



**GREATER  
CAMBRIDGE  
CITY DEAL**

Securing future prosperity

**Report To:** Greater Cambridge City Deal Executive Board

25 January 2017

**Lead Officer:** Tanya Sheridan – City Deal Director

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## **Change control and issue management**

### **Purpose**

1. To set out in a consolidated way the approach to change control and issue management across the City Deal programme.

### **Recommendations**

2. It is recommended that the Executive Board:
  - (a) Notes and endorses the codification of the principles used in the City Deal for change control and issue management.
  - (b) Agree the proposed approach for reporting issues and change control.

### **Reasons for Recommendations**

3. The City Deal has change control and issue management approaches and principles, but these have not previously been set out in one place. Change control and issue management are part of good programme management, which significantly improves delivery of major programmes.

### **Background**

4. Change control sets out a clear process and set of responsibilities for effective management and decision making around requests for modifications to projects in terms of cost, scope or timeframes, recognising the impacts that for instance a cost change on one project can have on the wider programme.
5. Issue management relates to mitigating the impact of problems and/or constraints that already exist and continue to affect delivery, in contrast to risk management, which relates to identifying and mitigating problems that could occur in the future. When a risk occurs, it will typically become an issue that needs to be managed accordingly.
6. Change control and issue management are inherently linked to risk management, which is governed according to the Risk Management Framework (RMF) adopted by the Executive Board. The linkages and flow between those processes are illustrated (at a high level) in Appendix 1.

### **Considerations**

7. Industry evidence demonstrates that major projects that use formal programme management and processes operate in a more efficient and effective way, and have

greater certainty of delivering successful outcomes. In the case of the Greater Cambridge City Deal, this means enhancing the likelihood of the various projects being successful in delivering the infrastructure Greater Cambridge needs, on time and on budget. It is also important to help meet the 'triggers' that will guide Government decisions on whether to provide future tranches of City Deal funding needed to deliver the infrastructure to support sustainable growth in Greater Cambridge..

8. The City Deal Programme Board, consisting of senior officers representing all partner organisations and workstreams, has the operational responsibility for maintaining and overseeing programme management in the City Deal. It is therefore responsible for ensuring good disciplines are in place, including for change control and issue management. It does, though, operate within the framework set by the Executive Board (as the key decision-making body), therefore Executive Board endorsement of the approach and principles is sought.
9. Where possible, issues are managed at 'project' level. If an issue has a significant impact on the overall programme, it is escalated to the Programme Board or the appropriate senior officer to resolve. Where Executive Board decisions are needed to manage the issue, it will be escalated and reported accordingly.
10. The key change control principles and practices, which are part of the City Deal's good practice, forming the proposed codified approach are:
  - (a) The Executive Board decides on the allocation of City Deal funds to projects or schemes to meet City Deal objectives.
  - (b) Capital schemes are treated as having two stages, each of which has a budget and timeframe agreed by the Executive Board. Those two stages are development (i.e. up to the point of decision to deliver a scheme) and delivery (i.e. after that point).
  - (c) Project Managers are responsible for managing capital schemes within the parameters set by the Board.
  - (d) Any change to a project or stage that is anticipated to exceed the agreed budget and/or timeframe is to be reported to the Executive Board for consideration and (if relevant) agreement of appropriate action.
  - (e) Resourcing implications are set out in reports to the Executive Board as a specific section, to clarify the resourcing implications of decisions sought. Officers attend Joint Assembly and Executive Board meetings and can advise on resourcing implications of recommendations and decisions.
  - (f) To make the most of the City Deal's funds and to ensure that Board and Joint Assembly members have consistent information to guide decisions/recommendations, new spending proposals need to have a proportionate business case, using the template agreed as part of the Medium-term financial strategy in November 2016.
  - (g) Project or scheme objectives and scope are to be agreed at project initiation, i.e. when a project, including its funding and resourcing is agreed and it becomes part of the programme. Proposed objectives and scope should be set out in reports proposing that resources be allocated to particular schemes or projects and the project's contribution to achieving the overall aims of the City Deal explained. Any changes to these are to be determined by the Executive Board.
  - (h) Project Managers and senior officers manage projects within the boundaries of the County Council's financial procedure rules. (The Executive Board's Terms of reference para 5.1 state that 'Cambridgeshire County Council shall

act as the Accountable Body for the Executive Board in respect of financial matters and its financial procedure rules will apply in this context.’<sup>1</sup>

11. Risks are reported to the Executive Board on a six-monthly basis, with exception reporting through the regular Progress Reports where necessary. As risk management is ongoing, this regular oversight is needed. Since issue management and change control tend to be less predictable and more reactive, they need to be capable of being considered at the appropriate point. Regular scheduled reporting to the Executive Board on issue management and change control is therefore not proposed, but issues and/or changes that need to be brought to the Executive Board's attention will be escalated using the regular Progress Reports, accompanied if necessary by a separate paper.

### **Options**

12. The Executive Board is recommended to note and endorse the codification of the principles used in the City Deal for change control and issue management. This will support effective project and programme management across the City Deal.
13. The Executive Board could choose not to endorse change management principles, or could ask for new change management principles to be developed. This report seeks to codify and clarify rather than to change the current approach. It sets out the principles commonly followed for Local Government infrastructure and other project decision-making.

### **Implications**

14. In the writing of this report, taking into account financial, legal, staffing, risk management, equality and diversity, climate change, community safety and any other key issues, the following implications have been considered: -

#### ***Financial and other resources***

15. The approach to change control and issue management described allows more effective consideration of the impacts of change requests and mitigating actions on finance and other resources, so that decisions can be informed by that consideration and financial and other resources can be managed robustly.

#### ***Risk Management***

16. Clear principles for change control and issue management would align effectively with the adopted Risk Management Framework, with those processes being inherently linked as demonstrated in Figure 1.

### **Consultation responses and Communication**

17. The proposal is the result of discussion with senior officers from across the City Deal partnership, who have recognised the beneficial effect that codifying these principles would have on control across the programme.

## **Background Papers**

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<sup>1</sup> Cambridgeshire County Council Scheme of Financial Management can be accessed at the following link: [http://www.cambridgeshire.gov.uk/info/20050/council\\_structure/288/councils\\_constitution](http://www.cambridgeshire.gov.uk/info/20050/council_structure/288/councils_constitution) ('Part 4 - Rules of Procedure', section 4.6)

Greater Cambridge City Deal Risk Management Framework:  
<http://scams.moderngov.co.uk/documents/s97513/Risk%20Management%20Framework%20-%20appendix.pdf>

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**Appendix 1: High-level illustration of links between risk management, issue management and change control**

