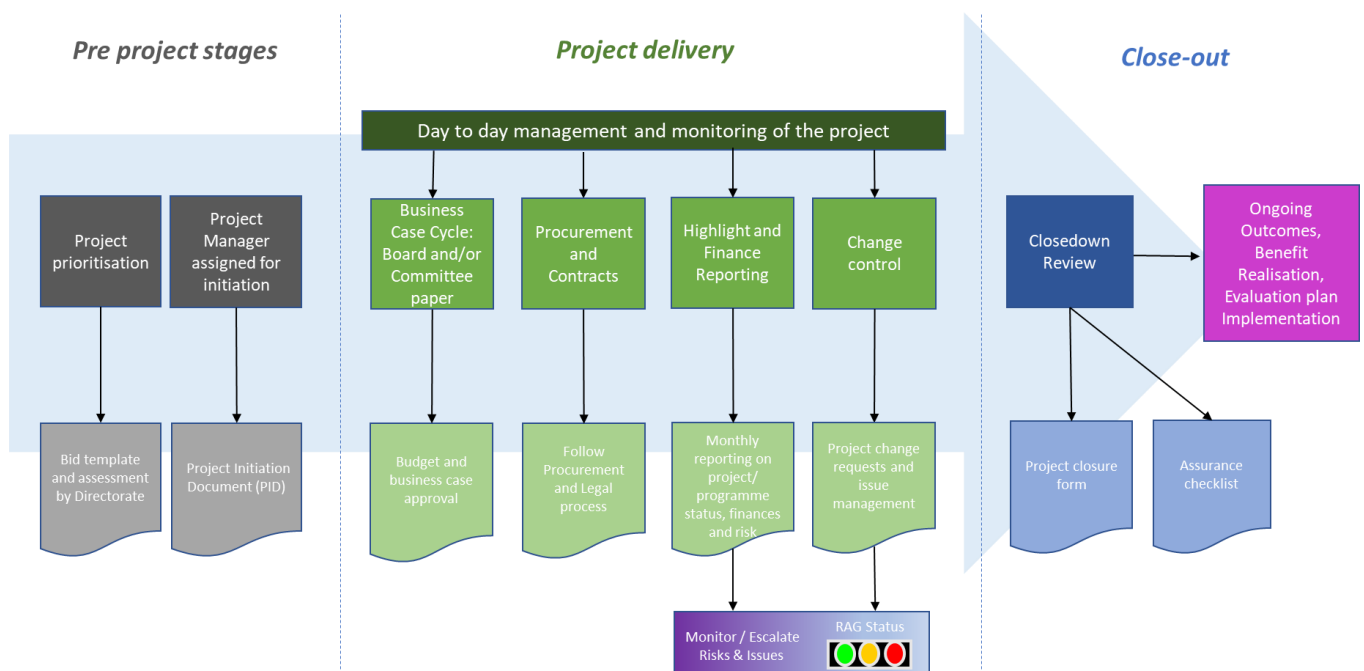
The PMO will track projects through the Single Project Register, where each project is given an identifying number.

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 change, 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.

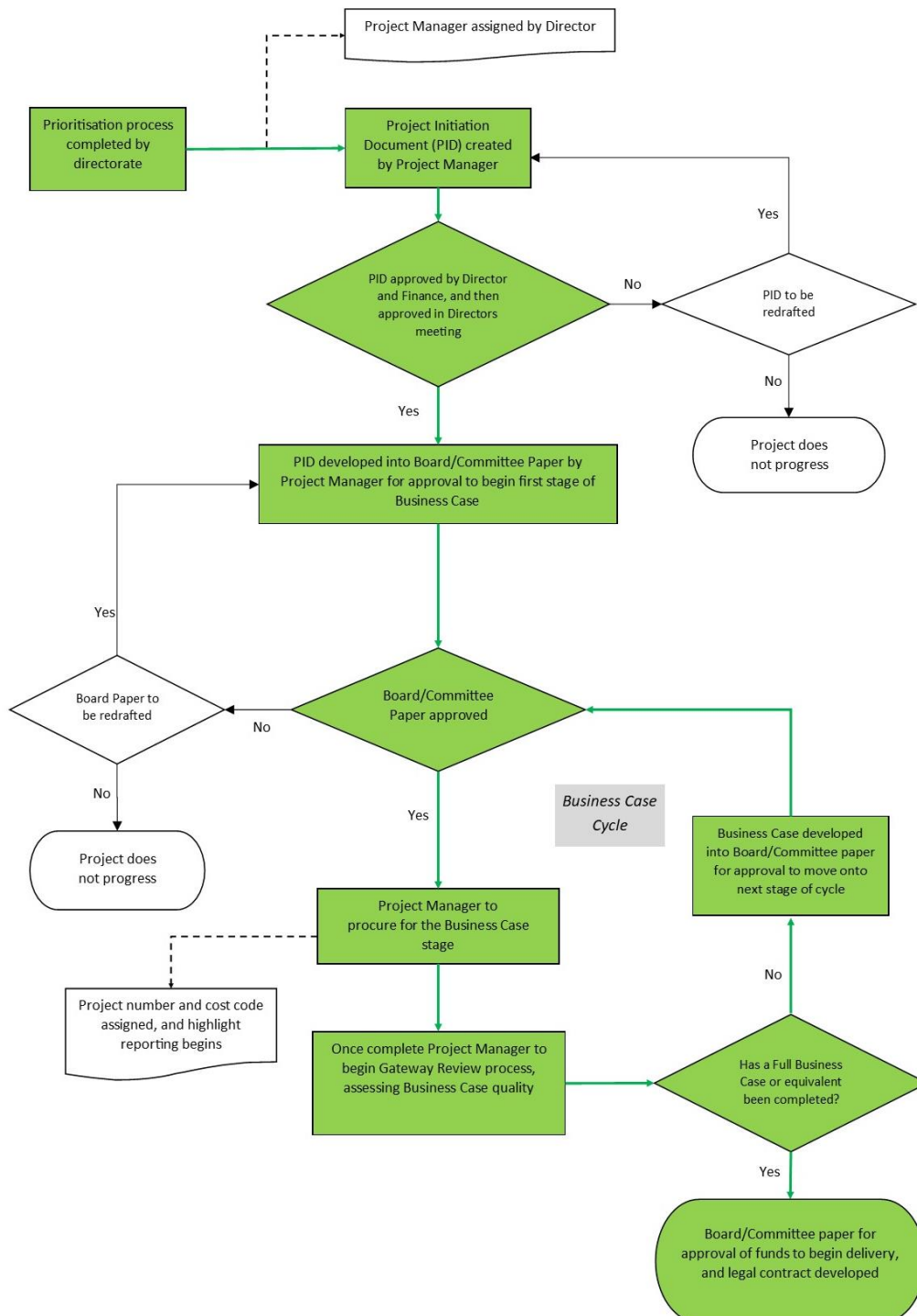
ii. CPCA Project Management Process

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).



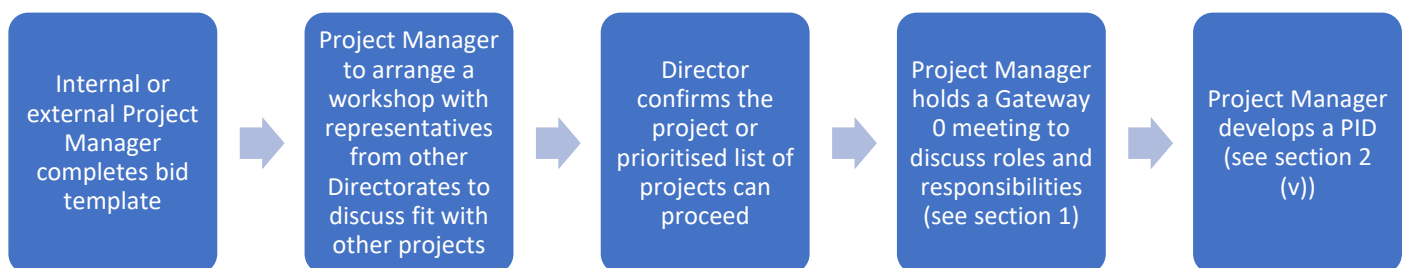
iv. Prioritisation process

Projects are subject to a prioritisation decision as part of preparing the MTFP 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 complete the [new bids template](#) and send it to your Finance Lead and the PMO.

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

In most instances, the timescales for putting forward a project idea aligns with the drafting of the MTFP (normally October). There are some occasions, however, where schemes can go to Board for initiation throughout the year and please speak to a member of the Finance Team for more information.

The following process should act as a guide for Project Managers when identifying new bids:



When a bid template is completed, the Project Manager (or SRO) must analyse the strategic fit and whether there are any interdependencies with other initiatives in the region (whether internally or externally). It is important to ensure thorough engagement with other Project Managers occurs before projects go further into delivery as this may impact the project scope and may allow a more detailed understanding of impacts. Decisions of projects within individual directorates must not be made in silo as Transport, Business and Skills, and Housing are all interconnected.

v. Project Initiation Documentation (PID)

[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 is the first step required for establishing a project but does not 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 the responsible Director, Chief Finance Officer and Chief Executive Officer, 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 HM 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 SRO should be identified.

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

A new requirement of the PID is the completion of a RACI model which establishes who is responsible for different aspects of project delivery ([see section 1 \(ii\)](#) for more information).

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 the relevant Director, Chief Finance Officer, and Chief Executive Officer for approval for the project to proceed to the next stage. (Note: this process will come into operation following approval of the revised Assurance Framework, which is expected in January 2021. Until then, the Assurance Framework requires PIDs to be signed off by CMT collectively.)

Once the PID has been approved, a Board paper is also required to approve funding. **Project Managers will be expected to liaise with Finance for assistance in identifying a budget line.**

It is at this point when the PID and Board paper have been approved where the concept becomes a project, and a project number is assigned. 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](#)) must also be prepared as part of project initiation.

vi. 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 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 strategic 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) agrees 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 vii](#)).

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.](#)

Transport Project Managers must also ensure that every Value for Money assessment is independently assessed by the Combined Authority's VfM consultant. Please speak to the PMO for more information.

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.](#)

vii. Gateway

The Gateway Review process sets out what is required (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 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 \(vi\)](#)).

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 \(vi\)](#)).

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 \(vi\)](#)).

Gateway 4: Once construction or delivery has been completed, then a Project Closure Form must 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 must 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 Stage 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.

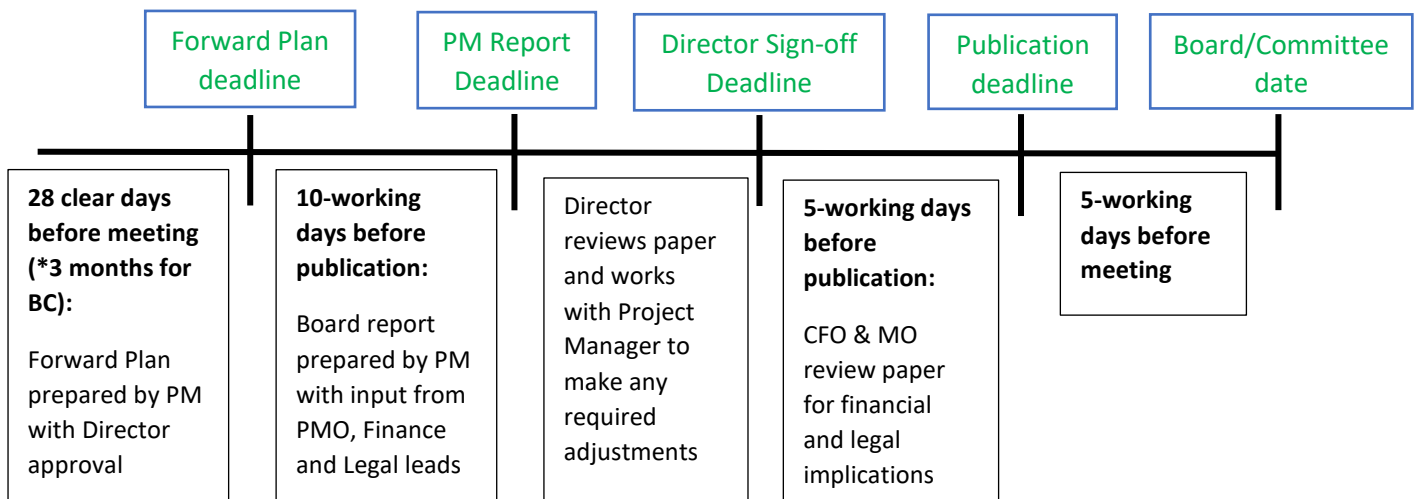
3. What is the process for seeking Board and Committee Approval?

i. How to have a project considered by Committee and/or Board

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 (CFO) and Monitoring Officer (MO) 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 Board/Committees:



**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 examples of when you may need to take a paper to Board and/or Committee.](#)

ii. Approval via an Officer or Mayoral Decision Notice (ODN/MDN)

There are circumstances where Board or Committee approvals are not required and approval to proceed can be attained through an ODN or MDN. A Project Manager will need an ODN in the following circumstances:

- Signing of a contract and/or funding agreement between £25,000 and £500,000 that is not a key decision (does not have a significant effect on communities living or working in an area made up of two or more wards or electoral divisions in the area) and does not have specific Board approval. If under £25,000, please speak to a Member of the Legal Team before proceeding.
- When reallocating approved budget, i.e. from one project line to another. This must have approval from the Chief Finance Officer, prior to developing the ODN.

Please note - approval for project funding is not the same as approval to enter into a contract or funding agreement.

An MDN is used for any contract over £500,000 but the Legal team will advise on appropriate steps. Depending on circumstances this may need authorisation from the Board/Committee as well.

To complete an ODN/MDN, the Project Manager must use the relevant template, which is to be signed off by a Legal and Financial representative before it is circulated for approval. Reference to the Constitution will be required for both decision notices.

[Click here for the Decision Notice template and Guidance](#)

These documents are published on the Combined Authority website for transparency. If your Decision Notice contains confidential appendices, it is important to make this clear, so these items do not get published.

Once signed off, the final decision notice form is sent to the Governance Team for inclusion on the Decision Notice Register and the website. If you require help (or information on whether you need a decision notice), please contact a member of the Legal team.

More detail can be found in CPCA Constitution under Contract Procedure Rules.

4. How should I manage my project budgets?

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 \(iv\)](#).

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. Future**

decisions may then be delegated to the relevant Committee to approve the drawdown of funding at the appropriate stages.

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 that stage, then the Project Manager will need to seek Board approval. Furthermore, Project Managers will have to seek Board approval to change future 'subject to approval' allocations (although this can also be achieved through an MTFP refresh).

If a Project Manager want to reprofile across financial years (due to accelerated delivery for example), this can be signed off by the Director/SRO and Financial sign-off but only if future years funding has been approved. Please see the change control process on [section 7](#) for more information. If future year's funding is only in the subject to approval line, this will require Board approval.

Project managers must know which funding source their project has come from (e.g. Investment Funds, Transforming Cities Funds, Local Growth Funds etc.) through discussions with their finance lead. This detail will also be included within the financial reports. This is also important as there may be some financial restrictions or evaluation requirements that need to be considered.

i. Finance Reports

Project Managers are required to complete monthly finance reports for each of their projects, which provides a detailed overview of the year-to-date actual spend, budget and a full year forecast.

These templates are first created by Finance Managers for each new project and sent to Project Managers for completing. Through these reports, Project Managers must take ownership of financial data and liaise with their respective Finance Manager each month when completing. This allows detailed discussions to take place on budget availability and how this relates to individual stages of the project lifecycle. The report is also used to record detail on actual and forecast spend, and Project Managers should utilise this report to budget and forecast for the next stage of the project accordingly.

These reports have been set up to align with project management reporting, with key data (Actuals, Budget and Forecast) extracted directly into the highlight reports. This enables Project Managers to provide a comprehensive review of the entire project (finances and project management aspects included) and ensure the RAG status is fully reflective.

ii. 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.](#)

For invoices: 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 can 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 drawdown schedule.

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

A project's procurement process is to be selected based on its category and value to ensure that the process is proportionate, transparent and can demonstrate value for money.

For Goods and Services contracts, the Project Manager must attain a single quote for a contract up to £9,999 and three quotes for a contract between £10,000-£49,999 (through an RFQ process). For contracts £50,000 in value and above, the Combined Authority must advertise on Contracts Finder (Tender process) through procurement.

For Works and Concessions contracts, the Project Manager must attain a single quote for contracts up to £49,999 and three quotes for contracts between £50,000-£499,000 (RFQ process). For contracts £500,000 in value and above, the Combined Authority must advertise on Contracts Finder (Tender process) through procurement.

Other types of procurement or more detail can be found in CPCA Constitution under Contract Procedure Rules.

Contracts must be executed by signature or as a deed: £0-£25,000 – signed by the Responsible Officer; £25,000-£250,000 – signed by the Project Director; £250,000-£500,000 – signed by either the Monitoring Officer, Chief Finance Officer or Chief Executive Officer. If over £500,000 it is a key decision executed as a deed by either the Monitoring Officer, Chief Finance Officer or Chief Executive Officer. During the procurement process, Project Managers must ensure questions on green delivery and how this is considered are reflected.

Copies of executed contracts of £5,000 and above must be provided to the Procurement and Contracting Manager for inclusion on the contracts register, and all contracts over £25,000 require an award notice to be published; please contact the Procurement team to add this. Where a project is delivered externally the internal project managers must request copies to save down.

i. Contract variation

A contract should only be extended or varied in accordance with options specifically included in the original procurement documentation.

Where no such provision exists, a variation can occur with the agreement of the Director if it does not exceed the original advertised value (10% for Goods & Services contracts or 15% if Works contracts). The CPCA Monitoring Officer can approve a variation of no more than 50% of the original. Anything above 10% please speak to procurement. See chapter 16 section 46 of the Constitution for more information.

The amendment of a contract must be documented through the approval of a Waiver and once signed, saved in the contracts register. The application of any extension or variation must be in the Combined Authority's best interest, must demonstrate value for money and cannot be until after a new Due Diligence Check has been completed.

For more detail 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 ([see section 5](#)), and an ODN/MDN will need to be signed in most cases ([see section 3 \(ii\)](#)). 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 the Legal team.

A Funding Agreement sets out the agreed funding, longstop date (completion date) and conditions of the funding. The personalised schedules in the agreement set out what tasks the delivery partners are responsible for and Project Managers must ensure these schedules are appropriately detailed. It should also be made clear that external delivery partners must follow CPCA governance processes set out in this guide and other documents, such as the Assurance Framework and Constitution. The Funding Agreement must always be referred to if this work is not satisfactorily completed.

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. There may also be occasions where a Funding Agreement will need to be

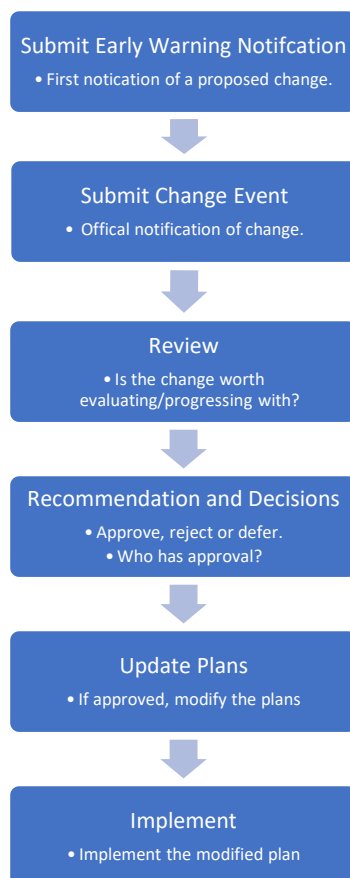
developed even when we are delivering the project, such as with Cambridgeshire County Council for all Transport schemes.

Project Managers must 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 Early Warning and Change Control process?

Early Warning and Change Control is the process through which all requests to change the project, programme or portfolio are captured, evaluated, and then approved or rejected. Change control is an important process within project management and links to risk management. Positive or negative changes are seen as a risk.

i. Change Control Process



The change request process required 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.

ii. Early Warning Notifications and Change Events

Early Warning Notifications (EWN) and Change Events (CE) must be submitted to notify and record all changes. These must be recorded on the Early Warning and Change Event log.

[Click here for the Early Warning and Change Event Log](#)

Early Warning Notifications is 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 and advises the Project Team that a change may occur, and additional mitigation may be required.

[Click here for the Early Notification Form](#)

Change Events is the formal step in reporting a change and requires detailed information about the event that is occurring. The exact implication of the change should now be known.

[Click here for the Change Event Form](#)

All EWNs and CEs should be reviewed by the internal Project Teams. Directors/SRO have full delegated authority to approve changes within the approved risk tolerance ([see section 8 \(ii\)](#)). If the changes exceed the risk tolerance, this must be discussed within CMT for approval of how to proceed.

Please refer to the [Relationship between Risk and Change Control document](#) for more information.

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. These are submitted on **the last working Wednesday of each month** and provide monthly updates on all projects, such as overall RAG (Red Amber Green) status, project rationale, update, key risks, milestones, and financial data.

[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 agreed and 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.**

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.

Highlight reports align with the monthly finance reports which enables the Project Manager to provide a comprehensive review of the entire project.

Performance Report

Following submission of the highlight reports, a programme dashboard is created, which is reviewed by the Corporate Management Team 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.

Baselining completion date

The highlight report records the baseline agreed completion date which must not change unless there is a change control approval in place ([see section 7](#)) or if the project moves to the next stage.

The agreed completion date must match what was agreed at Board/Committee, as well as the longstop date in the Funding Agreement. Please note that the completion date should reflect when a project is expected to receive Board/Committee approval for that stage of the project. Please ensure it has been agreed with delivery partners. Any slippage of that baseline approved date means the RAG status for that month may need to change until change control has been signed off.

ii. Risks and opportunities

The Risk Management Strategy establishes how project risks should be identified, treated, mitigated, and escalated. Everyone is responsible for identifying risks.

[Click here for the Risk Management Strategy](#)

All risks should be recorded on the Risk and Opportunity Register, which should be established for each live project or programme. This register also appears within the monthly highlight reports.

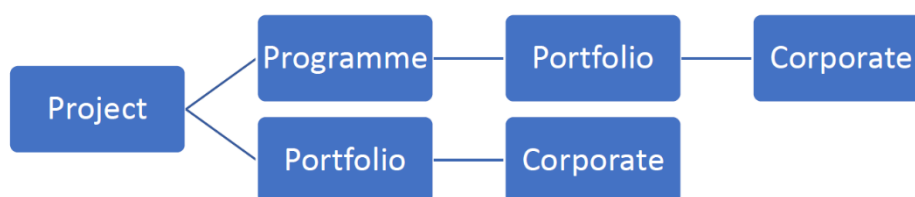
[Click here for the Risk and Opportunity Register](#)

Risks are assessed by quantitative and qualitative assessments and they are given an inherent RAG rating, which is calculated from the likelihood and impact scores (1-5). After mitigation actions are imposed, the risks are then recalculated and provide a residual score and RAG rating. Risks are also given a financial implication, if appropriate.

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. This is then measured against the Risk Appetite for that particular project.

Risks can capture potential changes; more information can be found in the Relationship between Risk and Change Control document, [see section 7](#).

Risks should be continually reviewed and escalated appropriately to the correct level, this is documented within the Roles and Responsibilities table within the Risk Management Strategy. Risk Promotion is shown below:



iii. Evaluation

The Combined Authority's Monitoring & Evaluation Framework sets out our approach to evaluation. Project Managers **must comply** with this as 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. Please speak to the PMO for support in developing this.	Logic Model template
SOBC / OBC / FBC	Value for Money assessments to assess viability at each stage. This must 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 (vi)).
FBC / Post-FBC	An Evaluation Plan must 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 . As these plans are often not implemented until post-completion please insert the dates when the evaluations are due to take place in the CPCA schedule, to ensure this is not lost	CPCA Evaluation Plan template (or a similar template) CPCA Evaluation Plan and RSA schedule
Immediately 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 .
Post-completion	Post-completion evaluation will need be completed in line with the evaluation plan. For highways schemes, a Road Safety Audit (RSA) 4 must also be completed one year after construction – similar to evaluation, this must be included in the project budget – again please use the schedule so it is not overlooked.	CPCA Evaluation Plan and RSA schedule

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.

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

i. Full Project 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](#). The Lessons Learned tab 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.

iii. Project Stage Closure process

Some projects may reach the practical completion of a specific project stage without reaching the full completion of the project. Project Managers are responsible for identifying when this is the case and complete the relevant form at the end of each appropriate stage (at SOBC, OBC and FBC). This is to ensure the contracted deliverables have been fulfilled and commercial aspects of the project are closed out.

[Click here for the Project Stage Closure Report](#)

The stage 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.

A new project number will be allocated to the subsequent stage, once a new PID has been approved.

Appendix 1 – Documentation links

Staff list – CPCA	Click here
Other CPCA Roles and Responsibility	Click here
Transport EAST form	Click here
Bid template	Click here
Directorates prioritisation processes	Click here
Project Initiation Document (PID) 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
Decision Notice template	Click here
Claims process	Click here
Project Change Request Form	Click here
Early Warning and Change Event Log	Click here
Early Notification form	Click here
Change Event form	Click here
Relationship between Risk and Change Control document	Click here
Highlight report template	Click here
Highlight report guidance notes	Click here
CPCA RAG Definitions	Click here
Risk Management Strategy	Click here
Risk and Opportunity Register	Click here
Monitoring and Evaluation Framework	Click here
Evaluation form	Click here
SharePoint filing structure	Click here
Project Closure Report	Click here
Project Closure Report Guidance	Click here
Project Stage Closure Report	Click here