



**CAMBRIDGESHIRE
& PETERBOROUGH**
COMBINED AUTHORITY

PAUL BRISTOW MAYOR
OF CAMBRIDGESHIRE
& PETERBOROUGH

THE CONSTITUTION



Version Control

Revision #	Revision Date	Comments
1	31 May 2017	Constitution approved by the CA Board
2	28 January 2018	Updated to take account of CA Board decisions made since May 2017
3	30 May 2018	Annual Review of the Constitution
4	25 July 2018	Updated to include revised portfolios
5	26 September 2018	Updated to include executive committees, scrutiny question time and other matters
6	25 September 2019	Annual Review of the Constitution
7	24 December 2019	Changes to Page 218, Appendix 5
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11	30 September 2020	Annual Review of the Constitution
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20	10 June 2025	Changes as approved by the Combined Authority Board on 4 June 2025
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23	19 March 2026	Terms of Reference for Growth Committee, Chapter 9 (Contract Procedure Rules), Chapter 14 (Overview and Scrutiny Committee) and Chapter 17 (Officer Delegations) updated following 18 March 2026 meeting of Combined Authority Board
24	11 June 2026	Chapter 3 (The Mayor of the Combined Authority), Chapter 12 (Allowances), Chapter 14 (Overview and Scrutiny Committee) and Chapter 17 (Officer Delegations) updated following 3 June meeting of Combined Authority Board



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1. Introduction

- 1.1. The Cambridgeshire & Peterborough Combined Authority (the Combined Authority) is defined as the area covered by seven Constituent Authorities:
 - Cambridge City Council
 - Cambridgeshire County Council
 - East Cambridgeshire District Council
 - Fenland District Council
 - Huntingdonshire District Council
 - Peterborough City Council
 - South Cambridgeshire District Council
- 1.2. The Combined Authority was established by Order on 3 March 2017 and exists to further the sustainable and inclusive growth of the economy of Cambridgeshire and Peterborough. It builds upon a strong history of collaboration between the Constituent Authorities, the private sector and other partners.
- 1.3. The Combined Authority also incorporates the role and responsibilities of the Business Board for Cambridgeshire & Peterborough (formerly the Local Enterprise Partnership), and various other statutory and non-statutory responsibilities.
- 1.4. This constitution reflects:
 - Experience of effective management of collaborative arrangements operating within the constituent authorities for many years
 - The commitments entered into by government and leaders within the Combined Authority area
 - Constitutional arrangements put in place on the establishment of the Combined Authority in March 2017
 - The statutory framework established by parliament as part of the [Combined Authority Order of 2017](#)
- 1.5. This constitution is a living document and shall be amended as the Combined Authority continues to develop. Authority is delegated to the Monitoring Officer, in consultation with the Chief Executive of the Combined Authority, to make consequential amendments to the Constitution, in order to reflect organisational or legislative changes, or to make any minor textual or grammatical corrections. Any other changes shall be agreed by a majority vote of the Combined Authority Board.
- 1.6. This constitution sets out the governance arrangements for the Cambridgeshire & Peterborough Combined Authority, including Mayoral and Non-Mayoral Functions. It sets out how decisions are made and the procedures that are followed to ensure that the Combined Authority operates efficiently, effectively and is transparent and accountable.

Purpose of the Constitution

- 1.7. This constitution sets out how we work, how we make decisions, and the procedures we follow to make sure our work is efficient, and effective, and is both transparent and accountable to local people. Some of these procedures are set by law, while others are ones we have chosen to follow.
- 1.8. The Constitution has 19 parts, plus appendices. These are outlined below:

Part 1	Summary and Introduction to the Combined Authority and the Combined Authority's Constitution.
Part 2	Membership of the Combined Authority which outlines the establishment of the Combined Authority and sets out its formal composition, specifying the roles of constituent councils, the Business Board and co-opted members.
Part 3	The Mayor of the Combined Authority which sets out the roles and functions reserved to the Mayor. This chapter also sets out the Mayor's general functions and powers.
Part 4	<p>The Combined Authority Functions and Responsibilities setting out who is responsible for exercising each function of the Combined Authority and its decision-makers operate, including:</p> <ul style="list-style-type: none"> • formal meetings of the Combined Authority and its committees. • how to access information; and • procedures relating to finance and contracts.
Part 5	Standing Orders setting out how Combined Authority Board meetings and, subject to certain limitations identified in Chapter 7 - Boards and Committees of this Constitution, any committees or sub-committees' meetings will proceed.
Part 6	<p>Decision-Making setting out how the Combined Authority's decision makers operate, including:</p> <ul style="list-style-type: none"> • Key decisions • the Forward Plan • General Exception Notices • Special Urgency Decisions • the recording of decisions • the budget framework procedure rules • formal meetings of the Combined Authority and its committees
Part 7	<p>Boards and Committees detailing the Boards and Committees, and sub-committees the Combined Authority has established to discharge its functions. The Combined Authority has established the following Boards and Committees:</p> <ul style="list-style-type: none"> • Transport Committee • Skills Committee • Growth Committee • Funding Committee • Staffing Committee
Part 8	Financial Regulations setting out how the Combined Authority's financial affairs are managed.
Part 9	Contract Procedure Rules setting out how the Authority will contract their various requirements and how suppliers wishing to work for the Authority can access those opportunities
Part 10	Access to Information, Information Governance, Data Protection and Complaints setting out the rights of the public, as well as detail on how information is managed.
Part 11	Employment Rules and Regulations setting out how officers are appointed and dismissed and the role that Elected Members have in officer appointments and dismissals.

Part 12	Allowances which outlines the allowances received by Members of the Combined Authority.
Part 13	Audit & Governance Committee setting out the functions and terms of reference of this statutory committee.
Part 14	Overview & Scrutiny Committee setting out the functions and terms of reference of this statutory committee.
Part 15	Business Board is a non-statutory body. The Business Board is independent of the Combined Authority operating as a private-public sector partnership, focussing on the key business sectors to drive growth in the Cambridgeshire and Peterborough.
Part 16	Members which lays out the Member Code of Conduct; how Members register interests; and how complaints against members can be made and are dealt with.
Part 17	Officer Schemes of Delegation outlining the Schemes of Delegation to Chief Officers and a Schedule of Proper Officers for its functions in accordance with section 101 of the Local Government Act 1972 .
Part 18	Policies and Protocols which is a section setting out, as annexes, the policies and protocols of the Combined Authority.
Part 19	The Single Assurance Framework

Monitoring and Reviewing the Constitution

- 1.9. The Monitoring Officer will regularly monitor and review the operation of the Constitution.
- 1.10. The Chief Finance Officer shall be responsible for monitoring and keeping under review the Financial Regulations set out in the Constitution.
- 1.11. It is the responsibility of the Combined Authority Board to review the Constitution on an annual basis.
- 1.12. The [Audit and Governance Committee](#) has the responsibility to maintain an overview of the Constitution and make recommendations to the Combined Authority Board when considered appropriate to keep the Constitution effective and up to date.

Changes to the Constitution

- 1.13. The Constitution will be amended as the Combined Authority develops.
- 1.14. Changes to the Constitution will be agreed by the Combined Authority Board in accordance with the voting arrangements as set out in [Chapter 5 - Standing Orders](#) unless in the reasonable opinion of the Monitoring Officer a change is required in the circumstances set out in their delegated powers see [Chapter 17 - Officer Scheme of Delegation](#).

Common Seal of the Combined Authority

- 1.15. The Common Seal of the Combined Authority will be kept in a safe place in the custody of the Monitoring Officer. A decision of the Combined Authority, or any part of it, will be sufficient authority for sealing any document necessary to give effect to the decision. The Common Seal will be affixed to those documents which in the opinion of the Monitoring Officer should be sealed. The affixing of the Common Seal will be attested by the Monitoring Officer, or some other person authorised by the Monitoring Officer.
- 1.16. Paragraphs 9.46 and 9.57 of the [Contract Procedure Rules](#) outline documents that must be executed as deeds as outlined above.

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CHAPTER 2:

MEMBERSHIP OF THE COMBINED AUTHORITY

2.1 The Establishment of the Combined Authority

- 2.1.1 The Cambridgeshire & Peterborough Combined Authority (Election of Mayor) Order 2017 established the Combined Authority as a Mayoral Combined Authority; and the first Mayor was elected in May 2017. The Mayor is directly elected by the local government electorate of Cambridgeshire and Peterborough and serves a four-year term of office. The Combined Authority Mayor, by virtue of holding office, shall be a Member of, and Chair of the Combined Authority Board; with responsibilities, and checks and balances on the exercise of those responsibilities, as set out by this Constitution and statutory provision.
- 2.1.2 The Mayor, the Combined Authority Board, and the Combined Authority Committees will work together in collaboration, in the interests of the people of the Cambridgeshire and Peterborough. This Constitution sets out arrangements to ensure the effective conduct of the Combined Authority's business, in this spirit of collaboration, mutual respect and transparency. All members will strive to work on the basis of consensus, taking decisions through agreement. These principles shall apply irrespective of the statutory basis for the exercise of those powers; whether through the powers and responsibilities of the Mayor, the Combined Authority, or any of the Combined Authority Committees. The powers of the Mayor are to be exercised through collaboration within the Combined Authority Board, and in partnership with all relevant stakeholders.

2.2 Constituent Authorities

- 2.2.1 Each of the Constituent Councils shall appoint a Member (usually its Leader) to be a Member of the Combined Authority and another Member to act in the absence of the appointed Member (the Substitute Member). All appointments shall be for a one-year term.
- 2.2.2 A person will cease to be a Member or a Substitute Member of the Combined Authority if they cease to be a Member of the Constituent Councils that appointed them. The Constituent Councils shall appoint or nominate a replacement as soon as possible.
- 2.2.3 A Member or Substitute Member may resign by giving written notice to the Proper Officer of their Constituent Council, and the resignation takes effect on the receipt of the notice. The relevant Constituent Council shall notify the Combined Authority of the resignation.
- 2.2.4 Each Constituent Council shall at any time be entitled to terminate the appointment of a Member or Substitute Member appointed to the Combined Authority and replace that Member or Substitute Member.
- 2.2.5 The Constituent Council must give written notice of the new appointment and the termination of the previous appointment to the Combined Authority. The new appointment shall take effect and the previous appointment terminate on receipt of notification.

2.3 Business Board

- 2.3.1 The Business Board will nominate one of its Members, normally the Chair, to be a Member of the Combined Authority and another Member to act in the absence of the appointed Member (the Substitute Member).
- 2.3.2 The Combined Authority will consider the nomination and appoint the Business Board Member and the Business Board Substitute Member. Each appointment shall be for a one-year term.
- 2.3.3 A person will cease to be a Member or a Substitute Member of the Combined Authority if they cease to be a Member of the Business Board that nominated them. The Business Board shall appoint or nominate a replacement as soon as possible.

- 2.3.4 A Member or Substitute Member may resign by giving written notice to the Chair or Vice-Chair of the Business Board, and the resignation takes effect on receipt of the notice. The Business Board shall notify the Combined Authority of the resignation.
- 2.3.5 Where the Business Board terminates an appointment and nominates another of its members in that person's place, it must give written notice of the new nomination and the termination of the previous appointment to the Combined Authority.
- 2.3.6 The Combined Authority must consider the appointment of the nominated Business Board Member at the next meeting of the Combined Authority. The new appointment shall take effect, and the previous appointment terminate, upon the determination of the appointment by the Combined Authority.

2.4 Co-opted Members

- 2.4.1 The Combined Authority may invite organisations with direct responsibility for functions relevant to the Combined Authority objectives to become Co-opted Members to attend the Combined Authority Board and these Co-opted Members may take part in the debate. All decisions on Co-opted Members shall be made formally by proposal and report at a Combined Authority Board meeting.
- 2.4.2 A proposal for an authority to be given Co-opted Member status may be made by any Constituent Council Member or the Mayor and must be agreed by a two-thirds majority of those present and voting. Co-opted Member status takes effect upon agreement by the Board.
- 2.4.3 Co-opted Member status confers no legal status and no entitlement to vote and is an informal arrangement to promote a strategic approach to joint working in the development of significant policy issues.
- 2.4.4 A Co-opted member organisation shall be represented at meetings of the Combined Authority Board by a named representative or a named substitute. Notice of the names of the Co-opted Members' representative or substitute must be provided to the Monitoring Officer by the Co-opted Member organisation at least two working days prior to attendance at any meeting of the Board.
- 2.4.5 Such representative or substitute may participate in the debate on issues relevant to their organisation and must comply with the terms of the Constitution as they relate to debate, but they will not have entitlement to vote on any issue or agenda item.
- 2.4.6 The Chair of any meeting of the Combined Authority may require the Co-opted Members' named representative or named substitute to absent themselves from any meeting of the Combined Authority at the Chair's discretion.

Appendix 1: Cambridgeshire & Peterborough Combined Authority Board Co-Opted Members

The Co-opted Member organisations appointed to the Combined Authority Board are:

- The Police and Crime Commissioner for Cambridgeshire
- Cambridgeshire and Peterborough Fire Authority
- Central East Integrated Care Board

Co-Opted member organisations will be asked to name representatives (and substitutes) at the start of each municipal year who will be invited to meetings of the Combined Authority Board.

Such representatives or substitutes may participate in the debate on issues relevant to their organisation and must comply with the terms of the Constitution as they relate to debate, but they will not have entitlement to vote on any issue or agenda item.

They will also receive an open invitation to all meetings of thematic committees to enable them to attend for items of interest. If a co-opted member wishes to attend and speak at the meeting, they should notify the relevant Chair prior to the meeting.

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CHAPTER 3:

THE MAYOR OF THE COMBINED AUTHORITY

3.1 Roles and Functions Reserved to the Mayor of the Combined Authority

- 3.1.1 The Mayor and the other Members of the Combined Authority will work closely together. Specifically, the Mayor:
- a) will provide overall leadership and chair Combined Authority Board meetings
 - b) may nominate chairs of thematic committees to each member of the seven Constituent Councils who will act in a supporting and advisory function to the Mayor and Combined Authority for their respective policy areas; and
 - c) will also be a member of the Business Board recognising the importance of the Business Board's role and the private sector in any growth strategies or delivery for the Combined Authority area.
- 3.1.2 The Mayor must appoint a statutory Deputy Mayor of the Combined Authority. The role of the statutory Deputy Mayor is set out in paragraph 3.5 below. The Mayor may also appoint a non-statutory Deputy Mayor and the role of the non-statutory Deputy Mayor is set out in paragraph 3.5 below.

3.2 General Functions of the Mayor

- 3.2.1 The Mayor will exercise the following general function:
- 3.2.1.1 The Mayor may pay a grant to Cambridgeshire County Council and Peterborough City Council to meet expenditure incurred by them as highways authorities. The Mayor must exercise this function under section 31 Local Government Act 2003 concurrently with a Minister of the Crown.
 - 3.2.1.2 Prior to the payment of the grant the Mayor must consult the Combined Authority.
 - 3.2.1.3 Members and officers of the Combined Authority may assist the Mayor in the exercise of the function to pay a grant.

3.3 Powers of the Mayor

- 3.3.1 The Mayor may exercise a general power of competence ([section 1 Localism Act 2011](#)) as extended to strategic authorities by Section 21 of the English Devolution and Community Empowerment Act 2026) on behalf of the Combined Authority concurrently with the Authority. This power allows the Mayor to do anything that an individual generally may do, subject to statutory limitations.
- 3.3.1.1 Where the general power of competence:
 - a) involves the transfer of property, rights or liabilities of the Combined Authority to or from the Constituent Councils, or
 - b) is used to prepare and publish a statement setting out a strategy for spatial development in the Combined Authority area, the Mayor must secure the unanimous consent of all Members of the Combined Authority, or Substitute Members acting in their place.
- 3.3.2 The Mayor may exercise the general power of competence to perform any Mayoral function (defined as a function of the Combined Authority exercisable only by the Mayor). In exercising this power, the Mayor may be assisted by members and officers of the Combined Authority.
- 3.3.3 The Mayor may also undertake the following actions:
- a) Make requests of local partners for engagement in addressing local challenges and delivering local projects and strategies; and
 - b) Collaborate with neighbouring Mayors to deliver projects and strategies together.

- c) The Mayor may exercise their power to ask the Secretary of State for Transport to make regulations under [Section 11 of the Automated and Electric Vehicle Act 2018](#) requiring large fuel retailers and service area operators to provide public charging points and to ensure public charging points are maintained and easily accessible. The power would be limited to large fuel retailers in the area within their authority.

3.4 Powers to Appoint Commissioners

- 3.4.1 The Mayor may appoint up to 10 Commissioners in accordance with the provisions of the England Devolution and Community Empowerment Act 2026 and accompanying government guidance.

3.5 Power to Convene Meetings

- 3.5.1 The mayor may convene meetings with local partners to consider relevant local matters in accordance with the provisions of section 103B of the Local Democracy, Economic Development and Constructions Act 2009, section 2 of the England Devolution and Community Empowerment Act 2026 and all relevant government guidance

3.6 Request to Collaborate

- 3.6.1 The mayor may make a request to another elected mayor for the mayors to collaborate in relation to a matter relating to any aspect of any area of competence accordance with the provisions of section 103C of the Local Democracy, Economic Development and Constructions Act 2009, section 2 of the England Devolution and Community Empowerment Act 2026 and all relevant government guidance

3.7 Mayor's Budget and Spending Plans

- 3.7.1 The Mayor must also set a budget and consult the Combined Authority Board on their spending plans and draft budget in accordance with the Budget Framework Procedure Rules (see [Chapter 6 - Decision Making](#) and [Chapter 8 - Financial Regulations](#))
- 3.7.2 Any Mayoral budget, strategies and spending plans must be approved by the Combined Authority Board in accordance with the special voting rules (see [Chapter 6 - Decision Making](#))

3.8 Deputy Mayor

- 3.8.1 The Mayor must appoint one Member of the Combined Authority to hold the statutory functions as Deputy Mayor. This statutory Deputy Mayor shall:
- a) hold office until the end of the term of office of the Mayor
 - b) cease to be statutory Deputy Mayor, if at any time the Mayor removes them from office, they resign as Deputy Mayor or they cease to be a Member of the Combined Authority
 - c) act in the place of the Mayor if for any reason the Mayor is unable to act, or the office of Mayor becomes vacant.
- 3.8.2 If a vacancy arises in the office of statutory Deputy Mayor, the Mayor shall immediately appoint another Member of the Combined Authority to the post of statutory Deputy Mayor.
- 3.8.3 If the Mayor is unable to act or the office of Mayor is vacant; and the statutory Deputy Mayor is unable to act, the Monitoring Officer shall call a meeting of the Combined Authority Board to take decisions, by simple majority, in the absence of the Mayor.
- 3.8.4 For reasons of good governance, the Mayor may appoint a second non-statutory Deputy Mayor from amongst the Constituent Council members as they think appropriate.
- 3.8.5 The non-statutory Deputy Mayor shall preside over any meeting of the Combined Authority called to make decisions in the absence of the Mayor and statutory Deputy Mayor.
- 3.8.6 Should the statutory Deputy Mayor be appointed as Chair of the Combined Authority in the absence of the Mayor, the non-statutory Deputy Mayor shall be appointed as the Vice-Chair.

3.9 Delegation of Functions Reserved to the Mayor

- 3.9.1 The Mayor may arrange for:

- a) the statutory Deputy Mayor to exercise any general function of the Mayor or
- b) another Member or officer of the Combined Authority to exercise any such function.

3.6.2 The Mayor shall produce a scheme of delegation for any delegated functions.

3.6.3 The financing of a Mayoral Combined Authority can be met from precepts by the Combined Authority ([section 107G, 2009 Act](#)). However, the Mayor has no power to borrow money ([section 107D\(8\), 2009 Act](#)).

3.10 Mayoral Decisions

3.10.1 Any Mayoral decisions will be made in accordance with the Constitution including the Transparency Rules, Forward Plan and Key Decisions (see [Chapter 6 - Decision Making](#)).

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CHAPTER 4:

THE COMBINED AUTHORITY FUNCTIONS AND RESPONSIBILITIES

4.1 The Combined Authority Board

- 4.1.1 The Combined Authority Board has collective responsibility for decision-making, acting in the best interests of Cambridgeshire and Peterborough. The following functions are reserved to the Combined Authority Board:

4.2 Key Functions of the Combined Authority Board

- 4.2.1 The following key functions sit within the responsibility of the Combined Authority Board:
- a) To set, review, keep up to date and revise the long-term vision of the Combined Authority.
 - b) To agree, review, keep up to date and revise the strategic objectives for the Combined Authority.
 - c) To agree key strategy and policy for the Combined Authority.
 - d) To adopt, amend or withdraw any major strategy or policy.
 - e) To ensure the Combined Authority undertakes statutory and appropriate communication and consultation in the setting of the budget and policy framework.
 - f) Overall responsibility for the implementation and delivery of the Corporate Plan, assisted by Thematic Committees in the implementation and delivery of Priority Areas from within the Corporate Plan.
 - g) To drive future devolution and lobbying of Government.
 - h) To agree prioritisation and re-purposing of funds.
 - i) To agree approval of projects and programmes in line with the Scheme of Delegations.
 - j) Approve the Combined Authority Budget and the Mayoral Budget (and related strategy, policy, programmes, borrowing and virements over £500k).
 - k) To agree Transport Levy/Local Transport Connectivity Plan (LTCP)/Consultation on the allocation of Local Highways Maintenance Capital Grant.
 - l) To appoint the Head of Paid Service (Chief Executive), Monitoring Officer and Chief Finance Officer ("the statutory officers").
 - m) To consider employment matters referred by the Staffing Committee.
 - n) Approve business cases and loans to third party businesses including wholly owned subsidiaries.
 - o) Approve applications to bid for external funding where there are wider budgetary implications, or the bid relates to a matter outside the strategic framework.
 - p) To exercise General power of competence.
 - q) Agree delegations to supporting committees.
 - r) Auditing decisions for funding approved by the Business Panel for Local Growth Funds, Growth Hub funding, Energy Hub funds and Enterprise Zones funds.
 - s) Responding to Gateway Reviews.
- 4.2.2 In addition the Board is directly responsible for driving output of key deliverables/ performance measures for achieving good growth and ensuring that Thematic Committees and the Business Panel are driving delivery of good growth key deliverables as they relate

to each Thematic Committee remit.

- 4.2.3 The Combined Authority Board retains a number of functions which are reserved for the Board. It can delegate authority to approve, amend or withdraw any major strategy or policy to Thematic Committees in support of delivering its functions.

4.3 Functions Reserved to the Combined Authority Board

- 4.3.1 The following functions are reserved to the Combined Authority Board:

Strategy and Policy

- 4.3.2 The adoption of, and any amendment to or withdrawal of any major strategy or policy including the Mayor's growth ambition statement, Corporate Plan, Local Industrial Strategy, Local Transport Connectivity Plan, Skills Strategy and others.

Frameworks

- 4.3.3 The adoption of, and any amendment to or withdrawal of the following framework documents:

1. Assurance Framework
2. Monitoring & Evaluation Framework
3. Performance Management Framework
4. Risk Management Framework

Financial Matters

- 4.3.4 The adoption of, and any amendment to or withdrawal of the following financial documents:

- a) The non-mayoral Combined Authority budgets
- b) Approval of carry forward of any underspent balances between financial years
- c) Annual spending plans for the allocation of transport-related funding
- d) Treasury Management Strategy including approval of borrowing limits
- e) Medium Term Financial Plan and Capital Programme
- f) Fiscal Strategy to reflect any taxation proposals, such as Business Rates, Local Taxation, and to approve any requests to Government for additional powers.

- 4.3.5 Consultation on the allocation of Local Highways Maintenance Capital Grant

- 4.3.6 Approve budget allocations for feasibility work from the non-transport feasibility fund

- 4.3.7 Approve business cases and loans to third party businesses including wholly owned subsidiaries.

- 4.3.8 Approve applications to bid for external funding where there are wider budgetary implications, or the bid relates to a matter outside the strategic framework.

- 4.3.9 Approval of virements of £500,000 and over

- 4.3.10 In relation to the Mayor's General Budget, and in accordance with the Budget Framework Procedure Rules (see [Chapter 6 - Decision Making](#) and [Chapter 8 - Financial Regulations](#)):

- a) The approval of the draft budget (or revised draft budget) or
- b) The decision to veto the draft budget (or revised draft budget) and approval of the Mayor's draft budget incorporating the Combined Authority Board's recommendation as the relevant amounts and calculations.

Accountable Body

- 4.3.11 Auditing decisions for funding approved by the Business Panel for Local Growth Funds, Growth Hub funding, Energy Hub funds and Enterprise Zones funds.

Governance

- 4.3.12 Decisions related to:
- a) Adoption and amendment of the Constitution
 - b) Establishment and membership of Committees and Sub-Committees
 - c) Establishment and membership of Joint Committees and Commissions
 - d) Approve the nomination chairs of thematic committees upon recommendation from the Mayor
 - e) Approval of Mayoral Allowance and any other allowance schemes
 - f) Appointment of an Independent Person of the Audit and Governance Committee
 - g) Appointment of Statutory Officers
 - h) Delegation of functions to third parties
 - i) Establishment of Trading Companies
 - j) Any other matters reserved to the Board.
- 4.3.13 The Combined Authority shall exercise the general power of competence in relation to any of its functions after having due regard to the advice of the Monitoring Officer and Chief Finance Officer.
- 4.3.14 The Combined Authority Board exercises the right to call for consideration any decision taken by a thematic committee in line with the process and grounds set out in the constitution and subject to the statutory powers of the Overview & Scrutiny Committee, if they believe that decision has not taken into account:
- a) the level of expenditure
 - b) potential for reputational risk; and/or
 - c) politically contentious nature of a decision when:
 - taking a decision as part of implementing a strategy approved by Board
 - taking operational decisions within Policy & Budget Framework
 - approval of items included within an approved Medium Term Financial Plan
 - approval of applications to bid for external funding opportunities where they are within the Combined Authority strategic framework.
- 4.3.15 Combined Authority Board Member(s) should notify the Monitoring Officer within two working days of the decision being taken if they wish to undertake such consideration.

4.4 Voting

- 4.4.1 Voting arrangements are set out in [Chapter 7 - Boards and Committees](#)

4.5 Membership of the Combined Authority Board

- 4.5.1 The Combined Authority Board consists of the Members as set out below:
- a) The Mayor, or Deputy Mayor acting in the Mayor's absence
 - b) An elected Member appointed by each of the Constituent Councils or Substitute

Members acting in their place

- c) A Representative of the Business Panel or Substitute Members acting in their place
- d) Co-opted Members (non-voting) invited to attend who shall be present to contribute on issues related to the organisation they represent.

- 4.5.2 If a Member fails throughout a period of six consecutive months from the date of their last attendance to attend any meeting of the authority, unless the failure was due to some reason approved by the authority before the expiry of that period, they cease to be a Member of the Board.

4.6 Executive Bodies

- 4.6.1 The Combined Authority Board has the power to delegate its functions, which are not reserved to it, to Committees, Sub-Committees, Officers, Joint Committees or other Local Authorities. The Board cannot delegate its functions to individual members of the Board.

4.7 Working Groups

- 4.7.1 The Combined Authority may establish informal working groups. These groups will be non-decision-making groups of Officers and Members.

4.8 Membership

- 4.8.1 The Combined Authority shall appoint the membership of the thematic committees, sub-committees, joint committees and working groups, including the appointment of the Chair, Substitute Members and any Co-opted Members. In accordance with [Chapter 3 - The Mayor of the Combined Authority](#), the Mayor shall nominate the membership and chairs of the thematic committees to the Board for approval.
- 4.8.2 The political balance rules apply to all committees, sub-committees and joint committees where political groups are formed. Where political groups are not formed the Combined Authority has agreed that at least one member of a party not of the same political affiliation as the Mayor shall be appointed to all committees.
- 4.8.3 The Monitoring Officer has delegated authority to accept changes to membership of committees notified by Board members during the municipal year to ensure there is a full complement of members or substitute members at committee meetings. The new appointment shall take effect after the nomination has been approved by the Monitoring Officer.

4.9 Quorum

- 4.9.1 The quorum for the Combined Authority Board is at least five members. These five must include the Mayor or Deputy Mayor acting in the place of the Mayor and four members or substitute members, appointed by the constituent councils.

4.10 Access to Meetings

- 4.10.1 The Transparency Rules, Forward Plan and Key Decisions apply to all committees, sub-committees and joint committees (see [Chapter 6 - Decision Making](#); and [Chapter 10 - Access to Information, Information Governance, Data Protection and Complaints](#)). These rules do not apply to working groups and commissions.

CHAPTER 5:

STANDING ORDERS

5.1 Introduction

- 5.1.1 These procedure rules apply to Combined Authority Board meetings and, subject to the limitations set out in [Chapter 7 - Boards and Committees](#) of this Constitution to any committees or sub-committees of the Board.

5.2 Types of Meetings

There are three types of meeting:

- a) The Annual Meeting of the Combined Authority
- b) Ordinary meetings
- c) Extraordinary meetings.

5.3 Annual Meeting

The Combined Authority will normally hold an Annual Meeting (between 1 May and 30 June) following Constituent Councils' Annual Meetings.

The Annual Meeting will:

- i. note the appointment of Members of Constituent Councils and the Business Board (and their Substitute Members)
- ii. receive any declarations of interest from Members
- iii. approve minutes of the last meeting
- iv. appoint any or Co-opted Members
- v. appoint such thematic committees as the Combined Authority considers appropriate, their membership and the Chair and Vice-Chair
- vi. appoint the Overview and Scrutiny Committee and Audit and Governance Committee (including their terms of reference, size, the allocation of seats to political parties in accordance with the political balance requirements) in accordance with nominations received from Constituent Councils
- vii. appoint the Chair of the Audit and Governance Committee
- viii. confirm member appointments to outside bodies for the municipal year
- ix. receive annual reports of the Overview and Scrutiny and Audit and Governance committees
- x. receive annual reports on member attendance and development
- xi. agree the programme of the Ordinary Meetings of the Combined Authority for the forthcoming year, and appropriate advanced notification of other planned meetings of Committees; and
- xii. be followed by an Ordinary Meeting to consider any other business set out in the notice convening the meeting.

The Combined Authority Board may decide at subsequent meetings to dissolve Committees, alter their terms of reference or to appoint new Committees.

5.4 Ordinary Meetings

- 5.4.1 The Combined Authority Board will decide on the number of Ordinary Meetings to hold in each municipal year in addition to its annual meeting. Each meeting will be held at a time

and place as the Combined Authority decides.

5.4.2 The Monitoring Officer, after consultation with the Mayor and constituent authority members of the Board, may cancel, postpone or vary the day, hour or venue of a meeting, prior to the publication of the agenda, if they consider there is good reason to do so.

5.4.3 Ordinary Meetings will:

- i. approve the minutes of the last meeting
- ii. receive any declarations of interest from Members
- iii. receive any announcements from the Mayor
- iv. receive questions from, and provide answers to the public in accordance with Standing Order 5.18 below
- v. receive petitions in accordance with Standing Order 5.19 below
- vi. receive and consider reports from its Officers, Committees and Sub- Committees and working groups
- vii. deal with any business from the last Combined Authority meeting; and
- viii. consider motions on notice and any other business specified in the summons to the meeting.

5.4.3 Unless otherwise determined by statute, the Chair may vary the order of the agenda at their absolute discretion and may allocate or re-allocate an appropriate time for the transaction of each item.

5.4.4 If any issues arise at a meeting in relation to interpretation of the meeting procedure rules the Chair's decision shall be final.

5.5 Urgency

5.5.1 The Chair may determine that an item of business that has not been open to prior public inspection, should be considered at the meeting as a matter of urgency. Any urgent items shall comply with the Transparency Rules, the Forward Plan and Key Decisions (see [Chapter 6: Decision Making](#)).

5.6 Extraordinary Meetings

5.6.1 An Extraordinary Meeting of the Combined Authority may be called by:

- i. the Combined Authority by resolution
- ii. the Chair of the Combined Authority
- iii. the Chief Executive of the Combined Authority
- iv. the Monitoring Officer; or
- v. any three Members of the Combined Authority if they have signed a requisition presented to the Chair of the Combined Authority and the Chair has refused to call a meeting or has failed to call a meeting within seven days of the presentation of the requisition.

5.6.2 The business to be conducted at an Extraordinary Meeting shall be restricted to the items of business contained in the request for the Extraordinary Meeting and there shall be no consideration of previous minutes or reports from Committees etc. except that the Chair may at their absolute discretion permit other items of business to be added to the agenda for the efficient discharge of the Combined Authority's business.

5.7 Notice of Meetings and Agendas

5.7.1 Notice of meetings, agendas and reports will be published at least five clear working days in advance of a meeting, and in accordance with the Transparency Rules, the Forward Plan and Key Decisions (see [Chapter 6: Decision-Making](#) and [Chapter 10: Access to Information](#)).

5.8 Public Access

- 5.8.1 As set out in [Chapter 10: Access to Information, Information Governance, Data Protection and Complaints](#), every meeting of the Combined Authority shall be open to the public, except where the public are excluded during the whole or part of the proceedings in certain circumstances.
- 5.8.2 Copies of the agenda and any additional papers will be available for the public and media representatives.
- 5.8.3 All public meetings of the Authority will be webcast and the recordings will remain available, subject to the availability and proper functioning of webcasting equipment and the availability of appropriate staff.

5.9 Attendance

- 5.9.1 The Monitoring Officer shall record the attendance of each Member at the meeting.

5.10 Notice of Substitute Members

- 5.10.1 Substitute Members may attend meetings in that capacity only:
- a) to take the place of the Member for whom they are the designated substitute where the Member will be absent for the whole of the meeting
 - b) after they, or the Member they are substituting for, has provided the Monitoring Officer with notice of the substitution before the commencement of the meeting in question
 - c) where an adjourned meeting is reconvened, and it is essential for that Substitute Member to continue to attend to comply with good governance.
- 5.10.2 Substitute Members will have all the powers and duties of an ordinary Member of the Combined Authority for the duration of the meeting at which they act as Substitute but will not be able to exercise any other special powers or duties exercisable by the person for whom they are the Substitute.

5.11 Chair and Vice-Chair

- 5.11.1 From the point at which they take office, the Mayor will act as Chair to the Combined Authority. The Mayor shall appoint a statutory Deputy Mayor holding statutory powers as Vice-Chair of the Combined Authority.
- 5.11.2 If the Mayor resigns or the position is vacant, the statutory Deputy Mayor shall chair the Combined Authority Board.
- 5.11.3 Following the appointment of the Deputy Mayor as Chair, the Combined Authority must appoint a Vice-Chair from among its Members and the appointment is to be the first business transacted. If the Mayor has appointed a second Deputy Mayor, they shall be the Vice-Chair.
- 5.11.4 A person ceases to be Chair or Vice-Chair of the Combined Authority Board if they cease to be a Member of the Combined Authority.
- 5.11.5 If a vacancy arises in the office of Chair or Vice-Chair, an appointment to fill the vacancy is to be made at the next ordinary meeting of the Combined Authority Board, or, if that meeting is to be held within 14 days of the vacancy arising, at the following meeting. The appointment of Chair must be the first business transacted. The appointment of the Vice-Chair should be the first business transacted after the appointment of the Chair of the Board.

5.12 Quorum

- 5.12.1 No business shall be transacted at any meeting of the Combined Authority Board unless at least five Members are present at the meeting, and such members include:
- a) the Mayor, or the Deputy Mayor acting in place of the Mayor, and
 - b) at least four Members appointed by the Constituent Councils, or Substitute Members.

- 5.12.2 If the Mayor is not in post, or if for any reason
- a) the Mayor is unable to act, or the office of Mayor is vacant, and
 - b) the deputy Mayor is unable to act, or the office of deputy Mayor is vacant,
- no business shall be transacted at any meeting of the Combined Authority Board unless at least five Members of the Constituent Councils, or their Substitute Members, are present at the meeting.
- 5.12.3 Where the meeting has started and the membership falls to below quorum, the Mayor will adjourn the meeting and announce when it will be reconvened.

5.13 Declarations of Interest in Meetings

- 5.13.1 Where a Member attends a meeting of the Combined Authority Board, Committees or Sub-Committees they must declare personal interests and disclosable pecuniary interests not already notified in the register of interests as defined in the Members' Code of Conduct either at the start of the meeting, or otherwise as soon as the interest becomes apparent in the course of the meeting.
- 5.13.2 All Members and their Substitute Members, and Co-opted Members and their Substitute Members shall also complete a Declaration of Interest form.
- 5.13.3 In addition, where in relation to any meeting a Member has declared a disclosable pecuniary interest in a matter, the Member must leave the room for the duration of the discussion on that matter.

5.14 Rules of Debate

- 5.14.1 The Chair will be responsible for the management of the meeting and will introduce each item on the agenda in the order they appear on the agenda or such order as the Chair considers most effective for the conduct of the meeting.
- 5.14.2 The Chair may invite a Member or Officer to present the item for debate. An Officer includes a contractor for services whose work/contract is relevant to the item.
- 5.14.3 The Chair will decide the order in which speakers will be heard and may permit both Members and Officers to speak on the item.
- 5.14.4 Members will remain seated when speaking and must address the Chair.
- 5.14.5 Speeches must be directed to the subject under discussion or to a personal explanation or point of order.
- 5.14.6 The Chair shall at their discretion determine the time permitted for speeches and the number of speeches to be made by any Member or Officer.
- 5.14.7 A Member may move a motion without giving notice as required by paragraph 5.15 below based upon recommendations in a report or may move amended or alternative recommendations.
- 5.14.8 If an amendment is moved the mover of the original motion has the right of reply on the debate concerning the amendment.
- 5.14.9 The mover of the motion has a right of reply at the end of the debate immediately before it is put to the vote.

5.15 Motions Submitted in the Name of a Member

- 5.15.1 Any Member of the Board appointed by a Constituent Council may give notice of a motion for consideration at any ordinary meeting of the Combined Authority.
- 5.15.2 The Monitoring Officer shall only accept a notice of motion which relates to those matters for which the Combined Authority has powers, duties or responsibility, or which affect the area of the Combined Authority or part of it or its citizens. They shall keep a record of the date and time at which every motion is delivered to them.
- 5.15.3 The motion must not be:

- a) illegal, improper, defamatory, frivolous or offensive including if it makes unfair claims about Members of Combined Authority or Constituent Council staff
 - b) substantially the same as a motion which has been put at a meeting of the Combined Authority in the past year.
- 5.15.4 Unless the Chair of the Combined Authority Board is of the opinion that a motion should be considered as a matter of urgency, notice of every motion to be moved at any meeting of the Combined Authority Board shall be delivered to the Monitoring Officer in writing not later than 12:00 on the sixth working day before the day of the Combined Authority meeting, but not including the day of the meeting itself.
- 5.15.5 Motions will be listed on the agenda in the order of which notice is received by the Monitoring Officer unless the Member giving notice states that they propose to move it to a later meeting or withdraw it.
- 5.15.6 A Motion, or one reflecting an amendment in similar terms to one that was rejected at a Combined Authority Board meeting in the past six months cannot be moved unless notice is given under this Procedural Rule and the notice is signed by at least one half of the total number of Board Members. Once such a motion is dealt with no further motion or amendment can be moved within the succeeding six months.

5.16 Procedure for Motions

- 5.16.1 No speeches may be made after the mover has moved a proposal and explained the purpose of it until the motion has been seconded.
- 5.16.2 When seconding a motion (or amendment), a member may reserve their right to speak until later in the debate.
- 5.16.3 Any amendment shall be relevant to the motion and shall either:
 - a) refer the matter to the appropriate body or individual for consideration or reconsideration
 - b) leave out words
 - c) or insert or add words, as long as the amendment does not have the effect of negating the motion.
- 5.16.4 If an amendment is moved and seconded the mover of the amendment may speak in support of the amendment.
- 5.16.5 The seconder to the amendment can then speak or reserve their right to speak.
- 5.16.6 The amendment can then be debated.
- 5.16.7 The mover of the original motion has the right of reply to the amendment not the mover of the amendment. The mover of the original motion has no other right to speak on the amendment.
- 5.16.8 The amendment is put to the vote. If lost, the original motion remains before the Board. If carried, the original motion as amended becomes the substantive motion before the Board, replacing the original motion.
- 5.16.9 Further amendments may be moved to the motion (original or substantive) and should be dealt with as above.
- 5.16.10 As a general rule, it is advisable to deal with amendments separately. This avoids confusion. However, exceptionally, where two amendments are similar, they can be debated together in the interests of time efficiency at the meeting. Voting should however be conducted separately on each amendment.
- 5.16.11 At the end of the debate on the original motion the mover of the original motion has the right of reply. The mover of the original motion has the right of reply at the close of the debate on the amendment but may not otherwise speak on it. The mover of the amendment has no right of reply to the debate on their amendment.

- 5.16.12 When the debate is completed the final substantive motion must be moved, seconded and subjected to a vote.
- 5.16.13 Where notice of a motion has been given and has been included on the agenda for a meeting of the Combined Authority, but the motion has not been moved and seconded (for whatever reason) that motion shall lapse.
- 5.16.14 Where a meeting of the Combined Authority is cancelled, postponed or adjourned to a later date any unconsidered motions will be considered at the next ordinary meeting of the Combined Authority Board or at a later meeting selected by the Member proposing the motion.

5.17 Voting

General Voting

- 5.17.1 Each member, or substitute member acting in that member's place, is to have one vote and no member is to have a casting vote. A "member" includes:
- a) the Mayor or the deputy Mayor acting in place of the Mayor;
 - b) a constituent member or a substitute member acting in that member's place;
 - c) A Member appointed from the Business Board on appropriate matters.
- 5.17.2 Except decisions to which special voting arrangements apply, all decisions of the Board shall be decided by a majority of voting Members, subject to that majority including the vote of the Mayor, or the Deputy Mayor acting in place of the Mayor.
- 5.17.3 If a vote is tied it is deemed not to have been carried.
- 5.17.4 If there is a deadlock, the matter shall be brought back to the next meeting of the Combined Authority Board.
- 5.17.5 The proceedings of the Combined Authority are not invalidated by any vacancy among its Members or Substitute Members or by any defect in the appointment or qualifications of any Member or Substitute Member.
- 5.17.6 If for any reason:
- a) the Mayor is unable to act, or the office of Mayor is vacant, and
 - b) the deputy Mayor is unable to act, or the office of deputy Mayor is vacant, the other members of the combined authority must act together in place of the Mayor taking decisions by a simple majority.

Special Voting

- 5.17.7 A decision on a question relating to:
- a) the Transport Plan
 - b) any spending plans or plans for the allocation of transport-related funding
- requires a vote in favour, by at least two-thirds of all Members (or their Substitute Members) appointed by the Constituent Councils present and voting to include the Members appointed by Cambridgeshire County Council and Peterborough City Council, or their Substitute Members.

Voting on Mayoral Matters

- 5.17.8 A decision on a question relating to a proposal by the Mayor to exercise the general power of competence which involves:
- a) property, rights and liabilities passing between the Combined Authority and any Constituent Authorities; or
 - b) the preparation and publication of the Mayor's strategy for spatial development in the Combined Authority area

requires a unanimous vote by all Members of the Combined Authority appointed by the Constituent Councils (or their Substitute Members).

- 5.17.9 A decision to reject the Mayoral budget, Mayoral strategy or Mayoral spending plan requires a vote in favour by at least two-thirds of all Members appointed by Constituent Councils (or their Substitute Members). The two-thirds must be present and voting.

Recorded Votes

- 5.17.10 A Member may ask prior to the vote or immediately after the vote is taken, that their vote is recorded in the minutes of the relevant meeting.
- 5.17.11 Where Members vote on the budget, the vote will be recorded.
- 5.17.12 On the request of any Member of the Authority, supported by two other Members appointed by separate Constituent Councils before a vote is taken, the voting on any question shall be recorded so as to show whether each Member present gave their vote for, abstained or against that question or did not vote

Voting on Appointments

- 5.17.13 If there are more than two people nominated for any position to be filled and there is not a clear majority of votes in favour of one person, then the name of the person with the least number of votes will be taken off the list and a new vote taken. The process will continue until there is a majority of votes for one person.

5.18 Minutes

- 5.18.1 The minutes of the proceedings of each meeting of the Combined Authority Board, or any Committee or Sub-Committee of the Combined Authority Board, shall be retained by the Combined Authority and shall include the names of Members and Substitute Members present at any meeting.
- 5.18.2 The minutes must be signed at the next ordinary meeting of the Combined Authority by the Chair. No discussion shall take place upon the minutes except about their accuracy. Where accuracy is questioned, this must be by a motion which is proposed, seconded, debated and voted upon. Any signed minutes are to be received in evidence without further proof. Clerical or typographical errors that do not effect the substance of the minutes may be corrected by the Monitoring Officer with the agreement of the Chair, without the need for a formal motion.
- 5.18.3 Until the contrary is proved a meeting of the Combined Authority Board or its Committees or Sub-Committees, a minute of whose proceedings has been signed in accordance with paragraph 5.17.2, is deemed to have been duly convened and held, and all the Members and Substitute Members present at the meeting are deemed to have been duly qualified.

5.19 Questions by the Public and Members

- 5.19.1 Elected Members of the Constituent Authorities, as well as members of the public who are residents of the Combined Authority area or work in the area, may ask questions of a Member of the Combined Authority at Combined Authority Board meetings, including at an Extraordinary Meeting, or at a Thematic Committee. For Extraordinary Meetings, the question must relate to the item on the agenda.
- 5.19.2 A question may only be asked if it has been submitted in writing or by electronic mail to the Monitoring Officer not later than 12:00 on the third working day before the day of the meeting and is accepted by the Monitoring Officer according to paragraph 5.18.5 below.
- 5.19.3 Each question must give the name and address and contact details of the questioner, the name of the organisation if the question is being asked on their behalf, details of the question to be asked, and the name of the Member of the Combined Authority Board to whom it is to be put.
- 5.19.4 At any one meeting, no person, or body or organisation if the question is submitted on its behalf, may submit more than one question. The only exception to this is that Board Members may submit up to two questions.

- 5.19.5 The Monitoring Officer will not accept any question which:
- a) is not about a matter for which the Combined Authority has a responsibility, or which affects its area
 - b) is illegal, improper, defamatory, frivolous or offensive including if it makes unfair claims about Members of the Combined Authority or Combined Authority staff
 - c) is substantially the same as a question which has been put at a meeting of the Combined Authority Board or a thematic committee in the past year
 - d) is substantially the same as a question which has been put at a meeting of the Combined Authority Board by the Chair of the Overview and Scrutiny Committee; or
 - e) requires the disclosure of confidential or exempt information
- 5.19.6 Questioners can attend the meeting in person or remotely to ask their question. Where remote attendance is requested, if access fails during a meeting an officer will read the question.
- 5.19.7 The total time allocated for questions by the public and Members shall normally be limited to a maximum of 30 minutes, but the Chair shall have the discretion to add a further 15 minutes.
- 5.19.8 Questions will be taken at the meeting in the order in which they were received.
- 5.19.9 The Chair will invite the questioner to put the question to the Member named in the notice. Up to two minutes are allowed for putting the question.
- 5.19.10 Unless due to time shortage and the need to answer other questions means there is insufficient time for supplementary questions, a questioner may also put one supplementary question without notice to the Member who has replied to their original question. A supplementary question must arise directly out of the original question or the reply and must not introduce new material. One minute is allowed for putting the supplementary question.
- 5.19.11 No debate will be allowed on the question or response.
- 5.19.12 Any question which cannot be dealt with because of lack of time will be dealt with by a written answer.
- 5.19.13 The Monitoring Officer shall record the question and will send a copy to the Member to whom it is to be put. Rejected questions will be recorded including the reasons for rejection.
- 5.19.14 Copies of questions will be circulated to all Members and published within the agenda on the Combined Authority website. Following the meeting, copies of the responses will be sent to the persons who submitted the questions and will be added to the Combined Authority website.

5.20 Petitions from the Public

- 5.20.1 The authority will treat something as a petition if it is identified as being a petition, or if it appears to be intended to be a petition, and it meets the criteria set out below.
- 5.20.2 The petition must relate to functions for which the Combined Authority has powers or duties
- 5.20.3 Paper petitions can be sent to: Democratic Services, Cambridgeshire and Peterborough Combined Authority, 2nd floor, Pathfinder House, St Mary's Street, Huntingdon, Cambs, PE29 3TN
- 5.20.4 Electronic petitions will also be accepted. These should be either submitted using the [ePetitions](#) facility or submitted as one document, containing either all the local persons' individual e-mails received by the organiser on a specific date, and those individual's names and addresses, or if a standard template e-mail has been used, the list of names, postal addresses and e-mail addresses of those supporting the petition. These petitions should be sent to democratic.services@cambridgeshirepeterborough-ca.gov.uk.
- 5.20.5 Petitions submitted to the Combined Authority must include the following:
- a) a clear statement of the petitioners concerns and what they want the Combined

Authority to do.

- b) the name and contact details of the petition organiser; this should be a local person*. This is the person we will contact to explain how we will respond to the petition and to discuss matters of process.
- c) the name and postcode of each local person* who signs it. This will help the Combined Authority assess the extent to which the views expressed represent a particular locality. Where the petition is in paper form, this should include an actual signature. Where the petition is submitted in electronic form, a list of the names and post codes will suffice

5.20.6 The Monitoring Officer will refuse any petition which:

- a) Discloses matters which are personal or confidential
- b) Is deemed to be libellous, rude, offensive, vexatious, abusive or otherwise inappropriate, or is in breach of the Combined Authority's duties in respect of equality, diversity or inclusion
- c) Is submitted on behalf of a business, or person, where the main purpose of the petition is to influence a forthcoming commercial decision of the Combined Authority, or the terms and conditions of a commercial transaction
- d) Is a duplicate petition. Where more than one petition is received in time for a particular meeting, each supporting the same or similar outcomes, each petition organiser will be treated as an independent petition organiser, but only the organiser of the first petition to be received will be invited to address the relevant meeting.
- e) Is a repeat petition. Petitions will not normally be considered within twelve months of another petition on the same or similar matter having been considered by the Combined Authority
- f) Where, in relation to a hard copy petition which has wet ink signatures, the title of the petition is not contained on every page containing the signatures

Where any of the above applies, an officer will contact the petition organiser to explain the reasons behind the decision.

5.20.7 When a petition is received, the Combined Authority may consider undertaking one or more of the following actions:

- a) Taking action as requested in the petition
- b) (through its officers) meeting with petitioners
- c) Referring the petition to the Combined Authority Board or one of its committees

[Petitions with 500 or More Signatures](#)

5.20.8 Petitions with at least 500 signatures may be presented to the Combined Authority Board.

5.20.9 The person presenting the petition will be allowed to address the meeting briefly (not exceeding three minutes) to outline the aims of the petition. The Chair will refer the matter to another appropriate body or to the Chief Executive, unless a relevant item appears elsewhere on the agenda.

5.20.10 A petition should be received by the Monitoring Officer not later than 12:00 on the third working day before the day of the meeting.

[Review of Petition Handling](#)

5.20.11 If the petition organiser considers that the Combined Authority has not dealt with the petition properly, they have the right to request that the Chief Executive (or a senior officer nominated by the Chief Executive) reviews the steps that the Combined Authority has taken in dealing with and responding to the petition.

5.20.12 The petition organiser should write to the Chief Executive by no later than 14 days after the Combined Authority's response, providing a short explanation of the reasons why the

Combined Authority response is not considered to be adequate. The Chief Executive (or the senior officer nominated by the Chief Executive) will initially acknowledge the request as soon as possible and will endeavour to respond substantively within 10 working days of receipt of the written request.

5.21 Attendance by Committee or Subcommittee Chairs

5.21.1 The Chair of any of the Authority's committees or sub-committees may be invited to attend and speak at any meeting of the Authority to:

- present any reports or recommendations of that committee or sub-committee; or
- answer questions about any matter set out in the minutes of that committee or sub-committee; or
- contribute to discussion about any matter which is relevant to the functions discharged by the committee or sub-committee of which they are Chair.

5.22 Conduct at Meetings

5.22.1 If a Member persistently disregards the ruling of the Chair by behaving improperly or offensively or deliberately obstructs business, the Chair or another Member may move that the Member is not heard further. If seconded, the motion will be voted on without discussion.

5.22.2 If the Member continues to behave improperly after such a motion is carried, the Chair or another Member may move that either the Member leaves the meeting or that the meeting is adjourned for a specified period. If seconded, the motion will be voted on without discussion.

5.22.3 If there is a general disturbance making orderly business impossible, the Chair may adjourn the meeting for as long as they think necessary.

5.22.4 If a member of the public interrupts proceedings, the Chair will warn the person concerned. If they continue to interrupt, the Chair will order their removal from the meeting room.

5.22.5 If there is a general disturbance in any part of the meeting room open to the public, the Chair may call for that part to be cleared.

5.23 Suspension of Procedure Rules

5.23.1 All of these procedure rules except those provided for in statute may be suspended by motion on notice or without notice. Suspension can only be for the duration of the meeting and requires a two-thirds majority of those present and voting.

5.24 Strategic Policy Debates

5.24.1 The Mayor, after consultation with the Chair, Board Members, Chairs of the Overview and Scrutiny Committee, Audit and Governance Committee and the Group Leaders, shall identify those issues of strategic policy which shall be the subject of debate by the Combined Authority.

5.24.2 A meeting which could also take place remotely can be scheduled to debate these policies.

5.24.3 The conduct of strategic policy debates shall be regulated by the Mayor, subject to the following guidelines:

- a) The policy must relate to the Authority's powers or duties or be matters that affect its residents.
- b) All members will, wherever possible, receive a briefing paper in advance of the meeting on the policy to be subject of debate.
- c) (Rules of Debate) shall not apply during strategic policy debates but the time allowed for the debate shall not normally exceed 45 minutes.
- d) The Chief Executive, after consultation with the Mayor, shall be authorised to invite representatives of constituent authorities or of partner organisations to participate in the debate, as appropriate.

- e) No formal decisions shall be taken upon the matter under consideration but the views and conclusions of the Board upon the matter shall be forwarded to the relevant body responsible for policy development/review, as appropriate.

5.25 Links with Overview and Scrutiny

- 5.25.1 The Overview and Scrutiny Committee has a standing item on their agenda to consider upcoming CA Board and Thematic Committees Forward Plans and discuss and formally agree, by means of a vote, any recommendations or questions to be raised at the forthcoming meetings.
- 5.25.2 Following discussion with officers and relevant board members, any questions/recommendations shall be raised at the next Combined Authority Board meeting by the Chair or Vice Chair of the Overview and Scrutiny Committee (or the Scrutiny Officer if neither is available). Questions/recommendations for Thematic Committees shall be raised at their next meeting by the relevant Overview and Scrutiny Rapporteur.

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CHAPTER 6:

DECISION-MAKING

6.1 Introduction

- 6.1.1 All decisions of the Authority should be made in accordance with the following principles:
- a) Proportionality (meaning the action must be proportionate to the results to be achieved)
 - b) Due consultation (including the taking of relevant professional advice);
 - c) Respect for human rights
 - d) Presumption in favour of openness and complete transparency and an expectation that reports will be drafted so that, wherever practicable, any exempt information is extracted and placed in a separate appendix in order that the remainder of the report may be considered in open session.
 - e) Clarity of aims and desired outcomes.
 - f) Consideration to be given to all options to guard against any form of predetermination in any decision-making process; and
 - g) The public sector equality duty
 - h) Consideration of the outcome of any consultation
 - i) Only relevant matters to be taken into account
 - j) Due weight to be given to all material considerations
 - k) Lawfulness and financial propriety
 - l) All decisions should be evidence-based.

6.2 Scrutiny of Decisions

- 6.2.1 An Overview and Scrutiny committees has been appointed by the Authority to scrutinise decisions taken by the Executive. The responsibilities and terms of reference of this committees are described in [Chapter 14: Overview & Scrutiny Committee](#) of the constitution. The Overview and Scrutiny committee will follow the Overview and Scrutiny Procedure Rules as set out in this chapter.

6.3 Key Decisions

- 6.3.1 A “key decision” means a decision, which in the view of the Overview and Scrutiny Committee is likely to:
- a) result in the Combined Authority spending or saving a significant amount, compared with the budget for the service or function the decision relates to; or
 - b) 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.
- 6.3.2 When assessing whether or not a decision is a key decision, Members must consider all the circumstances of the case. However, a decision which results in a significant amount spent or saved will not generally be considered to be a key decision if that amount is less than £500,000.
- 6.3.3 A key decision which is considered to have a ‘significant’ effect on communities should usually be of a strategic rather than operational nature and have an outcome which will have an effect upon a significant number of people living or working in the area and impact upon:
- a) the amenity of the community or
 - b) the quality of the service provided by the Authority

6.3.4 Subject as below, a key decision may not be taken by the decision maker unless:

- a) it is in the Forward Plan on the Combined Authority's website
- b) at least 28 clear days' notice has been given, or if this is impracticable, the decision has complied with the provisions set out in paragraph 6.3 or 6.4 below as they may apply; and
- c) notice of the meeting has been given in accordance with these rules

6.4 The Forward Plan

6.4.1 The Forward Plan will be prepared by the Mayor in consultation with the Chief Executive and published by the Monitoring Officer at least 28 clear days before the date of the meeting to which it refers.

6.4.2 The Forward Plan will include matters which are key decisions to be taken by the Combined Authority, its Committee or Sub-Committees, the Mayor, an Officer, or a Joint Committee when discharging their functions. It will include if the information is available or might reasonably be obtained:

- a) that a key decision is to be made on behalf of the Combined Authority
- b) the matter about which a decision is to be made; where the decision taker is an individual, his/her name and title, if any; and, where the decision taker is a body, its name and details of its membership.
- c) the date on which, or period within which, the decision will be taken.
- d) a list of the documents submitted to the decision maker for consideration about that matter.
- e) the address from which copies of any document listed is available, subject to any prohibition or restriction on their disclosure.
- f) that other documents relevant to those matters may be submitted to the decision maker;
- g) the procedure for requesting details of those documents (if any) as they become available.
- h) whether the decision proposed to be taken will include confidential or exempt information and require the meeting to be private to consider the item, either in full or in part, and the relevant exemption category.

6.4.3 Where any matter involves the consideration of exempt information or confidential information (as defined above) or the advice of a political adviser or assistant, a summary of the matter shall be included in the Forward Plan but the exempt or confidential information or the advice, need not be included.

6.5 General Exception

6.5.1 Where publication of the intention to make a key decision is impractical, the decision may still be taken if:

- a) the Monitoring Officer has informed the Chair of the Overview and Scrutiny Committee (or if there is no such person, each Member of the Overview and Scrutiny Committee) by written notice of the matter to which the decision is to be made, including why compliance with the requirement to provide at least 28 clear days' notice was not practical in that case.
- b) the Monitoring Officer has made copies of that notice available to the public at the Combined Authority's office and its website, and
- c) at least five clear days have elapsed since the Monitoring Officer complied with a) and

b) above.

6.6 Special Urgency Decision

6.6.1 Where the date by which a key decision must be taken means the General Exception rule cannot be followed, then the decision can only be taken where the decision maker has obtained agreement from:

- a) the Chair of the Overview and Scrutiny Committee; or
- b) if there is no such person or the Chair of the Overview and Scrutiny Committee is unable to act, then the agreement of the Mayor; or
- c) where there is no Chair of either, the Vice-Chair of the Board
- d) that the making of the decision is urgent and cannot reasonably be deferred.

6.6.2 As soon as reasonably practicable after agreement has been given, a notice must be available to the public at the Combined Authority's Offices and on its website, setting out the reasons for urgency and why the decision could not reasonably be deferred.

6.7 Recording of Decisions Made by Officers and the Mayor

6.7.1 Where an officer or the Mayor makes a decision, including under specific delegation from a meeting of a decision-making body, the effect of which is:

- a) to grant a permission or licence
- b) to affect the rights of an individual; or
- c) to award a contract or incur expenditure which, in either case, materially affects the Combined Authority's financial position

6.7.2 The decision-making officer must produce a written record of the decision as soon as reasonably practicable after the decision has been made which must contain the following information:

- a) the date the decision was taken
- b) a record of the decision taken along with reasons for the decision
- c) details of alternative options, if any, considered and rejected; and
- d) where the decision was made under specific delegation from a decision-making body, the names of any member of the relevant body who has declared a conflict of interest

6.7.3 The Combined Authority has determined that where the effect of an officer decision is to award a contract or incur expenditure, the value of the contract or expenditure above which it is to be considered as materially affecting the Combined Authority's position is to be £250,000.

6.7.4 The duty imposed by Procedure Rule 6.5.1 above is satisfied where, in respect of a decision, a written record, containing the date the decision was taken and the reasons for the decision, is already required to be produced in accordance with statute, and the duty does not require administrative and operational decisions to be recorded.

6.7.5 All written records produced in accordance with Procedure Rule 6.5.1 above, together with any background papers, must as soon as reasonably practicable after the record is made, be made available for inspection by members of the public:

- a) at all reasonable hours, at the offices of the Combined Authority; and on the Combined Authority's website.

6.7.6 All written records produced in accordance with Procedure Rule 6.1 above must be retained and made available for inspection by the public for a period of six years beginning with the date on which the decision, to which the record relates, was made.

6.7.7 Any background papers must be retained and made available for inspection by the public for

a period of four years beginning with the date on which the decision, to which the background papers relate, was made.

- 6.7.8 Nothing in Procedure Rules 6.5.1 to 6.5.7 requires the disclosure of exempt or confidential information.

6.8 Budget Framework Procedure Rules

Introduction

- 6.8.1 The Budget Framework is the name given to the procedures that must be followed before the budget is finally approved. These rules set out how the Combined Authority will make decisions on the budget.

- 6.8.2 Once the budget is in place it is the responsibility of the Combined Authority Board or the Mayor to implement.

- 6.8.3 The Budget Framework will comprise the following:

Mayor's General Functions Budget

- 6.8.4 The costs of the Mayor that are incurred in, or in connection with, the exercise of Mayoral functions is to be met from precepts issued by the authority under [section 40 of the Local Government Finance Act 1992](#), unless funded from other sources.

- 6.8.5 The Mayor may make a bid for gain share funds as part of his/her proposed budget which may or may not be agreed by the Combined Authority Board.

- 6.8.6 The Mayor must, before 1 February in any financial year, notify the Combined Authority of the Mayor's draft budget in relation to the following financial year.

- 6.8.7 The draft budget must:

- a) set out the Mayor's spending plans and how the Mayor intends to meet the costs of the Mayor's general functions; and
- b) include the relevant amounts and calculations.

- 6.8.8 The Combined Authority Board must review the Mayor's draft budget and may make a report to the Mayor on the draft budget. Any report:

- a) must set out whether or not the Combined Authority would approve the draft budget in its current form; and
- b) may include recommendations, including recommendations as to the relevant amounts and calculations that should be used for the financial year.

- 6.8.9 The Mayor's draft budget shall be deemed to be approved by the Combined Authority unless the Board makes a report to the Mayor before 8 February.

- 6.8.10 Where the Combined Authority Board makes a report, it must specify a period of at least five working days beginning on the day after the day on which the Mayor receives the report within which the Mayor may:

- a) decide whether or not to make any revisions to the draft budget and
- b) notify the Combined Authority Board of the reasons for that decision and, where revisions are made, the revised draft budget.

- 6.8.11 When the period specified by the Combined Authority Board in paragraph 6.6.10 above has expired the authority must determine whether to:

- a) Approve the Mayor's draft budget (or revised draft budget); or
- b) veto the draft budget (or revised draft budget) and approve the Mayor's draft budget incorporating the Combined Authority's recommendations contained in the report to the Mayor.

- 6.8.12 The Mayor's draft budget (or revised draft budget) shall be deemed to be approved unless vetoed within the period of five working days beginning with the day after the date on which the period specified in 6.6.10 above expires.
- 6.8.13 Any decision to veto the Mayor's draft budget (or draft revised budget) and approve the Mayor's draft budget incorporating the Combined Authority's recommendations contained in the report to the Mayor must be decided by a two-thirds majority of the Members, or Substitute Members acting in their place, of the Combined Authority Board present and voting on the question at a meeting of the authority.
- 6.8.14 Where the Mayor has failed to notify the Combined Authority Board of the Mayor's draft budget before the 1 February, then the Combined Authority Board must determine the relevant amounts and calculations that are to be used for the financial year.
- 6.8.15 Any decision under 6.6.14 above must be decided by a two-thirds majority of the Members, or Substitute Members acting in their place, of the Combined Authority Board present and voting on the question at a meeting of the Board.
- 6.8.16 Immediately after any vote is taken, there must be recorded in the minutes of the proceedings of that meeting the names of the persons who cast a vote for the decision or against the decision or who abstained from voting.

Mayor's General Fund

- 6.8.17 The Mayor must keep a fund (to be known as the Mayor's general fund) in relation to receipts arising, and liabilities incurred, in the exercise of the Mayor's general functions.
- 6.8.18 All of the Mayor's receipts in respect of the exercise of the Mayor's general functions must be paid into the Mayor's general fund.
- 6.8.19 All of the Mayor's expenditure in respect of the exercise of the Mayor's general functions must be paid out of the Mayor's general fund.
- 6.8.20 The Mayor must keep accounts of payments made into or out of the Mayor's general fund.

Combined Authority Budget

- 6.8.21 Each year, the Chief Executive and Chief Finance Officer shall prepare a draft budget for the Combined Authority, consistent with statutory requirements and principles of sound financial management. The draft Budget shall include all aspects of Combined Authority expenditure and income for the forthcoming financial year, irrespective of the source of income, and of the powers under which expenditure is brought forward. The draft Budget shall also be prepared in the context of the Investment Plan.
- 6.8.22 If any part of the draft Budget proposes expenditure incurred in, or in connection with, the exercise of Mayoral functions defined under the [Combined Authorities \(Finance\) Order 2017](#), which cannot be met through other sources, and where this position is confirmed by the Monitoring Officer and Chief Finance Officer, the draft Budget may set out a proposal to precept the constituent authorities, under [section 40 of the Local Government Finance Act 1992](#). Otherwise, the draft Budget shall confirm that a precept is not proposed.
- 6.8.23 The draft Budget shall be submitted to the Combined Authority Board for consideration and approval for consultation purposes only, before the end of December each year. The Combined Authority Board will also agree the timetable for consultation and those to be consulted. The consultation period shall not be less than four weeks, and the consultees shall include Constituent Authorities and the Overview and Scrutiny Committee.
- 6.8.24 Before 1 February, having taken into account the draft Budget, the consultation responses, and any other relevant factors, the proposed budget for the following financial year, including the Mayor's budget, shall be submitted to the Combined Authority Board.
- 6.8.25 Within five working days, the Combined Authority Board shall meet to consider the Budget. A report may be agreed by a majority of the Combined Authority to:
- a) approve the budget as proposed; or

- b) propose amendments to the budget; and
- c) if amendments are proposed to the Mayor's budget, agree a date, at least five working days from the date the report is published, for a further meeting to re-consider the budget.

Mayor's Consideration of Report

- 6.8.26 If the Board propose changes to the Mayor's budget, the Mayor shall publish a report in advance of the meeting responding to the proposals set out by the Combined Authority Board. The report may support some or all of the proposals made by the Board with reasons why the Mayor supports or rejects those proposals. The draft budget shall be amended to reflect any proposals which are supported by the Mayor.

Combined Authority Board's Decision on Budget

- 6.8.27 The draft Budget shall be further considered at the meeting established under 6.6.25 (c) above. A two-thirds majority of the Members (six Members), or Substitute Members acting in their place, of the Combined Authority Board present and voting on the question may decide to reject the Mayor's budget and approve the draft Budget incorporating the Combined Authority's recommendations contained in the report to the Mayor. Otherwise, the draft budget is approved.
- 6.8.28 Immediately after any vote is taken at a meeting established under 6.6.25 (c), there must be recorded in the minutes of the proceedings of that meeting the names of the persons who cast a vote for the decision or against the decision or who abstained from voting.
- 6.8.29 A notice of the decision will be prepared by the Chief Finance Officer and given to each Constituent Authority.

Decisions that Contravene the Budget or the Plans or Strategies in the Policy Framework

- 6.8.30 Financial Regulations contain provisions allowing virement. Subject to those provisions, the Mayor, the Combined Authority Board, Committees of the Combined Authority Board and/or any Officers or Joint Committees discharging functions are only authorised to take decisions in line with the approved Budget and/or the approved plans or strategies in the Policy Framework set out in [Chapter 4 - Combined Authority Board Functions](#), paragraph 1. Only the Combined Authority Board can take a decision that wholly or in part does not accord with the approved Budget or plans or strategies in the Policy Framework.
- 6.8.31 Decision makers must take the advice of the Monitoring Officer and/or Chief Finance Officer where it appears to them that a decision they wish to make would be contrary to the approved plans or strategies in the Policy Framework or not wholly in accordance with the approved Budget. Where advice is given that the decision would be contrary to the approved plans or strategies in the Policy Framework or not wholly in accordance with the Budget then that decision must be referred to the Combined Authority Board.
- 6.8.32 Decisions of the Combined Authority Board, its Committees, Sub-Committees or a Joint Committee or Officers, must be in line with the policies set by the Combined Authority Board. These decision makers may only make changes to any of the policies in the Policy Framework in the following circumstances:
- a) where the Combined Authority has a budgetary constraint and changes are made to the policies in the Policy Framework to meet that constraint. This may involve the closure or discontinuance of a service
 - b) changes necessary to ensure compliance with the law, ministerial direction or government guidance; or
 - c) changes to a policy which would normally be agreed annually or periodically by the Mayor or Combined Authority Board following consultation, but where the existing policy document is silent on the matter under consideration.

CHAPTER 7:

BOARDS AND COMMITTEES

7.1.1 Access to Meetings

- 7.1.1 The rules outlined in [Chapter 10: Access to Information, Information Governance, Data Protection and Complaints](#) apply to all committees, sub-committees and joint committees.

7.1.2 Membership

- 7.2.1 The membership of committees is set out in its terms of reference.
- 7.2.2 If a member fails throughout a period of six consecutive months from the date of their last attendance to attend any meeting of the committee, then, subject to certain exceptions, they cease to be a member of the committee.
- 7.2.3 A person will cease to be a member or a substitute member of a Thematic Committee if they cease to be a Member of the Constituent Council that nominated or appointed them. The Combined Authority Board Member shall appoint or nominate a replacement as soon as possible.
- 7.2.4 A member or substitute member may resign by giving written notice to the Monitoring Officer, and the resignation takes effect on the receipt of the notice.
- 7.2.5 The relevant Combined Authority Board Member shall at any time be entitled to terminate the appointment of a member or substitute member nominated by them and replace that member or substitute Member.
- 7.2.6 The Combined Authority Board Member must give written notice of the new nomination and the termination of the previous nomination to the Monitoring Officer. The termination will take effect immediately.
- 7.2.7 The Monitoring Officer has delegated authority to accept changes to membership of committees notified by Board members during the municipal year to ensure there is a full complement of members or substitute members at committee meetings. The new appointment shall take effect after the nomination has been approved by the Monitoring Officer and shall be reported to the following meeting of the Board for ratification.

7.3 Quorum

- 7.3.1 No business is to be transacted at a meeting of the Committee unless at least two-thirds of the total number of Members on the Committee are present.

7.4 Chair and Vice-Chair

- 7.4.1 The Combined Authority Board shall appoint the Chair on the recommendation of the Mayor. The committee shall appoint a vice chair at their first meeting each municipal year.
- 7.4.2 Committee Chairs have a role in leading the development of future policy and budget allocations for approval at the Board or the committee. They work directly with officers to give guidance in the development of future policy.

7.5 General Voting

- 7.5.1 Each voting Member shall have one vote. There shall be no casting vote. A "Member" includes:
- (a) the Mayor (or deputy Mayor acting in his/her place) where the Mayor has accepted an appointment on the committee; and
 - (b) a Constituent Council Member (or his/her nominee) or a Substitute Member acting in that Member's place.
- 7.5.2 Except decisions to which special voting arrangements apply, all decisions of the committee

shall be decided by a majority of voting members, subject to that majority including the vote of the Mayor, or the Deputy Mayor acting in place of the Mayor.

- 7.5.3 If a vote is tied it is deemed not to have been carried.
- 7.5.4 If there is a deadlock, the matter shall be referred up to the next meeting of the Combined Authority Board.
- 7.5.5 The proceedings of the committee are not invalidated by any vacancy among its Members or Substitute Members or by any defect in the appointment or qualifications of any Member or Substitute Member.
- 7.5.6 If for any reason:
 - (a) the Mayor is unable to act or the office of Mayor is vacant, and
 - (b) the deputy Mayor is unable to act or the office of deputy Mayor is vacant,or
 - (c) the Mayor has decided not to take place on a committee the other members of the combined authority must act together in place of the Mayor taking decisions by a simple majority.

7.6 Special Voting

- 7.6.1 Special voting arrangements are set out, [Chapter 5: Standing Orders](#) paragraph 5.17.7 – 5.17.8 of the constitution.
- 7.6.2 A decision on a question relating to:
 - (a) the Transport Plan;
 - (b) any spending plans or plans for the allocation of transport-related funding;requires a vote in favour, by at least two-thirds of all Members (or their Substitute Members) appointed by the Constituent Councils to include the Members appointed by Cambridgeshire County Council and Peterborough City Council, or their Substitute Members.

7.7 Recorded Votes

- 7.7.1 A Member may ask immediately after the vote is taken, that their vote is recorded in the minutes of the relevant meeting.

7.8 Reference up to the Combined Authority Board

- 7.8.1 Where a majority of members consider appropriate, a matter on the agenda may be referred for decision by the Combined Authority Board. The report together with the committee's recommendations will be placed on the agenda of the next meeting of the Combined Authority Board for decision.

7.9 Minutes and Call-in of Committee Decisions

- 7.9.1 The Monitoring Officer shall publish details of decisions of the committee on the Combined Authority website and to all Members of the Committee, the Board Members and the Overview and Scrutiny Committee. Where the decision is made at a meeting, this shall be no later than the close of business on the third clear working day following the day of the meeting at which the decision was made.
- 7.9.2 Three Members of the Board may call-in a decision of the committee by notifying the Monitoring Officer. The power to call in an executive decision should only be used in exceptional circumstances. The decision will not be implemented and will be referred to the Combined Authority Board for review and decision.
- 7.9.3 On receipt of a call-in request, the Monitoring Officer shall:
 - (a) notify the Mayor, Members of the Combined Authority Board, Members of the

Committee and Members of the Overview and Scrutiny Committee, of the call-in; and

- (b) either call a meeting of the Board or refer the matter to the next scheduled Board meeting.

7.9.4 The Overview and Scrutiny Committee shall have five days after publication of the committee's decisions to call-in a key decision, in accordance with the Overview and Scrutiny Committee's call-in arrangements set out in Chapter 14: Overview and Scrutiny Committee.

7.9.5 An Executive decision (if not yet implemented) is subject to call-in when made by:

- (a) the Board as a whole body;
- (b) a committee or sub-committee
- (c) an Officer with delegated authority from the Board;

and the decision has been published on the Combined Authority's website and made available at the main offices of the Combined Authority. The Record of Decision will bear the date on which it is published and, subject to general exceptions, will specify the date on which the decision will come into force, and may then be implemented unless the decision is called in.

7.9.6 During the period between the decision being made and coming into force, any request for the call-in must include the detailed reasons/grounds for the Call-In. The member will provide:

- details of the decision to be called in
- which of the principles of decision making have not been followed and in what way(s)
- the names of the councillors requesting the call-in
- the action already taken to resolve the matter, including representations made to the decision maker

7.9.7 The grounds in support of a request for 'call in' are:

- (a) inadequate consultation
- (b) inadequate evidence
- (c) decision outside the Budget and Policy Framework
- (d) decision not proportionate to the desired outcome
- (e) decision open to challenge on human rights
- (f) insufficient Legal, governance and financial consideration
- (g) decision not within the power of the Decision maker
- (h) the 'call in' request would need to demonstrate that it is reasonable to 'call in' the decision and it is for the Chair of Overview and Scrutiny to assess what is reasonable
- (i) the member must confirm that they have considered the principles of decision making in the constitution

7.9.8 Upon receipt of the call-in request, the Monitoring Officer shall consult with the Chair, or Vice Chair of the Overview and Scrutiny Officer in their absence and shall determine whether or not the call-in is in accordance with the requirement of these rules.

7.9.9 If the call-in is accepted, the decision will be put on hold pending a decision of the Board.

7.9.10 If the call-in is not accepted, the Monitoring officer will provide reasons for the refusal to the member(s) requesting the call-in.

- 7.9.11 The Monitoring Officer will provide a report for the meeting in respect of the call-in which will include the procedure for the call-In hearing.

7.10 Exemption from Call-in

- 7.10.1 A matter may not be called-in if it has already been considered by the Scrutiny Committee or if the decision is urgent and any delay would prejudice the interest of the authority or the public in the opinion of the Monitoring Officer.
- 7.10.2 A decision will relate to a matter which is urgent if any delay caused by the call-In process would:
- (a) be highly likely to result in the Combined Authority incurring significant additional expenditure or loss of significant additional income; or
 - (b) be highly likely to result in significant damage to the Combined Authority's reputation; or
 - (c) prevent the Combined Authority from meeting its legal obligations.
- 7.10.3 The Overview and Scrutiny Committee will take precedence over the Board in the matter of a call-in. The Overview and Scrutiny Committee is the committee statutorily responsible to review or scrutinise actions taken or decisions made by the authority.

7.11 Application of Chapter 5 [Standing Orders] to Thematic Committees

- 7.11.1 The following rules from [Chapter 5: Standing Orders](#) shall apply to the meetings of Thematic Committees with any necessary modification - Rule 5.4 [Ordinary Meetings], Rule 5.5 [Urgency], Rule 5.7 [Notice of Meetings and Agendas], Rule 5.8 [Public Access], Rule 5.9 [Attendance], Rule 5.10 [Notice of Substitute Members], Rule 5.13 [Declaration of Interests], Rule 5.14 [Rules of Debate], Rule 5.18 [Minutes], Rule 5.19 [Questions by the Public and Members], Rule 5.22 [Conduct at Meetings]

Transport Committee – Terms of Reference

Purpose:	<p>Implement and deliver Priority Area - Improving Connectivity as set out in the Corporate Plan</p> <p>Development of thematic strategy and key policy, engaging key stakeholders and partners to develop proposals to assist delivery of the CAs strategic objectives</p> <p>Oversee implementation of thematic strategy and key policy, taking decisions within the strategic and budgetary framework agreed by the Board to deliver strategy and key policy.</p> <p>Drive delivery of key strategic performance measures (as set out in corporate plan, the LTCP and key supporting strategies)</p> <p>Oversight and management of the development and delivery of thematic business cases, programmes and projects, ensuring that they are contributing to the delivery of CA Strategic Objectives and the Annual Business Plan.</p> <p>Ensure all programmes and projects comply with the Assurance Framework and are monitored and evaluated in line with the Monitoring and Evaluation Framework.</p>
Accountable to:	Cambridgeshire & Peterborough Combined Authority Board
Accountable for:	<p>Development, management and implementation of key strategy and policy relevant to remit of Committee, including:</p> <ul style="list-style-type: none"> ☐ The Local Transport and Connectivity Plan suite of policy and strategic documents including implementation plans ☐ Bus Strategy and implementation of appropriate passenger transport framework ☐ Transport budget, including any transport levy ☐ Annual programme of strategic transport and infrastructure projects ☐ Delegation of passenger transport functions to delivery partners <p>Oversight and management of:</p> <ul style="list-style-type: none"> ☐ Agreements with the Minister or strategic highways companies for the exercise of functions relating to the strategic transport and infrastructure networks ☐ Strategic relationships with national bodies (Network Rail, Great British Railways, National Highways), utility providers and other key stakeholders ☐ Delegation of passenger transport functions to delivery partners <p>Performance management of key performance measures from Corporate Plan within remit of the Committee, including:</p> <ul style="list-style-type: none"> ☐ LTCP Performance Measures ☐ Increasing public transport usage and sustainable travel connectivity ☐ Reduction in numbers of people killed or seriously injured on region's roads ☐ Reduced congestion on major roads ☐ Measurable improvement in connectivity for 'left behind' areas
Membership:	<ul style="list-style-type: none"> ☐ Mayor (or their nominee) ☐ Representative from each Constituent Authority (even if represented on committee through the Mayor's nominee)

Co-Opted Members	☐ Business Board Thematic Representative (x2) Co-opted Members of the Combined Authority Board should receive an open invite to all thematic committees to enable them to attend for items of interest. If a co-opted member wishes to attend and speak at the meeting, they should notify the relevant Chair prior to the meeting. The rights and responsibilities of co-opted members as set out in the relevant paragraphs in [insert section] of the constitution apply to committees.
Chair:	The Committee will be Chaired by the Mayor's nominee
Vice-Chair:	A Vice-Chair will be appointed by the Transport Committee
Voting:	<p>Only the members of the Committee will be entitled to vote at meetings (not co-opted Members), the Chair does not exercise a casting vote.</p> <p>Any matters that are to be decided by the Committee are to be decided by consensus of the Committee where possible. Where consensus is not possible the provisions of the Constitution shall apply as follows:</p> <p>The committee shall apply the weighted voting rights that the Combined Authority Board applies to transport matters as set out in the committee procedure rules.</p>
Quorum:	No business shall be transacted unless representatives of four Constituent Authorities or more are present at a meeting
Servicing:	The Committee will be serviced by CPCAs Governance Team
Frequency:	Minimum of six meetings per year
Supported by:	The Committee is supported by: ☐ Transport Advisory Group
Functions (key areas of focus under Corporate Plan):	<p>Transport Functions (recommendations to Board)</p> <ul style="list-style-type: none"> ☐ The Local Transport & Connectivity Plan (Suite of policy and strategic documents including implementation plans) ☐ Bus Strategy and implementation of appropriate passenger transport framework ☐ Transport budget, including any transport levy ☐ Annual programme of strategic and sustainable transport and infrastructure projects ☐ Delegation of passenger transport functions to delivery partners ☐ Assessment of innovative forms of transport to allow for the potential appropriate implementation within the region ☐ Spending plans or plans for the allocation of transport-related funding <p>Accessibility</p> <ul style="list-style-type: none"> ☐ Reform the bus network (including assessing bus framework options, including franchising) and bus sustainability ☐ Rail and station improvements ☐ Road enhancements and improvements ☐ Strategic freight improvements ☐ Other transport planning initiatives, including fiscal measures, neighbourhood improvements

	<ul style="list-style-type: none"> ☐ Alternative vehicles infrastructure, such as electric and hydrogen ☐ Road safety - Vision Zero and junction upgrades <p>Active Travel</p> <ul style="list-style-type: none"> ☐ Cycling schemes ☐ Micro-mobility ☐ Walking routes <p>Digital Connectivity Infrastructure</p> <ul style="list-style-type: none"> ☐ Digital resilience ☐ Smart streets and towns ☐ Broadband and mobile <p>Generic</p> <ul style="list-style-type: none"> ☐ Provide leadership in developing an approach to future devolution of powers from Government to the region on matters of Transport ☐ Lobbying of government and sub national transport bodies ☐ To consider and advise upon major policy change ☐ To bid for funds made available by government ☐ Respond to key transport consultations that will impact on the Combined Authority <p>The Committee can approve budgets and projects detailed in the Medium Term Financial Plan marked subject to approval including:</p> <ul style="list-style-type: none"> ☐ Approval of Transport projects detailed in approved MTFP ☐ Approving the commissioning of delivery partners where this is required and authorising the staged release of budget for transport and infrastructure projects in the Business Plan and funded from allocation within the Medium Term Financial Plan.
Review:	<p>Reviewed annually and/or following adoption of new Corporate Plan.</p> <p>The review process will include consideration of co-opted membership that will support the Committees remit.</p>

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GROWTH COMMITTEE – TERMS OF REFERENCE

Overview

The Growth Committee's role is to develop, oversee, implement and monitor growth functions and strategies on behalf of the Combined Authority, including responsibilities relating to planning, housing and resilience.

The Committee will make recommendations to the Combined Authority Board on matters of policy, strategy and specific projects and will work collaboratively with the other thematic committees.

1. Membership

1.1 Chair

The Committee will be Chaired by the Mayor's nominee

1.2 Membership

A Vice-Chair will be appointed by the Growth Committee at the first meeting of the Municipal Year.

The Combined Authority shall appoint a Growth Committee at the Annual Meeting of the Combined Authority, which shall consist of: -

- The Mayor (or their nominee)
- A representative from each Constituent Authority (even if represented on the committee through the Mayor's nominee)

1.3 Co-Opted Members

- Business Board Representative
- Co-opted Members of the Combined Authority Board shall receive an open invitation to all thematic committees to enable them to attend for items of interest. If a co-opted member wishes to attend and speak at the meeting, they should notify the relevant Chair prior to the meeting. The rights and responsibilities of co-opted members as set out in the relevant paragraphs in the Constitution apply to committees

1.4 Overview and Scrutiny Rapporteurs

- Overview and Scrutiny Rapporteurs should receive an open invitation to all thematic groups to enable them to attend for items of interest. Their ability to speak at meetings is at the discretion of the Chair.

1.5 Quorum

- No business shall be transacted unless at least five members are present at the meeting, with such members to include the Chair (or Vice Chair acting in place of the Chair) and at least four members, or their substitute members, appointed by the constituent councils

2. Meetings and Procedure

2.1 The Calendar of Committee meetings will be approved by the Combined Authority Board for each Municipal Year.

2.2 The Committee will conduct business in accordance with the Standing Orders, Access to Information Rules, Policies and Protocols set out in Parts 5, 10 and 18 of this Constitution

2.3 The Committee will meet formally at least five times in the municipal year. There is provision to add additional meetings should the need arise to transact urgent business.

3 Voting

- 3.1 Only the members of the Committee will be entitled to vote at meetings (not Co-Opted Members); the Chair does not exercise a casting vote.
- 3.2 Any matters that are to be decided by the Committee are to be decided by consensus of the Committee where possible. Where consensus is not possible the provisions of the Constitution shall apply as follows:
- Each Member of the Committee is to have one vote and no Member including the Chair is to have a casting vote
 - Co-opted Members cannot vote
- 3.3 Any matter put to a vote will be decided on a show of hands. A decision will require the meeting to be quorate.

4 Working Groups

- 4.1 The Committee can establish Working Groups (which may also be named Task and Finish Groups) as and when it considers appropriate on specific matters relating to the Committee's functions and responsibilities
- 4.2 Working Groups are not formal committees and therefore do not need to meet the requirements set out in accordance with the Standing Orders, Access to Information Rules, Policies and Protocols set out in Parts 5, 10 and 18 of this Constitution.
- 4.3 Membership of Working Groups can include nominated substitute members and the Business Board representative.
- 4.4 Where the subject to be considered falls within a category covered by more than one committee, a Working Group can be established with membership from more than one committee.
- 4.5 Working Groups are expected to report back to the Growth Committee setting out details of their work, findings and any recommendations for the Committee to consider.

5 Growth Functions of the Combined Authority referred to the Growth Committee

- 5.1 The following Growth functions of the Combined Authority are not delegated but are referred by the Combined Authority to the Committee to make recommendations to the Combined Authority Board.
- 5.2 **Growth:**
- Maximising opportunities in our priority sectors – Life Sciences, Advanced Manufacturing & Materials, Digital Technologies, Defence, Agri-Food Tech, Energy & Clean Tech.
 - Promoting and securing investment for our Local Growth Plan Opportunity zones – Fens Growth Triangle, Peterborough Fast Growth City, North Hunts Growth Cluster, Global City Cambridge.
 - Working with the Cambridge Growth Company and partners in the Oxford Cambridge and Innovation Corridors to maximise the economic potential of Cambridge and the wider region.
 - Supporting the redevelopment of Peterborough, including the city centre, the station quarter and plans for sports facilities and a new community stadium. We will also develop the business case for a research and skills centre.
 - Improving our heritage and tourism offer, while supporting high streets and local markets, promoting local pride, and improving the attractiveness of our town and city centres, including free parking initiatives.
 - Delivering the UK Shared Prosperity Fund and Rural England Prosperity Fund projects

to direct government funding to local projects

- Addressing the key capital infrastructure barriers across Housing, Energy and Water.

5.3 **Housing**

- Developing and adopting a Spatial Development Strategy to shape growth, future planning policies and support delivery of Local Growth Plan priorities.
- Explore new opportunities, such as Mayoral Development Corporations and the Mayoral Community Infrastructure Levy.
- Using the Strategic Place Partnership with Homes England to maximise housing delivery and regeneration, prioritising new housing around railway stations and other key sites. Ensuring development is enabled and led by infrastructure.
- Advocating design principles that create attractive, popular homes and communities and promote health and wellbeing.
- Giving people more influence over development in their area, while encouraging forms of housing tenure that give renters more affordable options and a chance to own.
- Enabling action to make tall buildings safe by getting improper cladding replaced or removed

5.4 **Resilience.**

- Developing a clear plan to improve resilience across the region, drawing on the previous climate action plan.
- Delivering the Local Nature Recovery Strategy (LNRS) to enhance biodiversity and boost natural defences.
- Pushing for delivery of the Fens Reservoir, to tackle water scarcity and unlock growth and leisure opportunities.
- Promoting networks of small-scale reservoirs on farmland to deliver additional water supply.
- Supporting flood prevention efforts, including improving the capacity of local pumping stations.
- Championing ongoing work on peat-based soils.
- Exploring how new strategic planning policies, can address the use of prime farmland as solar farms.
- Working with the National Energy System Operator, using Local Area Energy Plans to strengthen energy supply.
- Preparing for the transfer of Police and Fire responsibilities to the mayoralty.
- Building a stronger relationship with the Local Resilience Forum to improve emergency preparedness.

6 Growth Functions of the Combined Authority delegated to the Growth Committee

- 6.1 The following Growth functions of the Combined Authority are delegated by the Combined Authority to the Growth Committee, subject to the Committee exercising these functions in accordance with any Growth policies of the Combined Authority, the Local Growth Plan and the Combined Authority's agreed Growth budget (and without prejudice to the Combined Authority's right to discharge such functions itself):
- 6.2 Develop, oversee and manage the implementation of strategies, policies, projects and programmes that sit underneath the Local Growth Plan and are relevant to the Committee's remit for approval by the Board, including (but not limited to):
- Local Nature Recovery Strategy
 - Spatial Development Strategy

- Digital Connectivity Strategy
 - Local Visitor Economy Partnership
 - Strategic Place Partnership
 - Remediation Strategy - Building Safety: Cladding removal and remediation
 - Mayoral Development Corporations and Mayoral Community Infrastructure Levy
 - UK Shared Prosperity Fund
 - Rural England Prosperity Fund
 - Resilience Plan
- 6.3 Provide the forum for facilitating strategic conversations and co-ordination between the Constituent Authorities, key partners and the Combined Authority on Growth matters, ensuring a collaborative regional approach.
- 6.4 Drive the achievement of key strategic performance measures within the Committee's remit, as set out in the Corporate Plan and supporting strategies. Monitor and review performance against KPIs, evaluation requirements and other indicators to ensure effective delivery, value for money and continuous improvement.
- In undertaking these responsibilities, the Committee may:
- engage key stakeholders and partners in the formulation of proposals
 - direct the implementation of thematic strategies and policies within the strategic and budgetary framework approved by the Board
 - monitor, review and report on outcomes and impact;
 - Monitor, review and report on growth related budgets; and
 - ensure alignment with the Combined Authority's Strategic Objectives and Annual Business Plan

7 Review

- 7.1 The Terms of Reference will be reviewed annually and/or following adoption of a new Corporate Plan.

Skills Committee – Terms of Reference

Purpose:	<p>Implement and deliver Priority Area – Ambitious Skills & Employment Opportunities as set out in the Corporate Plan</p> <p>Development of thematic strategy and key policy, engaging key stakeholders and partners to develop proposals to assist delivery of the CAs strategic objectives</p> <p>Oversee implementation of thematic strategy and key policy, taking decisions within the strategic and budgetary framework agreed by the Board to deliver strategy and key policy.</p> <p>Drive delivery of key strategic performance measures (as set out in corporate plan and key supporting strategy)</p> <p>Oversight and management of the development and delivery of thematic business cases, programmes and projects, ensuring that they are contributing to the delivery of CA Strategic Objectives and the Annual Business Plan.</p> <p>Ensure all programmes and projects comply with the Assurance Framework and are monitored and evaluated in line with the Monitoring and Evaluation Framework.</p>
Accountable to:	Cambridgeshire & Peterborough Combined Authority Board
Accountable for:	<p>Development, management and implementation of key strategy and policy relevant to remit of Committee, including:</p> <ul style="list-style-type: none"> ☐ Employment and Skills Strategy ☐ Work, Health and Wellbeing Strategy <p>Oversight and management of:</p> <ul style="list-style-type: none"> ☐ Devolved Adult Education Budget ☐ Other Government funded programmes (Multiply, Skills Bootcamps) <p>Performance management of key performance measures from Corporate Plan within remit of the Committee, including:</p> <ul style="list-style-type: none"> ☐ Closing the skills gap with the national average for: a) Peterborough b) Fenland c) pockets within wider Cambridgeshire ☐ An increase in % of the population qualified to Levels 2, 3 and 4, and high qualifications ☐ Reduced difference in household income between most deprived and least deprived areas ☐ Increase in percentage of population in well-paid employment ☐ Improved health and wellbeing as measured by ONS Health Index
Membership:	<ul style="list-style-type: none"> ☐ Mayor (or their nominee) ☐ Representative from each Constituent Authority (even if represented on committee through the Mayor's nominee)

Co-Opted Members	☐ Business Board Thematic Representative (x2) Co-opted Members of the Combined Authority Board should receive an open invite to all thematic committees to enable them to attend for items of interest. If a co-opted member wishes to attend and speak at the meeting, they should notify the relevant Chair prior to the meeting. The rights and responsibilities of co-opted members as set out in the relevant paragraphs in [insert section] of the constitution apply to committees.
Chair:	The Committee will be Chaired by the Mayor's nominee
Vice-Chair:	A Vice-Chair will be appointed by the Skills Committee
Voting:	<p>Only the members of the Committee will be entitled to vote at meetings (not co-opted Members), the Chair does not exercise a casting vote.</p> <p>Any matters that are to be decided by the Committee are to be decided by consensus of the Committee where possible. Where consensus is not possible the provisions of the Constitution shall apply as follows:</p> <ul style="list-style-type: none"> ☐ Each Member of the Committee is to have one vote and no Member including the Chair is to have a casting vote ☐ Co-opted Members cannot vote ☐ Any matter put to a vote will be decided on a show of hands. A decision will require a minimum of 4 voting members present and voting
Quorum:	No business shall be transacted unless representatives of four Constituent Authorities or more are present at a meeting
Servicing:	The Committee will be serviced by CPCAs Governance Team
Frequency:	Minimum of six meetings per year
Supported by:	The Committee is supported by: <ul style="list-style-type: none"> ☐ Skills and Employment Board ☐ Education Advisory Group
Functions (key areas of focus under Corporate Plan):	<p>Enhancing Careers Education, Information, Advice and Guidance</p> <ul style="list-style-type: none"> ☐ Cambridgeshire & Peterborough Careers Hub ☐ Influencing national providers of Careers ☐ Lobbying Government for an all age careers service <p>Delivery of Lifelong learning and workforce skills</p> <ul style="list-style-type: none"> ☐ Continue to target the delivery of the Skills Fund (AEB and Free Courses for Jobs) ☐ Skills Bootcamps to better meet local need ☐ Improve numeracy and number-confidence among our citizens through delivery of Multiply <p>Employer engagement and access to talent</p> <ul style="list-style-type: none"> ☐ Implementing a Health & Work Strategy to address economic inactivity and productivity ☐ Delivering Growth Works with Skills

	<p>Lobbying for a second Skills Devo Deal that strengthens our current programme and delivers greater impact. Our asks:</p> <ul style="list-style-type: none"> ☐ A simplified Single devolved revenue budget for all skills programmes ☐ A Single devolved capital budget for all skills infrastructure funding streams ☐ A Single devolved Careers budget <p>Building Skills Infrastructure</p> <ul style="list-style-type: none"> ☐ FE Cold Spots ☐ ARU Peterborough Phase 3 ☐ Centre for Green Technology at Peterborough College ☐ Net Zero Centre at Wisbech ☐ North Cambridgeshire Training Centre <p>Generic</p> <ul style="list-style-type: none"> ☐ Provide leadership in developing an approach to future devolution of powers from Government to the region on matters of Skills and Employment ☐ To consider and advise upon major policy change <p>The Committee can approve budgets and projects detailed in the Medium Term Financial Plan marked subject to approval including:</p> <ul style="list-style-type: none"> ☐ Approval of employment projects detailed in approved MTFP ☐ Approval of AEB Budget as detailed in MTFP <p>Approval of commissioning of delivery partners where this is required and authorise the staged release of budget for education and skills projects detailed in and funded from the MTFP</p>
Review:	<p>Reviewed annually and/or following adoption of new Corporate Plan.</p> <p>The review process will include consideration of co-opted membership that will support the Committees remit.</p>

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Staffing Committee – Terms of Reference

Purpose:	<p>To discharge the functions of the authority in respect of the appointment, dismissal or other disciplinary action relating to the Chief Officers in accordance with the Constitution and any relevant employment policies and procedures.</p> <p>Development, management and review of Strategic human resources policy to assist delivery of the CAs objectives.</p>
Accountable to:	Cambridgeshire & Peterborough Combined Authority Board
Accountable for:	<p>Development, approval management and implementation of Human Resources Policy.</p> <p>To make recommendations to the Combined Authority Board on the appointment of the Head of Paid Service (Chief Executive), Monitoring Officer and Chief Finance Officer (“the statutory officers”)</p> <p>To determine:</p> <ul style="list-style-type: none"> ☐ Appointment of Chief Officers ☐ Approval of Human Resources Policies, where the policy has a financial impact or represents a change to the culture of the organisation ☐ To take disciplinary action falling short of dismissal against the statutory officers and to suspend and keep under review any suspension of those statutory officers ☐ To take disciplinary action against Chief Officers in circumstances capable of resulting in the dismissal of those officers and to suspend and keep under review any suspension of those officers ☐ To determine appeals by Chief Officers against decisions made in relation to grievance proceedings ☐ To determine employment procedures for the officers of the Combined Authority, including dismissal and redundancy procedures ☐ To determine local terms and conditions of employment for officers of the Combined Authority ☐ Oversee whistleblowing and grievance policy and practice
Membership:	<ul style="list-style-type: none"> ☐ Mayor (or the Deputy Mayor acting in place of the Mayor) ☐ The constituent council representatives on the Combined Authority Board <p>All members may nominate a substitute when they cannot attend.</p>
Chair:	The Committee will be chaired by the Mayor or the Deputy Mayor acting in place of the Mayor.
Voting:	Voting is by a show of hands and shall be decided by a majority of those present and voting.
Quorum:	No business shall be transacted unless at least five members of the committee are present, including the Mayor and at least four members from constituent authorities.
Servicing:	The Committee will be serviced by CPCA Governance Team
Frequency:	Called as and when required

Supported by:	The Committee is supported by the Combined Authority's Director/Head/Manager of Human Resources or their representative
Functions (key areas of focus under Corporate Plan):	<p>Key functions for the Committee to undertake:</p> <ul style="list-style-type: none"> ☐ Review and agree HR policies. Any amendments that are due to legislative changes, operational matters or re-enforcing a process will be implemented in consultation with Trade Unions and Corporate Management Team ☐ Establish and undertake, as required, a Statutory Officer Investigatory Panel with authority to make recommendations to the Combined Authority as to the dismissal arising from disciplinary action of any of the statutory officers. The membership of this Panel shall be as set out in the Officer Employment Procedure Rules ☐ Consider, and recommend appropriate actions where necessary, in response to proposals relating to changes within a Department's/Division's structure which involve substantial changes in the responsibilities of the Head of Paid Service [Chief Executive] and Chief Officers ☐ Promotion and pursuit of policies of equal opportunities in employment ☐ Determine policies relating to local government pensions and discretionary compensation for early termination of employment. Upon the commencement of the Restriction of Public Sector Exit Payments Regulations to approve applications for waivers under the Regulations
Review:	<p>Reviewed annually and/or following adoption of new Corporate Plan.</p> <p>The review process will include consideration of co-opted membership that will support the Committees remit.</p>

Funding Committee – Terms of Reference

The Funding Committee has 2 distinct roles, they are:

- 1. In relation to the application of the Single Assurance Framework**
- 2. In relation to companies and other legal entities which are wholly or partly owned or controlled by the Combined Authority**

Purpose:	<p>The Funding Committee shall:</p> <ul style="list-style-type: none"> A. in accordance with the Single Assurance Framework and the Constitution of the Combined Authority, make investment decisions and/or make recommendations to the Board on investment decisions B. play a key part in the overall assurance arrangements of the Combined Authority through the delivery of its functions. C. advise and make decisions in line with delegated authority on behalf of the Mayor and the Combined Authority Board in the exercise of responsibilities for the Combined Authority's functions as corporate shareholder of a company or group of companies and in their role in representing the Combined Authority as a Shareholder Representative at meetings of a company D. provide the necessary oversight, from a shareholder's perspective, that the parameters, policies, and boundaries that the Combined Authority has established are being adhered to; Including a regular review of whether the Subsidiary provides the most effective vehicle to deliver the outcomes the Combined Authority requires and whether there are viable alternative models which might offer a more effective means of delivering its priorities
Accountable to:	Cambridgeshire & Peterborough Combined Authority Board
Membership:	<p>Mayor</p> <p>Representative from each Constituent Authority (x7)</p>
Co-Opted Members:	<p>Business Board Chair</p> <p>Business Board representatives (x2)</p> <p>Ability to co-opt membership of Subject Matter Experts to assist in the undertaking of its key functions (up to 3 Co-optees)</p> <p>The Combined Authority Statutory Officers would be expected to attend all meetings in support of the Shareholder Responsibilities of the Committee</p>
Chair:	The Mayor's nominee for Chair will be agreed by the Combined Authority Board at the Annual Meeting
Vice Chair:	The Vice-Chair will be appointed from the membership of the Funding Committee
Voting:	<p>Only the members of the Committee will be entitled to vote at meetings (not co-opted Members), the Chair does not exercise a casting vote.</p> <p>Any matters that are to be decided by the Committee are to be decided by consensus of the Committee where possible. Where consensus is not possible the provisions of the Constitution shall apply as follows:</p> <ul style="list-style-type: none"> ☐ Each Member of the Committee is to have one vote and no Member including the Chair is to have a casting vote ☐ Co-opted Members cannot vote

	☐ Any matter put to a vote will be decided on a show of hands. A decision will require a minimum of 4 voting members present and voting ☐ Any tied vote will be deemed to have been unsuccessful
Quorum:	No business shall be transacted unless representatives of four Constituent Authorities or more are present at a meeting
Servicing:	The Committee will be serviced by CPCA's Governance Team
Frequency:	Minimum of 4 meetings per year
Supported by:	The Committee will be supported by the Investment Panel
Decision-Making:	<p>The Funding Committee may make decisions in line with its delegated authority and functions.</p> <p>The Mayor or nominee of the mayor may make decisions concerning companies in which the Combined Authority is or proposed to become shareholder either:</p> <ul style="list-style-type: none"> a) in a CA Board meeting or b) in a meeting of the Shareholder Board <p>Unless the Mayor or Member is a Director in the Company under discussion</p>
Delegated Authority:	<p>In relation to any scheme being considered under the Combined Authority Assurance Framework the Funding Committee can:</p> <ul style="list-style-type: none"> ☐ make a decision to progress the scheme in accordance with the scheme's bespoke approval pathway and approval route, under the value of £1million where the Chief Executive has referred the matter to the Committee and requested that the Committee make the decision having decided not to make the decision under the Chief Executive delegation as set out. ☐ make a decision to progress the scheme in accordance with the scheme's bespoke approval pathway and approval route, noting the Committee has the delegated authority to approve funding decisions (business cases) of a value of over £1million and up to £5million. ☐ Make a recommendation to progress a scheme in accordance with the scheme's bespoke approval pathway and approval route, noting that funding decisions (business cases) of a value of over £5million shall be considered by the Funding Committee for a recommendation to be made to the Combined Authority Board for consideration and approval. <p>The Funding Committee can:</p> <ul style="list-style-type: none"> ☐ advise the Combined Authority in relation to any function of the Combined Authority relating to: <ul style="list-style-type: none"> • economic development • economic and transport led regeneration ☐ liaise with the Transport & Infrastructure Committee to promote the strategic alignment of regional transport funding investment ☐ respond to any report or recommendation from an Overview & Scrutiny Committee <p>The Funding Committee has delegated authority to make decisions on behalf of the Combined Authority for each Subsidiary as follows:</p>

	<p>☐ Oversight of any decisions that can only be made by the shareholder, (whether as “reserved matters” under the Shareholder Agreement and Articles of Association or pursuant to the relevant legislation applicable to that Subsidiary) such as :</p> <ul style="list-style-type: none"> • Approval of Shareholder Agreement with each Subsidiary • Approval of annual Business Plan and deviations from Business Plan. • Approval of key appointments (including appointment, removal and or replacement of Directors of the Subsidiary) and ensuring that the Authority appointments to the board of a Subsidiary comply with the Authority’s Constitution • Borrowing money, granting security and giving of guarantees • Issuing Legal proceedings outside of ordinary business • Altering in any respect the articles of association of a Subsidiary or any other governing document • Altering the rights attached to any of the shares in a Subsidiary • Approving the registration of any person as a shareholder or member of a Subsidiary • Ensuring that subsidiaries or the subsidiaries interests are not competing against or conflicting with, other subsidiaries or their interests • Entering contracts that have a material effect on business of the CA, are outside of the business plan or significant in relation to the size of the business and/or the business plan. • Establishing proper arrangements to manage potential conflicts of interest in respect of Officers and/or members appointed to the board of a Subsidiary • Approval of pay and pension arrangements in respect of key employees of the Subsidiary and to ensure that decisions made to make any termination payments are in line with the law and the Subsidiary’s controlling documents. • Varying ownership and the amount of a Subsidiary’s issued share capital and winding up of Subsidiary • Altering the name of any Subsidiary
Functions:	<p>The Funding Committee has the following key functions in support of the Single Assurance Framework:</p> <ul style="list-style-type: none"> ☐ to consider investment proposals and to make appropriate challenges to these proposals ☐ to oversee and monitor all investments made through the Combined Authority Investment Programme ☐ to add conditions to any funding decision that falls within its delegated authority and to make recommendations of conditions to the Combined Authority Board (<i>In all cases minimum conditions should specify the Availability Period, Conditions to Drawdown of Funds, Conditions for withdrawal of support and terms of clawback, start date and completion date for the Project or Programme, but shall also include any specific conditions that the Board deem appropriate on a case by case basis</i>) ☐ to instruct the Combined Authority to oversee preparation of funding agreements on its behalf and as appropriate and to delegate this

	<p>duty, provided always that the Combined Authority make no material deviation from the conditions added to the funding decision</p> <ul style="list-style-type: none"> ☐ to approve the monitoring and evaluation criteria related to any funding decision and to have the ability to delegate oversight of this function where appropriate ☐ where oversight of monitoring and evaluation applies to the Funding Committee, to consider whether a formal review of a project or program is required and to consider this review itself or instruct the Investment Panel to do so on its behalf ☐ to instruct Funding Recipients to issue the necessary information for the Combined Authority to advise the Funding Committee as to the rationale behind any material delay or change in a project or program ☐ on completion of a review, where reasonable, to instruct Funding Recipients to complete a Change Request via the Combined Authority process ☐ to monitor the Combined Authority project pipeline and make recommendations to the Combined Authority Board on prioritisation and re-prioritisation to support active management of the Combined Authority's Investments. <p>The Funding Committee will consider applications for support from the Business Case Development Fund</p> <p>The Funding Committee will play a key role in the Change Management process in alignment with the Combined Authority Change Management procedures.</p> <p>The Funding Committee has the following key functions in support of the Performance Management Framework:</p> <ul style="list-style-type: none"> ☐ to review the Major Projects performance dashboard ☐ to review project performance <p>The Funding Committee will seek to ensure that all major projects are developed & delivered in line with the CPCA Risk Management Framework</p> <p>The Funding Committee has the following key functions in regard to its shareholder responsibilities:</p> <ul style="list-style-type: none"> ☐ monitoring performance and information from each Subsidiary, in particular on financial and other risks and escalating such risks within the Authority as appropriate ☐ exercising decisions relating to the authority's role as shareholder, member, owner, lender, or other position of significant control over the Subsidiary, where those decisions have been delegated to the Funding Committee ☐ making reports and recommendations to the Combined Authority Board on areas outside of the Funding Committee delegated authority ☐ agreeing and entering into a Shareholder Agreement with each of the Authority's Subsidiaries ☐ providing an articulation of what success looks like in terms of delivery models to meet objectives such as achieving social outcomes and/or a return on investment
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	<ul style="list-style-type: none"> ☐ agreeing a mechanism to communicate the shareholder's views to the Subsidiary by effecting systematic engagement between the Chair/CEO and shareholder roles (where in place) to assure effective performance against strategy and governance ☐ providing a holistic review of risk to the authority offered by all active Subsidiaries. ☐ considering and advising on the duties and, if any, the training needs of potential Directors to allow them to competently assume their role. ☐ making representations to the Directors on the Business Plans of the Subsidiary Companies or other organisations set out in this report. ☐ Receiving reports from the Directors, where appropriate, on the progress and conduct of business in accordance with the approved Business Plan. ☐ reporting to the Combined Authority Board on the performance of the Subsidiary Companies. ☐ in the case of forming a new Subsidiary, the Funding Committee will first scrutinise the business case for forming the Subsidiary to clarify the service components to be delivered, outcomes sought and options for how these may be delivered and undergo an effective comparison of alternative delivery models to ensure that the objectives, timescales, and drivers of forming the Subsidiary is the optimum approach and an advisory paper will be submitted to Board for a decision. ☐ it is expected that each Subsidiary will enter into a form of agreement with the Authority (whether as owner, controller or lender) setting out the basis of the relationship between them (each a "Shareholder Agreement"). ☐ a detailed description of the Funding Committee's role in relation to each Subsidiary will be set out in the relevant Shareholder Agreement.
Review:	To be reviewed on an annual basis by the Funding Committee and Board.

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CHAPTER 8:

FINANCIAL REGULATIONS

8.1 Introduction: Financial Regulations Background and Purpose

8.1.1 The Combined Authority shall appoint Officers to undertake the statutory roles of Head of Paid Service (Chief Executive), Chief Finance Officer, who shall, for the purposes of [Section 73 of the Local Government Act 1985](#), be responsible for ensuring the proper administration of the Authority's financial affairs, and Monitoring Officer..

8.1.2 These regulations shall be read in conjunction with the Single Assurance Framework, [Chapter 3 - The Mayor of the Combined Authority](#), [Chapter 4 - Combined Authority Board Functions and Responsibilities](#), [Chapter 6 - Decision Making](#), [Chapter 9 - Contract Procedure Rules](#) and [Chapter 17 - Officer Schemes of Delegation](#). These regulations lay down, for the guidance of Members and Officers, principles to be followed in securing the proper administration of the Combined Authority's financial affairs and shall be reviewed at intervals of not more than three years.

These regulations apply to every elected official, officer and person acting on the Combined Authority's behalf in undertaking Combined Authority business and any employee of a commissioned service within any organisation partly or wholly owned by the Combined Authority.

The term officer in this document refers to Combined Authority employees and employees within a commissioned organisation partly or wholly owned by the Combined Authority.

8.1.4 The Chief Finance Officer shall report to the Combined Authority Board (the Board) any significant failure to comply with these regulations which comes to their attention.

8.1.5 The Head of Paid Service and the Chief Finance Officer shall be responsible for the accountability and control of all resources managed by them on behalf of the Combined Authority.

8.1.6 For the purposes of complying with these regulations, the Chief Finance Officer shall be provided with any information they may require and shall have access to any documents and records as necessary.

8.1.7 Whenever any matter arises which may involve financial irregularity the Chief Finance Officer and the Monitoring Officer shall be notified immediately, and if an irregularity is disclosed the matter shall, at the discretion of the Chief Finance Officer and after consultation with the Head of Paid Service, be referred by them to the Board.

8.1.8 Further, in a case where the Head of Paid Service advises that there is *prima facie* evidence of a criminal offence having been committed, the matter shall be reported to the Police forthwith.

8.1.9 The Combined Authority's financial transactions are governed by the [Local Government Act 2003](#) and the [Accounts and Audit Regulations 2015](#) as amended.

8.1.10 Officers and Members of the Board will maintain the confidentiality of the Combined Authority's business and will not reveal confidential information about the Combined Authority or its finances.

8.2 Chief Finance Officer's Duties

8.2.1 The Chief Finance Officer's statutory duties are to:

- a) provide financial advice to the Combined Authority on all aspects of its activity, including budgets (which shall include the budget for the Office of the Mayor), strategic planning and policymaking to ensure the effective and efficient use of resources
- b) advise on the security of assets

- c) secure the Combined Authority's banking arrangements
- d) provide a treasury management function, including loans and investments, in accordance with the Combined Authority's policy
- e) ensure the Mayor and the Combined Authority follows relevant manuals, instructions, and policies
- f) produce the Annual Statement of Accounts in accordance with the latest statutory requirements and best practice

8.2.2 The responsibilities of the Chief Finance Officer include:

- a) making arrangements for the proper administration of the financial affairs for the Office of the Mayor and the Combined Authority
- b) ensuring, in consultation with the Monitoring Officer, lawfulness and financial prudence
- c) ensuring the preparation of a balanced budget
- d) ensuring effective systems of internal control
- e) advising on anti-fraud and anti-corruption strategies
- f) acting as the Combined Authority's Money Laundering Reporting Officer in accordance with good practice
- g) ensuring that statutory and other accounts fairly present the financial position
- h) maintaining a continuous review of the financial framework
- i) establishing suitable accounting policies and ensuring that they are applied consistently in accordance with proper practices as set out in the Code of Practice on Local Authority Accounting in the United Kingdom;
- j) ensuring that budget provision is identified and exists for all existing and new employees.

8.2.3 All Officers must consult and seek approval of the Chief Finance Officer before introducing or amending any records, forms or procedures relating to income and expenditure. The Chief Finance Officer will see that uniform systems are adopted throughout the Combined Authority to ensure that opportunities for fraud and corruption are minimised.

8.2.4 Failure to comply with these regulations may constitute misconduct.

8.2.5 The Chief Finance Officer is the "responsible finance officer" for the purposes of Sections 114 and 114A of the Local Government Finance Act 1988 and the Accounts and Audit Regulations 2003.

8.2.6 The Chief Finance Officer shall make a report under this section if it appears to them that the authority, a committee of the authority, a person holding any office or employment under the authority, or a joint committee on which the authority is represented:

- has made or is about to make a decision which involves or would involve the authority incurring expenditure which is unlawful,
- has taken or is about to take a course of action which, if pursued to its conclusion, would be unlawful and likely to cause a loss or deficiency on the part of the authority, or
- is about to enter an item of account the entry of which is unlawful.

8.2.7 The Chief Finance Officer, in preparing a report, is to consult so far as practicable with the Authority's Head of Paid Service and the Monitoring Officer.

8.2.8 Section 114A makes equivalent provision in respect of actions taken by or on behalf of the Authority. Under both sections the report must be sent to every Board Member as well as the external auditor.

8.2.9 Section 114 also requires:

- The Chief Finance Officer to nominate a properly qualified member of staff to deputise should they be unable to perform the duties under Section 114 personally.
- The Authority to provide the Chief Finance Officer with sufficient staff, accommodation and other resources, including legal advice where necessary, to carry out the duties under Section 114 and make similar arrangements for the purposes of the Accounts and Audit (Amendment) (England) Regulations 2006.

8.3 Financial Management: General

8.3.1 Budget Managers must comply with the Combined Authority requirements (e.g. under sections 6, 9, and 18 as set out within these regulations).

8.3.2 The following general principles are observed in these accounting arrangements:

- a) Calculating, checking and recording sums due to or from the Mayoral Office or Combined Authority are separated as completely as possible from the duty of collecting or disbursing them
- b) Officers charged with the duty of examining and checking cash transactions should not themselves be engaged in any of these transactions
- c) All accounting records relating to the Mayoral Office and Combined Authority must be maintained in the Combined Authority's corporate financial system.

8.3.3 Each Officer must provide the Chief Finance Officer with necessary information for the purposes of accounting and budgetary control in accordance with issued timescales.

8.3.4 The Chief Finance Officer will be responsible for producing regular financial monitoring reports to the Combined Authority and will submit as soon as possible after the year end, an annual Statement of Accounts which complies with the relevant statutory provisions.

8.3.5 The Chief Finance Officer is responsible for ensuring the production of the Combined Authority's Statement of Accounts in accordance with statutory deadlines and will submit the accounts to the Combined Authority's Audit and Governance Committee for approval in line with the current statutory regulations.

8.3.6 Each Officer plays a key role in enabling the Statement of Accounts to be produced and is responsible for ensuring that guidance notes and the timetable provided by the Chief Finance Officer is adhered to.

8.3.7 Chief Officers are delegated responsibility for the day-to-day management, supervision and control of services provided on behalf of the Authority within the approved budget limits as set out in [Chapter 17 - Officer Schemes of Delegation](#).

8.3.8 Each Chief Officer must ensure that expenditure is contained within approved budget allocations, there is a robust control environment and that accurate financial forecasting is completed in accordance with the timeline issued by the Chief Finance Officer.

8.3.9 Chief Officers must ensure that there is a designated Budget Manager who is accountable to the Chief Officer for the detailed management and financial monitoring of all budgets within their remit. The Chief Finance Officer should be notified of any changes to Budget Managers, so that budgets continue to always have a named manager.

8.3.10 Each budget manager shall:

- Be aware of the service delivery impact of changes to budgets because of annual budget decisions or other budget decisions taken by Board, or committees or officers delegated to take such decisions. This includes any decisions which may be made through Mayoral Decision Notices.

- Ensure financial and performance management is undertaken in accordance with the monitoring and evaluation framework and guidance issued by the Chief Finance Officer
- Seek advice from the Chief Finance Officer regarding any financial issues of concern
- Monitor and control expenditure within their budget envelope and to the reporting timeline as issued by the Chief Finance Officer
- Escalate any significant risks which may impact on their forecast to their Chief Officer in a timely manner to enable appropriate action to be considered and undertaken.

8.3.11 Powers delegated to Chief Officers may be exercised by other Officers within the Combined Authority if the relevant Chief Officer has further delegated that power, provided that this is properly recorded and evidenced

8.4 Financial Management: Control of Projects and Programmes

8.4.1 Project and programme management arrangements are set out within the following documents:

- a) The Single Assurance Framework (SAF) is a set of systems, processes and protocols. It is designed to provide an evidence-based and independent assessment of the governance, risk management, and control processes. All projects funded will be subject to a prioritisation, appraisal, and monitoring and evaluation procedure.
- b) Monitoring and Evaluation Framework. This sets out the approach to the commissioning of schemes and the criteria to enable monitoring of projects.

8.5 Financial Management: Service and Works Agreements

8.5.1 The work to be performed on behalf of the Mayor and/or the Combined Authority shall be the subject of a specific agreement setting out the respective roles and duties of the Combined Authority and the delivery partner. The procurement of delivery of services and goods is specified in [Chapter 9 - Contract Procedure Rules](#)

8.5.2 Payments for delivery of services or goods shall be in accordance with the terms of the agreements with the delivery partner and shall not exceed the amount properly calculated to be due.

8.6 Financial Planning: Budgets

8.6.1 The annual Capital and Revenue budgets for the Mayoral Office and Combined Authority are prepared within the context of the process and timescales of planning, programming and review as agreed by the Combined Authority.

8.6.2 The budget will be set and approved in accordance with the [Chapter 6 \(6.8\) - Decision Making: Budget Framework Procedure Rules](#)

8.6.3 The Chief Finance Officer will prepare a medium-term financial plan each year for submission to the Board as part of its Budget approval.

8.6.4 The detailed form of capital and revenue budgets and the business planning process will be determined by the Chief Finance Officer to the Combined Authority subject to any instructions given by the Combined Authority.

8.6.5 Estimates of annual income and expenditure will be prepared by Officers and the Chief Finance Officer in line with the approved business planning process.

8.6.6 The Chief Finance Officer will submit, for Combined Authority approval, a draft Budget of all income and expenditure on Capital and Revenue accounts for the financial year beginning in April of each year in line with agreed approval processes and statutory timescales.

8.6.7 Approval of the annual budgets, by the Combined Authority does not give authority to incur revenue and capital expenditure. This authority shall be obtained in accordance with the [Chapter 17: Officer Schemes of Delegation](#) and subject to compliance with the Combined Authority's [Chapter 9: Contract Procedure Rules](#) and Gateway procedure

8.7 Financial Planning: Virements

- 8.7.1 The Chief Finance Officer, after undertaking consultation with the Mayor and Portfolio leads where appropriate, shall be authorised to approve virements between expenditure heads up to £500,000 to be reported at the next available meeting of the Board. Anything in excess of these limits shall be reported for approval to the Authority. Virements are deemed to be:
- Revenue - a transfer between approved budget lines.
 - Capital - a movement of budget between approved capital schemes.
- 8.7.2 Changes to investment programmes involving the award of grant to external organisations is a policy matter reserved to the Board and under delegation to the Officers. Approval will be sought for changes to previously approved programme or scheme funding levels in accordance with delegations under the Single Assurance Framework.
- 8.7.3 Virements between Capital and Revenue require the approval of the Board. In accordance with the scheme of virement and associated thresholds, the Chief Finance Officer is responsible for considering reports submitted by Chief Officers in respect of virement proposals for revenue spending.
- 8.7.4 The Chief Finance Officer is to report and seek the approval of the Chief Executive to the exercise of the virement powers of the Authority where a matter is urgent.

8.8 Financial Planning: Variations

- 8.8.1 Changes to the overall level of resources available in the revenue budget and capital programme is reserved to the Board. Any proposed changes will be made by the Chief Finance Officer as part of regular budget monitoring.
- 8.8.2 The Chief Finance Officer may vary the overall level of resource where an amendment is required to accommodate new grant funded activity that has been previously approved by the Board.

8.9 Financial Planning: Reserves

- 8.9.1 As part of the approval process for the annual budget and medium-term financial plan the Chief Finance Officer will provide a Section 25 Statement (Local Government Act 2003) to the Board to report on the robustness of the estimates made for the purpose of the calculations for the budget, and on the adequacy of the proposed financial reserves.
- 8.9.2 The Chief Finance Officer may approve the transfer to reserves of a restricted grant, being either ring fenced or subject to conditions imposed by the funder, received by the Authority where the related expenditure is not expected to be incurred in the current financial year.
- 8.9.3 As part of their duty to plan for the proper administration of financial affairs, the Chief Finance Officer will manage the need for transfers to and from reserves as part of the preparation of the annual financial statements.
- 8.9.4 Requests to carry forward underspends or to establish earmarked reserves should be linked to the annual revenue budget and may only be done following review by the Chief Finance Officer and approval by the Board.

8.10 Control of Expenditure: Revenue and Capital

- 8.10.1 A system of budgetary control will be maintained and as part of this control the Chief Finance Officer will submit statements to meetings of the Board showing:
- a) the progress of income and expenditure to date against the approved revenue budgets for the year
 - b) a forecast arising from the statements in (a) above of any material variation in income or expenditure anticipated for the financial year.
- 8.10.2 An Officer must not order goods or services, which exceed the amount in their overall approved budget. If it becomes apparent that the Combined Authority's expenditure cannot

be contained within the overall approved budget figure, this will be reported to the Board as part of their regular budget monitoring.

8.10.3 Unspent budgets at the year-end will be taken to reserves, unless specifically approved to carry forward by the Board.

8.10.3 The Chief Finance Officer will ensure that the Combined Authority adheres to [CIPFA's Prudential Code for Capital Finance in Local Authorities](#). The objective of the code is to provide a framework for capital finance that will ensure that:

- capital expenditure plans are affordable in the short term
- external borrowing and other long-term liabilities are within prudent and sustainable levels for the long-term
- treasury management decisions are taken in accordance with professional good practice
- In taking its decisions the Combined Authority is accountable through a clear and transparent framework
- the framework should support local strategic planning, local asset management planning and option appraisal

8.10.4 For the purposes of these regulations, capital expenditure is that expenditure which is to be financed from the approved Combined Authority's capital budget. All capital expenditure proposals should be the subject of the Combined Authority's Single Assurance Framework.

8.10.5 Incurring of all contractual liability must be in accordance with the approved [Chapter 17: Officer Scheme of Delegation](#) and individual accountabilities.

8.11 Risk Management and Control of Resources: Risk

8.11.1 Within the context of corporate risk arrangements, each Officer should undertake risk assessments for their areas of responsibility and any proposals for major change. Adequate controls, procedures and resources should be in place to manage and mitigate identified key risks.

8.12 Risk Management and Control of Resources: Insurance

8.12.1 The Chief Finance Officer is authorised to affect all insurance cover required in connection with the business and insurable risks of the Combined Authority and to settle all claims under such insurances arranged for the Combined Authority's benefit.

8.12.2 Each Officer is however responsible for minimising the risk for insurance claims and putting in place risk management processes for their areas of responsibility.

8.12.3 Any Officer having responsibility for establishments or activities must:

- a) Promptly, and where possible in advance, notify the Chief Finance Officer in writing of the extent and nature of any new material risks or increased risks to be insured
- b) immediately notify the Chief Finance Officer in writing of any loss, liability or damage which is or may be covered by insurance
- c) obtain the approval of the Chief Finance Officer regarding the terms of any indemnity, which the Combined Authority is requested to give
- d) immediately inform the Chief Finance Officer of any occurrence which may lead to a claim against the Combined Authority

8.12.4 All claims against the Combined Authority and all claims by the Combined Authority against other persons shall be approved within the delegated levels of expenditure.

8.13 Internal Control Framework

8.13.1 The Chief Finance Officer is responsible for maintaining adequate and effective internal control arrangements. This includes a continuous appraisal of all accounting, financial and

other controls throughout the Mayoral Office and Combined Authority. The objectives of the framework are to:

- a. review, appraise and report upon the soundness, adequacy and application of financial and related management controls
- b. examine and report upon the extent to which the Combined Authority's assets and financial interests are accounted for and safeguarded from losses of all kinds arising from:
 - i. fraud, corruption and other offences
 - ii. waste, extravagance, poor value for money or any other cause
- c. contribute to the monitoring of the use of resources in the pursuit of the defined objectives of the Combined Authority
- d. receive and act upon information concerning allegations or suspicions of fraud and corruption as detailed in the Combined Authority's approved Fraud and Corruption Response Plan.

8.14 Internal Audit

8.14.1 The Chief Finance Officer shall arrange internal audit and reviews of financial records and operations in accordance with the [Accounts and Audit Regulations 2015](#) and relevant professional guidance and standards. Those responsible for Internal Audit, on producing appropriate identification shall have authority to:

- a) enter at all reasonable times on any land, premises or other assets of the Combined Authority
- b) obtain access to all records, documents, cash, stores, equipment and correspondence relating to any financial or other transaction of the Combined Authority
- c) require and receive such explanations as are necessary concerning any matters under examination
- d) require Officers or Members of the Combined Authority to produce cash, stores, or any other Combined Authority property, which is under their control
- e) report direct to the Head of Paid Service if considered appropriate.

8.14.2 The Audit and Governance Committee will review the internal audit requirements of the Combined Authority, approve the internal audit plan and consider reports and assurances from the Chief Finance Officer in relation to internal audit.

8.15 External Audit

8.15.1 The key responsibilities of the Chief Finance Officer with regard to external audit are to:

- a) ensure the appointment of external auditors in accordance with statutory requirements and Board decisions
- b) maintain accounting records and prepare Statements of Account
- c) liaise and work with the External Auditor on a regular basis
- d) receive and deal with all queries relating to the work of External Audit
- e) inform the External Auditor of all fraudulent cases that have been referred to the police

8.16 Assurance Responsibilities

8.16.1 Each Officer has responsibility to ensure:

- a) reviews that have taken place to evaluate, correct and report on controls and systems are in place
- b) compliance with the Combined Authority's [Standing Orders](#), [Chapter 8: Financial Regulations](#), [Chapter 9: Procurement and Contract Procedure Rules](#) and risk management requirements.

8.17 Fraud and Corruption

- 8.17.1 The responsibility for the prevention and detection of fraud rests with all employees. An Officer shall immediately inform the appropriate Officers of any circumstances which may suggest that there has been irregularity affecting cash, or other Combined Authority property and also of any payment or reward which has been accepted from any outside person or firm in respect of the work which such other person performs, as well as any impropriety or significant error in accounting or financial records or in relation to any contract for goods or services entered into by the Combined Authority. The Combined Authority's Internal Audit Service must also be notified of such circumstances.
- 8.17.2 In accordance with the Authority's Whistleblowing Policy, information received will be treated confidentially, and Officers should be assured that anonymity will be respected, and it will not affect their employment situation or future prospects with the Combined Authority.
- 8.17.3 Any allegations received from outside the organisation, including anonymous letters or telephone calls will be taken seriously and investigated.
- 8.17.4 All cases of theft or suspected theft of Combined Authority property (no matter where the property was kept) must be promptly reported to the Chief Finance Officer and the Internal Audit Service.
- 8.17.5 The Chief Finance Officer or Internal auditor shall be responsible for ensuring that the Combined Authority and the External Auditors are advised of any material loss or financial irregularity.
- 8.17.6 Internal Audit shall report to the Head of Paid Service, Monitoring Officer and the Chief Finance Officer.
- 8.17.7 The Economic Crime and Corporate Transparency Act 2023 introduced a number of measures to combat economic crime and improve transparency, including the offence of the failure to prevent fraud which came into force on 1 September 2025. The Combined Authority, which is in scope for the regulations, will need to demonstrate that at the time a fraud was committed there were reasonable fraud prevention measures in place. The Act also applies to agents and associated parties of the Authority. Reasonable measures include:
 - Commitment from senior management to cultivate a culture where fraud is never acceptable.
 - Carry out a fraud risk assessment of systems and processes to ensure that, in light of this legislation, they are fit for purpose.
 - Have proportionate risk based prevention procedures in place.
 - Carry out proper due diligence.
 - Communication and training in fraud prevention.
 - Monitoring and review of fraud prevention measures and controls.

8.18 Treasury Management

- 8.18.1 The Combined Authority has adopted the [CIPFA Code of Practice on Treasury Management in Local Authorities](#). All investments of money will be made in the name of the Cambridgeshire and Peterborough Combined Authority.

- 8.18.2 The Treasury Management Strategy, prepared in accordance with the above code, will be adopted by the Combined Authority and, thereafter, its implementation and monitoring shall be delegated to the Chief Finance Officer.
- 8.18.3 The Chief Finance Officer will undertake any borrowings necessary for treasury management purposes in accordance with the Treasury Management Strategy.
- 8.18.4 All transfers from the Combined Authority's bank account shall be undertaken by authorised Officers nominated by the Chief Finance Officer according to Treasury Management procedures and authorisations.
- 8.18.5 The Chief Finance Officer will as a minimum report to the Audit and Governance Committee of the Combined Authority:
- a) be the end of February - a report on the strategy for the forthcoming year
 - b) by the end of June - an outturn report on Treasury Management activity
 - c) by the end December of each year - a half year monitoring report on Treasury Management activities
 - d) by the end of December - a monitoring report on external investments performance.
- 8.18.6 The Chief Finance Officer shall be responsible for ensuring that surplus funds are invested promptly, safely and effectively and in accordance with Treasury Management procedures.

8.19 Security of Assets

- 8.19.1 Officers shall be responsible for the proper security of all of the Combined Authority's assets within their control. The Officer shall consult the Chief Finance Officer regarding changes in matters regarding security.
- 8.19.2 Assets shall not be removed from the Authority's premises, unless on official Authority business and should not be used other than for official Authority purposes or in line with arrangements sanctioned by the Head of Paid Service. All information assets such as non-public paper records, IT equipment used to access information and the computer network, must be identified, recorded and have an appointed asset owner and be appropriately protected at all times.
- 8.19.3 Each Chief Officer must ensure that the Authority's financial system, is used appropriately by all employees within their area of responsibility.

8.20 Financial Systems and Procedures: Effective Management

- 8.20.1 The systems and processes operated by the Combined Authority must be managed effectively to:
- a) provide customers and stakeholders with the best quality of service
 - b) ensure that net expenditure in their area of expenditure does not exceed the annual budget
 - c) comply with all relevant professional, managerial, legal and ethical standards
 - d) comply with the Combined Authority's procedures, regulations, standing orders, scheme of delegation and other relevant guidance and instructions issued
- 8.20.2 Each Officer must ensure that there are adequate, appropriate and clear reporting lines in operation within their area of responsibility.

8.21 Financial Systems and Procedures: Control of Expenditure - Generals

- 8.21.1 Incurring of all contractual liability must be in accordance with the approved Scheme of Delegation and individual accountabilities and in accordance with [Chapter 9: Contract Procedure Rules](#). The Chief Finance Officer will maintain a record of all delegated authorities.
- 8.21.2 Detailed procedures for the authorisation and control of expenditure will be issued, from time to time, by the Chief Finance Officer in accordance with delegated authority levels.

8.22 Financial Systems and Procedures: Income Collection and Banking Arrangements

- 8.22.1 The Chief Finance Officer is responsible for the banking arrangements and is authorised to set up and operate such bank accounts as are considered appropriate. The banking arrangements must be reviewed on a regular basis and negotiations regarding banking terms and overdraft facilities undertaken.
- 8.22.2 Arrangements for the authorisation of payments to be made by electronic transfer of funds from bank accounts must be in accordance with laid down processes and procedures.
- 8.22.3 Each relevant Officer must ensure that all systems and procedures relating to income and banking, comply with Accounts and Audit Regulations 2015 and the Combined Authority's authorised procedures.
- 8.22.4 Particulars of charges to be made for work done, services rendered or goods supplied and of all other amounts must be promptly notified to the Chief Finance Officer. Any proposed introduction of, or variation to, charges must be in accordance with the agreed Scheme of Delegation.
- 8.22.5 All accounts for income due to the Combined Authority must be sent out by the Chief Finance Officer, except where other arrangements have been authorised.
- 8.22.6 All Officers must supply information as the Chief Finance Officer may require to ensure that all sums receivable by the Combined Authority are promptly recorded, and recovery sought.
- 8.22.7 The Authority's banking arrangements shall be those approved by the Authority from time to time and shall be supervised by the Chief Finance Officer.
- 8.22.8 Electronic payments are to be authorised by the Chief Finance Officer or authorised Officers.

8.23 Financial Systems and Procedures: Debt Management

- 8.23.1 The Chief Finance Officer will have authority to recover debts, except in the case of legal action which should be undertaken in consultation with the Monitoring Officer.
- 8.23.2 Before any debts due to or any other assets of the Combined Authority are written off, or other income is foregone, the following authority shall be obtained as appropriate:
 - i. exceeding £125,000 - the Board
 - ii. between £10,001 and £125,000 - the Head of Paid Service and the Chief Finance Officer
 - iii. £10,000 or less - the Chief Finance Officer
- 8.23.3 Any individual who discovers any apparent loss or irregularity involving money due to or held on behalf of or property owned by the Authority shall immediately notify their line manager and Internal Audit. Internal Audit will then comply with the provisions of the Authority's approved Fraud Policy.

8.24 Financial Systems and Procedures: Purchase Orders

- 8.24.1 Each Officer must ensure that all expenditure is lawful and is subject to all local Procurement Regulations and approval processes.
- 8.24.2 From time to time, expenditure on goods, services and supplies made directly by the Combined Authority may be exempt from the requirement to place an order. The Chief Finance Officer shall maintain a list of order exemptions and review its continued appropriateness on an annual basis.
- 8.24.3 Invoices and grant claims without a purchase order will not be processed by default where exceptions to this are required these will have to be approved/requested by a Director.
- 8.24.4 Requisitions and official orders shall not be issued for goods and services unless the expenditure is within approved budgetary levels and any other necessary approvals as set out in [Chapter 17: Officer Schemes of Delegation](#) have been obtained.

8.25 Financial Systems and Procedures: Payment of Accounts

Suppliers

- 8.25.1 No supplier payment shall be made unless supported by an invoice or pro-forma invoice, with VAT details, where appropriate.
- 8.25.2 Officers must ensure that all invoices for payment by the Combined Authority are forwarded to the Finance Team immediately upon receipt and that the appropriate purchase order number is quoted on every invoice.
- 8.25.3 Once proper authorisations have been obtained, together with such additional explanations and information as may be required, the Chief Finance Officer will pay all accounts on behalf of the Combined Authority.
- 8.25.4 In order for an invoice to be paid, the responsible Budget Manager must confirm that the work, goods or services have been properly delivered in accordance with the order.
- 8.25.5 The receipt of all goods and services should only be made where:
 - a. the works, goods or services have been received, carried out satisfactorily, examined as to quality and quantity
 - b. the goods and services have been previously receipted.
- 8.25.6 The certification of Goods Received acts as the authorisation to pay the invoices as long as the invoice matches the Goods Received entry and purchase order.
- 8.25.7 Where an invoice is exempt from the ordering process, the invoice will be subject to electronic approval by following appropriate rules of delegation.

Grants

- 8.25.8 No grant payment shall be made unless supported by a grant claim.
- 8.25.9 Officers must ensure that all grants for payment by the Combined Authority are forwarded to the Finance Team immediately upon receipt and that the appropriate purchase order number is quoted on each grant claim.
- 8.25.10 Once proper authorisations have been obtained, together with such additional explanations and information as may be required, the Chief Finance Officer will pay all accounts on behalf of the Combined Authority.
- 8.25.11 In order for a grant claim to be paid, the responsible grant approver must confirm that the work, goods or services have been properly delivered in accordance with the order.
- 8.25.12 The receipt of all goods and services should only be made where:
 - a) the works, goods or services have been received, carried out satisfactorily, examined as to quality and quantity
 - b) the goods and services have been previously receipted.
- 8.25.13 The certification of Goods Received acts as the authorisation to pay the grant claim as long as the claim matches the Goods Received entry and purchase order.
- 8.25.14 Where a grant claim is exempt from the ordering process, the claim will be subject to electronic approval by following appropriate rules of delegation.

8.26 Government Procurement Cards

- 8.26.1 Purchasing cards should only be used for official Combined Authority business and
 - i. where it is time critical and normal ordering through the financial systems would not be responsive enough, or
 - ii. where not feasible to order goods and services through the Authority's financial system.

- 8.26.2 It is the cardholder's responsibility to ensure that the purchasing card process guidance is followed. The purchasing card facility may be suspended or withdrawn permanently if the procedure is not followed.

8.27 Financial Systems and Procedures: Allocation of Funding to Projects

- 8.27.1 The allocation of funding to projects shall be done in accordance with the processes as outlined in the Single Assurance Framework.

8.28 Financial Systems and Procedures: Payments to Employees

- 8.28.1 The payment of all salaries, wages, pensions, compensation and all other emoluments to Officers or former Officers of the Combined Authority will be made by the Chief Finance Officer or under arrangements approved by the Chief Finance Officer.
- 8.28.2 Electronic time sheets and other documents to authorise the payment of wages and salaries must be certified by the appropriate Budget Manager (or nominee) within such period before the respective pay days, as may be required. The Chief Finance Officer shall make such checks on pay documents as are considered necessary.
- 8.28.3 All standing information relating to payroll data, such as rates of pay, statutory and non-statutory deductions, allowances, starters and leavers from any of the Combined Authority's payrolls, shall be notified through approved processes by the HR manager to the payroll provider.
- 8.28.4 The detailed procedures to be followed at Combined Authority establishments for the control of overtime working and payment of wages and salaries are set out in formal procedures.
- 8.28.5 All payroll documentation must be filed for the period in accordance with required deadlines and no documentation relating to Officers records or to wages and salaries' payrolls should be destroyed without prior consultation with the Chief Finance Officer.

8.29 Financial Systems and Procedures: Taxation

- 8.29.1 The Chief Finance Officer is responsible for:
- a) ensuring that taxation advice is available to Officers to ensure compliance with relevant legislation
 - b) maintaining the Combined Authority's tax records, making all tax payments, receiving tax credits and submitting tax returns by their due date as appropriate
 - c) completing all HM Revenue and Customs returns regarding Pay As You Earn
 - d) completing and submitting VAT returns to HMRC as necessary.
- 8.29.2 Officers are responsible for:
- a) ensuring the correct VAT liability is attached to all income due and that all claims for VAT recoverable on purchases complies with HM Revenue and Customs regulations and all tax is properly identified and recorded
 - b) ensuring that the Authority is not put at risk in any funding arrangements by identifying the correct VAT treatment in accordance with the VAT Act 1994
 - c) following any guidance on taxation that may be issued by the Chief Finance Officer.

8.30 Financial Systems and Procedures: Expenses

- 8.30.1 All claims for payments of Officers' subsistence allowances, travelling and incidental expenses must be certified by the appropriate Line Manager. Certification means that the certifying Officer is satisfied that the journeys were authorised, the mileage correct, the expenses properly and necessarily incurred and that the mileage and other allowances are properly payable in accordance with the specific conditions of employment of the Combined Authority.

8.31 Financial Systems and Procedures: Travel and Subsistence

8.31.1 Claims, by the Mayor or independent members of the Combined Authority must be in line with the approved Member Allowance scheme and Officers claims for travel and subsistence must be in line with the approved policy.

8.31.2 All claims should be submitted monthly.

8.32 External Arrangements: Partnerships

8.32.1 The Combined Authority is responsible for approving partnership agreements where funding is to be provided by a third party.

8.32.2 The budget holder must present to the Combined Authority sufficient information before a decision is reached about entering a partnership agreement. This should include:

- i. the aims and objectives of the partnership
- ii. a scheme appraisal for financial viability of the project
- iii. risk appraisal
- iv. resources required, both financial and staffing
- v. audit and control requirements

8.33 External Arrangements: External Funding

8.33.1 Before any external funding bid is made, the responsible budget manager shall consult with the Chief Finance Officer to ensure all aspects of funding have been properly considered before submission for approval.

8.33.2 The budget manager shall supply copies of all relevant paperwork to the Chief Finance Officer, including the bid submission, the offer letter and acceptance and any instructions for the completion of the grant.

8.33.3 The Chief Finance Officer is responsible for ensuring that all external funding notified by external bodies is received and properly recorded and monitored in the Combined Authority's Accounts.

8.33.4 It is the responsibility of the budget manager to ensure that the project progresses in accordance with the agreed project and that all expenditure is properly incurred and recorded. They must also ensure that all claims are prepared by the due date, making allowances for audit requirements where applicable.

8.34 Business Continuity and Emergency Planning

8.34.1 Chief Officers through their managers are responsible for ensuring the continuity of their services and providing guidance on the appropriate service priorities to aid planning and recovery of services, if a critical incident was to occur.

8.34.2 All officers should have the objective to effectively and efficiently mitigate against, prepare for, respond to, and recover from any critical incident.

8.34.3 Chief Officers are to ensure the Combined Authority's legal, policy, people, financial and system functions are fit for purpose and meet all statutory requirements and enabling the Combined Authority to operate effectively and efficiently including adherence to the Combined Authority's business continuity plan.

8.34.4 Nothing in these rules or financial procedures shall prevent expenditure being incurred where an emergency or disaster involving destruction of, or danger to, life or property occurs or is imminent.

8.31.5 Where the Chief Officer considers, where possible in consultation with the Head of Paid Service and the Chief Finance Officer, the urgency of the situation will not permit delay, necessary expenditure may be incurred. Action under this paragraph will be reported to the next available meeting of the Board and Audit and Governance Committee.

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CHAPTER 9:

CONTRACT PROCEDURE RULES

Procurement Overview

9.1 Background

- 9.1.1 These rules set out how the Authority will contract their various requirements and how suppliers wishing to work for the Authority can access those opportunities.
- 9.1.2 Public Sector procurement is the process of acquiring goods, services and works for the delivery of an Authority's obligation to its residents and regional visitors.
- 9.1.3 Depending on the nature of the procurement, the value, and any specific social interests that the contract may attract, the procurement process must be designed to facilitate competition, optimise quality, and deliver value for money across the whole life cycle of the contract.
- 9.1.4 To ensure delivery of the above, all procurements must be carried out within a specific legal framework and based on principles of equal treatment, transparency, and non-discrimination.

9.2 Governing Legislation

- 9.2.1 The Local Government Act 1972 section 135 requires Public Bodies to have standing orders for how they enter into contracts. These Contract Procedure Rules ("Rules") set out how the Combined Authority will deliver against this obligation.
- 9.2.2 All Procurements for Contracts, by Combined Authority staff or members (including where managed by an external organisation or public body on the Authority's behalf), MUST comply with these Rules, the Combined Authority's Financial Regulations, **Applicable Public Procurement Legislation** and all other relevant UK Legislation; *with 'applicable' relating to the date on which the procurement is commenced/ advertised, the framework/ DPS/ Dynamic Market was established or where no competitive process is required, a purchase order is raised.*
- 9.2.3 Where there is a discrepancy between these rules and any applicable public procurement legislation, the **Applicable Public Procurement Legislation** is the dominant.
- 9.2.4 Where there is a conflict between the **Applicable Public Procurement Legislation** and any other relevant legislation (as identified during procurement planning) the Monitoring Officer must be consulted immediately to carry out a legal, project risk assessment.
- 9.2.5 Central government guidance should be considered when designing a procurement; specifically, [Procurement Policy Notes](#) (PPNs), [Procurement Act 2023 - Guidance documents](#) and the [National Procurement Policy Statement](#) (NPPS); however, they are generally not mandatory other than where specifically identified as such.
- 9.2.6 Guidance on when and how to apply current PPNs and the NPPS are set out in the **Combined Authority's Procurement Guidance document**.
- 9.2.7 Non-compliance with any of these rules may constitute grounds for disciplinary action.

9.3 Application of the Rules (Regulated Procurements)

- 9.3.1 These rules govern:
 - a. any contract for the supply (*for pecuniary interest*), of goods, services or works, (not exempt/ excluded under 1.4 below) **regardless** of value
 - b. using Frameworks, Dynamic Purchasing Systems or Dynamic Markets
 - c. collaborative procurements,

- d. consultancy requirements
- e. equipment hires or lease through rental agreements
- f. disposal of assets

9.4 Excluded/ Exempted Contracts (Not Regulated)

9.4.1 **These rules do not apply to contracts that are classified as excluded/ exempted**, as defined by the *Applicable Public Procurement Legislation* including but not limited to:

- a) Authority to Authority (Subsidiary) arrangements, vertical or horizontal – subject to approval by the Head of Procurement & Contracting. e.g.
 - i. Vertical - The Combined Authority exercises a parent or similar control or joint control with other contracting authorities on the entity as it does with its own departments, the entity carries out more than 80% of its activities for the controlling authorities and there is no private sector money in the entity.
 - ii. Horizontal - Public body to public body co-operation – to achieve objectives which the authorities have in common, through an arrangement that is solely for the public interest, and the parties perform less than 20% of the services covered by the arrangement on the open market.
- b) Subject matter exemptions:
 - i. Certain types of legal advice e.g., relating to judicial proceedings and/ or dispute resolution
 - iii. Certain types of financial advice e.g., funding or financing arrangements, investment services
 - iv. Employment contracts
 - v. Purchases made at public auction or of goods sold due to insolvency
 - vi. Land contracts (including leases, licences, and transfers)
 - vii. Grants of money, these cannot be contracts as there is no consideration and they are not services required to be delivered by the Authority
 - viii. Specialist Requirements e.g., concessions, emergency, public transport as defined within the current procurement legislation.
- c) Any other arrangements excluded by the *Applicable Public Procurement Legislation*

9.4.2 More specific detail on what may fall into the excluded/ exempted categories is detailed within the supporting *Combined Authority's Procurement Guidance document*; and reliability of that exemption/ exclusion should be confirmed by the Head of Procurement & Contracting and/ or the Monitoring Officer before incurring any expenditure.

9.5 Procurement Objectives

9.5.1 Procurement aims and objectives cover not only those objectives set out in the *Applicable Public Procurement Legislation*, but also those set out in the NPPS and the Authority's own procurement policy; these objectives should be used to determine the contract specific outcomes to be achieved by a specific procurement during the planning process.

9.5.2 These objectives may include, but not be limited to, all or any of the following and their inclusion should be informed by and tailored to the subject matter of the contract (legal, technical and commercial requirements)

- a) Delivering Value for Money
- b) Maximising public benefit (such as delivering Social Value)
- c) Sharing Information
- d) Equal Treatment (non-discrimination), unless justified.

- e) Removing Barriers for Small and Medium Enterprises (SMEs)
- f) Acting (and being seen to act with) Integrity (inc. accountability)
- g) Fair and transparent (effective) competition

9.5.3 Further Guidance on what these mean and how to include them within a procurement is available in the [Combined Authority's Procurement Guidance document](#), and through the National Procurement Policy Statement and Public Policy Notices (PPNs).

9.6 Roles & Responsibilities

9.6.1 [The Head of Procurement & Contracting \(and function\)](#) is responsible for all procurement process and compliance, including; ownership of Procurement Instruction Document and approvals, procurement option appraisals and process design, procurement training, procurement process management (including responsibilities for all notices up to the publication of the Contract Award Notice, ownership of e-tendering portal, ownership and provision of all procurement templates (including Authority standard form contracts)), completion/ approval of procurement template and reports, and oversight of all activities relating to waivers, contract modifications or termination.

9.6.2 [The Contract Manager](#) is responsible for supporting the planning for and management of all contracts (regardless of how they are procured); specifically, feeding into procurement documents relating to contract management requirements, managing all applications for waivers, exemption or modification requests, owning the contract register (ensuring that information is kept up to date and that copies of contracts are attached) and forward planning for re-procurement of cyclical requirements, supporting Project Officers with contract management including financial and quality performance reporting, ensuring compliance with the Authority Governance requirements, publication of all mandatory and optional notices as required post the publication of the Contract Award Notice.

9.6.3 [The Project Lead/ Manager](#) is responsible for all pre-procurement governance and budgetary approvals, overseeing all technical document creation, organising any legal documents that are required, supporting all stages of the procurement process, co-ordinating the resourcing of tender evaluation and moderation sessions, completing any procurement related reports and any pre-contract governance requirements and working with Legal to finalise contracts all in accordance with this document, relevant procurement legislation and other associated legislation.

9.6.4 [The Monitoring Officer](#) is responsible for all legal decisions and activities, whether delegated to legal representatives or being actioned on behalf of the board. In the event of a disagreement within the project team relating to approach, legislation application, or any project governance, the decision will sit with the Monitoring Officer.

9.7 Separation of Duties

9.7.1 As part of the commitment to transparency, accountability, and service integrity, an individual that conducts a procurement, raises a purchase order, or requests a waiver cannot also approve one.

9.7.2 All requests and approval / awards therefore should be raised by one individual and approved by a different individual and in accordance with the decision value and this document.

9.8 Conflicts of Interest

9.8.1 Public procurement legislation, as part of ensuring that all processes are managed fairly and with integrity, require all individuals (officers and members) and suppliers involved in any stage of the contract life cycle to both identify/ disclose and mitigate any perceived, potential and/or actual conflicts of interest.

9.8.2 Compliance with this requirement will include carrying out conflict of interest assessments whenever anyone gets involved in the procurement, approval and/ or contract management.

- 9.8.3 All conflict-of-interest assessments must be recorded on a conflicts of interest register and kept under review during the whole life cycle of the contract. The assessment must also include details of any mitigations taken/ to be undertaken to mitigate potentially unfair outcomes, e.g., use of Ethical Wall agreements, use of alternative evaluators, etc.
- 9.8.4 The Head of Procurement & Contracting will own the register and in conjunction with the Monitoring Officer, advise on appropriate mitigations and risks.

9.9 Procurement Strategy

- 9.9.1 The Authority has established a Procurement Strategy that sets out the agreed approach and standard for designing and delivering procurement procedures.
- 9.9.2 *Combined Authority's Strategy and Policy document* has been created in consideration of the *Applicable Public Procurement Legislation*, Central Government guidance (Procurement Policy Notes (PPNs), ([Procurement policy notes - GOV.UK \(www.gov.uk\)](http://www.gov.uk)), the National Procurement Policy Statement ([National Procurement Policy Statement.pdf\(publishing.service.gov.uk\)](https://www.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/644222/national-procurement-policy-statement.pdf)), and best practice; It details the Authority's visions, medium term plan and the more immediate aims and objectives.
- 9.9.3 Officers are required to align their procurements to this Strategy with guidance available from the Procurement and Legal teams.

9.10 Procurement Policy & Social Value

- 9.10.1 The Authority has created a Procurement Policy which details their commitment to delivering social value through their procurements, this being in consideration of the *Applicable Public Procurement Legislation*, the Public Sector (Social Value) Act 2012 and associated Procurement Policy Notes relating to delivering social value and the Social Value Model (PPN 06/20)([Procurement policy notes - GOV.UK \(www.gov.uk\)](http://www.gov.uk)).
- 9.10.2 The Authority's commitments relate to creating opportunities to support the local economy, local jobs, training opportunities, as well as ensuring the wellbeing of both the staff and the communities in which we work.
- a) Where Social Value is included within a procurement, it must be related to the subject matter of the contract. Further detail is available in the *Combined Authority's Strategy and Policy Document* and the *Procurement Guidance Document*

9.11 Partnership Arrangements

- 9.11.1 The Authority has entered into a number of arrangements with partner authorities for the purchase of various back-office services; officers must therefore liaise with procurement before commencing a new procurement for similar/ additional requirements to ensure that those arrangements are not breached or cause relationship problems across the Authority's partners.

9.12 Corporate Contracts

- 9.12.1 The Authority has established a number of corporate contracts, including but not limited to; stationery, treasury, insurance, and ICT services. Officers must therefore liaise with procurement before carrying out a separate/ an additional procurement for such requirements.

9.13 Use of Consultants

- 9.13.1 Where the Combined Authority requires the technical input of industry experts/ consultants to either resource and/or manage a procurement or inform a specification, or deliver a particular process, officers are required to ensure the following is applied:
- a) The service is for a discrete (or multiple discrete) piece of work and/or is not backfilling a Combined Authority post.
- b) The use of external support has been considered and approved in writing by the relevant Executive Director/Director

- c) The consultants are procured in accordance with these Rules.
- d) The consultant is experienced in and fully understands all *Applicable Public Procurement Legislations* and agrees to be bound by them.

9.14 Working with SMEs

- 9.14.1 The Authority is committed to making contracting opportunities accessible to all interested suppliers; and where appropriate (and not disproportionate to do so) remove barriers to SMEs participating in the procurement.
- 9.14.2 Officers, when designing a procurement, must consider the use of Lots, encouraging consortia bids, structuring the documents to be SME friendly, and setting financial participation thresholds to the minimum needed to manage performance risk/ failure.

9.15 Excluding Suppliers & Subcontractors

- 9.15.1 The Authority may exclude a supplier where they or one of their proposed subcontractors have exhibited behaviours that are unacceptable to the Authority.
- 9.15.2 Details of when and for what (mandatory and discretionary grounds) a supplier may/ must be excluded is available in the *Applicable Public Procurement Legislations*.

9.16 Identifying Opportunities

- 9.16.1 All advertised procurements must be advertised initially on the Central Digital Platform in line with the contract value in the Applicable Public Procurement Legislations. It will also be advertised and managed through the Authority's e-tendering Portal. (<https://in-tendhost.co.uk/cambridgeshirepeterborough-ca/asp/Home>)
- 9.16.2 Suppliers wishing to bid for Authority contracts should register on both the Central Digital Platform and the referenced e-tendering portal. ([Cambridgeshire and Peterborough Combined Authority - Electronic Tendering Site - Home](#)).

9.17 Contracts Register

- 9.17.1 All current contracts are included on the Authority Online Contract Register. This includes details of the current supplier(s), contract value, and the current contract expiry date along with details of any options to extend.
- 9.17.2 The online contract register is updated with details of all new contracts, regardless of how they were procured. (<https://in-tendhost.co.uk/cambridgeshirepeterborough-ca/asp/Contracts/Current>)
- 9.17.3 The Procurement Team is responsible for maintaining the Contract Register. Service areas must supply accurate and complete contract information to support the ongoing accuracy of the Register.

Procurement – Planning, Design, Timings & Documentation.

9.18 Overview

- a) The activities detailed in this section applies where the spend is not exempted from these rules under Section 9.4 above.
- b) Officers, members, and others responsible for spending public funds must consider all of the following legal and best practice obligations when designing a procurement.
- c) No procurement may proceed without an Officer having properly completed the **Procurement Instruction Document** and evidencing that they have considered all of the planning, documentation and process considerations detailed in this document) and that they have all the **required** approvals in place, (e.g., value, duration, lots, budget, risk, authority to procure/ award) all in accordance with the *Procurement Guidance Document*

9.19 Contract Types and Regimes

- 9.19.1 All spend must be classified by type and regimes before a procurement process can be designed; this is due to different types and regimes having different financial thresholds and obligations. The types and regimes include
- a) **Types - Goods** (supplies or products), **Services** (labour, consultants, or technical resources); or **Works** (Construction Projects);
 - b) **Regimes - Utilities** (Gas, electric, Water, transport e.g. Buses on a fixed network), **Light Touch** (social Care, legal services, education), **Concession** (Supplier risk/ paid by service users), **Research** (for the benefit of the public), **Exempt/ Excluded** (Not Covered)

9.20 Contract Durations and Duty to Consider Lots

- 9.20.1 Before a procurement process can be designed/ commenced, officers need to decide both the initial and maximum contract durations (including any optional extension) and what might be the justification to apply those extensions.
- 9.20.2 Depending on the value and nature of the contract being procured, the duration may be limited by the [Applicable Public Procurement Legislation](#). Officers must check with procurement and legal before finalising this decision.
- 9.20.3 When considering the above, officers must consider the use of Lots and the potential benefit of working with (local) SMEs (e.g., reduce overhead costs, local knowledge, public benefit) with the opportunity to achieve economy of scale discounts, manage market uncertainty, and the potential contract management benefits of appointing a single supplier.
- 9.20.4 In considering how to make opportunities accessible to SMEs, officers MUST ensure that they do NOT disaggregate, or sub-divide like of similar requirements purely for the sole purpose of avoiding the rules for above threshold/ public contracts. They must ensure that the process for removing barriers for SMEs does not unfairly advantage them.

9.21 Estimating Contract Values

- 9.21.1 The estimated contract value must include ALL monies that could be paid over the maximum life span of the contract (or Framework/ Dynamic Market), to the successful tenderer(s) regardless of the source; e.g., all planned and potential costs, additional requirements, fees/ commissions, contract extensions and/ or prizes/ participation costs plus any contingencies, whether funded by the authority, other grants or paid by service users. The total must also include VAT.
- 9.21.2 This value must not be artificially inflated or disaggregated as it will feed into various decisions, including route to market, and assessing whether a supplier has the capacity (under two times the annual value of the contract that a supplier may potentially be awarded)
- 9.21.3 The above calculated value, calculations and assumptions must be documented in the **Procurement Instruction Document** and where it exceeds the Authority threshold for a Key decision, this must be notified to legal. It must also be included in the relevant Notice.

9.22 Thresholds

- 9.22.1 Procurement Thresholds are determined by category and sector (regime) ; they determine which routes to market are available and what rules must be followed.
- 9.22.2 The Thresholds come from the [Applicable Public Procurement Legislation](#) (and updated by Procurement Policy Notes) and are based on the Government Procurement Agreement (GPA); these values being updated every other year.
- 9.22.3 The rules and available routes to market are determined by whether the estimated contract value is deemed to be 'Above Threshold' (Covered Procurements/Public Contracts) or 'Below Threshold'. See [Procurement policy notes](#)

- 9.22.4 For Below Threshold spend, the following table sets out a number of routes to market and the estimated value (which exclude VAT) and category/ sector rules for when a route is available for use.

Table 1 – Below Threshold procurement processes

Category/ Sector (Regime)	Level 1 - Single Quote	Level 2a - Request for Quotations /Below threshold	Level 2b Simple Tender
Goods (G)	£0 to £19,999	£20,000 to GPA	N/A
Services (S)	£0 to £39,999	£40,000 to £GPA	N/A
Consultancy Services	£0 to £49,999	£50,000 to £GPA	N/A
Licences	£0 to £GPA		N/A
ICT G & Services	£0 to £GPA		N/A
Works	£0 to £199,999	£200,000 to £599,999	£600,000 to £GPA
Light Touch	£0 to £199,999	£200,000 to £552,950	N/A
Concession (ALL)	£0 to £199,999	£200,000 to £599,999	£600,000 to £GPA
Utilities	£0 to £199,999	£200,000 to £GPA	N/A
Frameworks & DPS	In accordance with Framework Rules (direct award up to £199,999 (where permitted) with further competition above £200,000)		

- 9.22.5 Regardless of the minimum obligations, Officers may choose (or may be instructed by procurement to) conduct a procedure in line with a higher level, including one which is for Above Threshold/ Covered Procurement, including issuing a Tender/ Contract notice to invite interested suppliers to submit a Tender/ participate in the procurement.
- 9.22.6 The Head of Procurement & Contracting may also mandate such a process where the estimate contract value is very close to the relevant £GPA Threshold, or the contract is considered to be high profile/ of public interest, or where it is a condition of the funding that a specific process must be applied.
- 9.22.7 An explanation of what is required for each procurement process/ level is provided below and with further detail being available in the [Procurement Guidance Document](#).

9.23 Risk Assessments

- 9.23.1 Officers are required to carry out a risk assessment as part of the project initiation and planning process, and at the very least, in the following situations:
- where the procurement is both a Key Decision and Above Threshold (a Covered Procurement) AND/ OR
 - is establish a new Framework or Dynamic Market with multiple suppliers
 - includes a Special Purpose Vehicle,
 - is for a contract duration in excess of five years,
 - includes design liabilities and/ or collateral warranties,
 - involves intellectual property,
 - involves a significant Health & Safety consideration,
 - is likely to be subject to significant inflation risks, or
 - where the spend relates to substantial direct awards or contract extensions that carry risks under the [Applicable Public Procurement Legislation](#).
- 9.23.2 The outcome of the risk assessment must both be:

- a) documented in the **Procurement Instruction Document** as it will feed into the process design and governance/ approval process; and
- b) added to the Corporate Risk Register for monthly monitoring by the PMO and Project Lead.

9.24 Preliminary Market Engagement

- 9.24.1 Officers are required as part of designing both the competitive Tendering Procedure and the associated tender documentation to consider running a **Preliminary Market Engagement** event. Such events should be used where a contract has been assessed as high value, high profile, complex or specialist in nature, the market is saturated, made up of SMEs, or is suitable for a consortia delivery model; or as otherwise directed by Procurement. This decision and reason are to be documented in the **Procurement Instruction Document** and the tender record.
- 9.24.2 Where a **Preliminary Market Engagement** event is to be used, it must be advertised using an appropriate notice, and the Authority must take reasonable steps to ensure that participants at an event do not have an unfair advantage in the subsequent procurement; this to be assessed using the Conflict-of-Interest Assessments and documented in the Tender Record.
- 9.24.3 All information shared before, during or after a **Preliminary Market Engagement** event must also be included within the subsequent associated tender documents (Tender Pack).

9.25 Routes to Market, Document Requirement & Timescales

- 9.25.1 The minimum process/ route to market is determined by the category and value; where that value is "Below Threshold", the following table sets out the stages, activities and documents required for each of the three levels set out in table 1 above.

Table 2a – Document and Process Requirement Checklist

		Below Threshold			
		Level 1	Level 2	Level 2a	Level 2b
Stages	Activities/ Documents	Single quote	Request for Quotes (By Invite)	Request for Quotes / Below threshold advertised	Simple Tender
Process for identifying/ inviting suppliers to quote/ tender	Identify suitable supplier (s)	✓	✓	X	X
	Include at least 1 local supplier	✓	✓	X	X
	Invite all Suppliers to tender	X	X	X	X
	Advert on e-tendering Portal	X	X	✓	✓
	Advert on Central Digital Platform	X	X	✓	✓
Communication methodology	Manage by email	✓	X	X	X
	Manage on e-tendering portal	X	✓	✓	✓
Suitability assessment	Excluded/ Excludable Check	✓	✓	✓	✓
	Due Diligence Form - Capacity & Capability	X	✓	✓	Concession
	SQ- Capacity & Capability (Single Stage)	X	X	X	X
	SQ- Common Assessment Standard – single stage – concise form (Works only)	✓	✓	X	Works
	SQ- Common Assessment Standard – separate stage –	X	X	X	Works

	intermediate form (Works Only)				
Documentation to be provided	Specification	✓	✓	✓	✓
	Contract	✓	✓	✓	✓
	RFQ/ Tender Response Document	X	✓	✓	✓
	Form of Tender	X	X	✓	✓
	Tender Instruction inc. timescales	X	X	✓	✓
	RFQ Instructions inc. timescales	X	✓	X	X
Evaluation Methodology	Price Only Evaluation model	✓	✓	X	X
	Quality & Price Evaluation model	X	✓	✓	X
	Quality, Social Value & Price Evaluation model	X	X	✓	✓
Review/ negotiation opportunity	Acceptability Review	✓	X	X	X
	Opportunity to Negotiate	✓	X	X	X
	Opportunity to refresh (ALL Suppliers)	✓	✓	X	X
process considerations	Min Number of evaluators	2	3	3	3
	Estimated timescales for process	2-4 weeks	4-6 weeks	6-10 weeks	12-14 weeks
Outcome notifications	Condition of Participation Outcome Letters	X	X	X	✓
	Award/ Outcome Letters to all suppliers	✓			
	Contract Award notice - Standstill	Discretionary			
	Contracts Detail Notice (above £30k) on the Contracts Finder/ Central Digital Platform	Over £30k incl. VAT			

9.25.2 For Procurements that are Above Threshold (Covered Procurements), the following table sets out the stages, activities, and documents to be included in the design of the procurement by Officers.

9.25.3 Where using a framework, officers must, in addition to the rules below, must comply with the framework rules; where there is a conflict, the framework rules take precedence.

9.25.4 Further guidance on using both Tables 2a and 2b is available in the [Procurement Guidance Document](#).

Table 2b – Document and Process Requirements Checklist

		Above Threshold			Any Value	
		Level 3	Level 3	Level 3	Level 3	Level 3
Stages	Activities/ Documents	Open Tender	Competitive Flexible Procedure	Direct Award	Use Existing Framework	Using Existing DPS/ DM

Process for identifying/ inviting suppliers to quote/ tender	Identify suitable supplier (s)	X	X	✓	X	X
	Include at least 1 local supplier	X	X	X	X	X
	Invite all Suppliers to tender	X	X	X	✓	✓
	Advert on e-tendering Portal	✓	✓	X	X	X
	Advert on Central Digital Platform	✓	✓	X	X	X
Communication methodology	Manage by email	X	X	✓	X	X
	Manage on portal	✓	✓	✓	✓	✓
Suitability assessment	Excluded/ Excludable Check	✓	✓	✓	✓	✓
	SSQ- Capacity & Capability Check (single stage)	✓	✓	✓	✓	✓
	SSQ- Conditions of Participation / limit suppliers	X	✓	X	X	X
Associated Tender Documents to be provided	Specification	✓	✓	✓	✓	✓
	Contract	✓	✓	✓	✓	✓
	Award Criteria & Assessment Methodology Document	✓	✓	✓	✓	✓
	Pricing Documents	✓	✓	✓	✓	✓
	Form of Tender	✓	✓	✓	✓	✓
	Tender Instruction inc. timescales	✓	✓	X	✓	✓
Evaluation Methodology	Price Only Evaluation model	X	X	✓	X	X
	Quality & Price Evaluation model	X	X	X	✓	X
	Quality, Social Value & Price Evaluation model	✓	✓	✓	✓	✓
Review/ negotiation opportunity	Acceptability Review	X	X	✓	X	X
	Opportunity to Negotiate	X	✓	✓	X	✓
	Opportunity to refresh (ALL Suppliers)	X	✓	✓	X	✓
process considerations	Min Number of evaluators	3	4	2	2	3
	Estimated timescales	14-18 weeks	over 26 weeks	2 weeks	4-12 weeks	4-12 weeks
Outcome notifications	Condition of Participation/ Limiting Suppliers Letters	X	✓	X	N/A	
	Standstill Letters*/Assessment Summaries**/ outcome Letters	✓	✓	X	✓	✓
	Contract Details Notice (On Central Digital Platform**)	✓	✓	✓	✓	✓
	Contract Award Notice (On Contracts Finder and Find a Tender Service */ Contract	✓	✓	✓	Optional	

	Award Notice/ Standstill on Central Digital Platform**)				
<p>* For procurements commenced before 24th February 2025</p> <p>** for procurements commenced after 24th February 2025</p>					

9.26 Legal Considerations

9.26.1 Contracts

- a) Every Procurement must be accompanied by a Contract. All contracts must be completed either in hardcopy or electronic form before contract commencement.
- b) The contract may be a standard form, an amended standard form, a bespoke/ project specific contract, or a set of Heads of Terms; and these may be provided either in a finalised or draft form (depending on the route to market being used).
- c) Legal Services are responsible for determining the appropriate form of contract and this must be documented in the **Procurement Instruction Document** as it will feed into various aspects of the process design.
- d) The agreed form of contract must be made available to suppliers as part of the associated Tender Documentation before they are required to submit a price/ tender.

9.26.2 Bonds & Guarantees

- a) All contracts over £250k will include an option for the Authority to request a Performance Bond and/ or a Parent Company Guarantee. The adoption and value of which are at the discretion of the relevant Director. The requirement is likely to be applied where the project or a contractor is deemed as a high risk for failure (likelihood and/or impacts). Advice is available from the procurement team, legal and finance.
- b) Where a bond or guarantee is deemed necessary – this should be in a form acceptable to the Authority and in consideration of the form of contract being used

9.26.3 Non-Procurement Legislation

- a) The design of any procurement must take into account all relevant legislation; as applies to the authority, the project, and the supply chain.
- b) In the event that there is an incompatibility identified between two or more relevant pieces of legislation; this must be escalated to the Monitoring Officer for advice and a decision on how to manage the conflict.

9.27 Procurement Programme

- 9.27.1 In addition to the indicative timescales included in Tables 2a and 2b above, Officers will also need to plan for and include time allowances for complying with the Authority's approvals and reporting requirements. This being particularly significant where a procurement is classified as a Key Decision.
- 9.27.2 Officers should work with the Programme Management office (PMO) team and Contract Manager to create a procurement programme against which resource requirements can be managed.
- 9.27.3 Indicative timescales for different types of approvals are set out in the [Procurement Guidance Document](#).

Procurement Documentation

9.28 Overview

- 9.28.1 The procurement documents required will depend on the selected route to market, the stages, and the activities to be completed; Tables 2a & b above set out the minimum information, process and notification requirements that must be adhered to.

9.29 Notices

- 9.29.1 The publication of the various notices is a legal requirement both to create effective competition and ensure transparency in the spending of public funds, the most commonly used notices and reasons for use are detailed below:
- 9.29.2 An Early Market Engagement Notice – A notice inviting suppliers to engage in an Early Market Engagement Event.
- 9.29.3 A Tender Notice – A notice inviting suppliers to submit a tender or a request to participate – minimum 25 days (unless urgency).
- 9.29.4 Procurement Termination Notices – used to inform the market that the Contracting Authority is terminating the procurement/ not making an award.
- 9.29.5 The Authority may also be required to publish other notices in relation to their plans, events, and/ or other decisions depending on the [Applicable Public Procurement Legislation](#) - Advice should be sought from the Head of Procurement & Contracting and/ or the Contract Manager as part of designing the procurement. Further details on notices and when they are required is included in the [Procurement Guidance Document](#).

9.30 Instructions

- 9.30.1 Officers must ensure that they effectively and transparently communicate with all suppliers' details of the competitive Tendering Procedure and what it will involve (including excluding suppliers, conditions of participation, tender rounds (including intermediate rounds) and/ or negotiation stages), how long it should take and what is required from the supplier at each stage to enable them to progress/ have a chance to be awarded the contract.
- 9.30.2 This document must also detail the procedural rules including providing detail as to how the Authority will manage clarification, incomplete tenders or other rules, the breach of which could amount to their being excluded from the procurement process.
- 9.30.3 In addition, it must detail how suppliers should communicate with the Authority during the procurement process and any rules for participation/ conditions of tendering.
- 9.30.4 It must also detail how suppliers should communicate with the Authority during the procurement process and the various rounds/ activities.

9.31 Due Diligence / Standard Selection Questionnaire/ Conditions of Participation

- 9.31.1 It is essential that the Authority only appoint suppliers to deliver public sector contracts that are deemed suitable (meet the legal, ethical, and social standards) as set out in the Applicable Public Procurement Legislation
- 9.31.2 Equally, it is important to check that they have the capability, capacity, and experience needed to deliver the specific technical requirement; and this is to be checked regardless as to the value of the contract. (Noting that this can only be as a discrete/ separate stage where the contract is over a specific value for the specific category).
- 9.31.3 When procuring works, this capability, capacity, and experience assessment should be based on the Common Assessment Standard either in full or a modified version which as a minimum, meets the requirements of the SQ to be used for non-works procurements.
- 9.31.4 Further information on this is available at Gov.uk ([Standard Selection Questionnaire PPN](#))

9.32 Award Criteria (Evaluation Methodology)

- 9.32.1 Officers are required to design and effectively communicate the evaluation/ assessment methodology that will be applied to the tender responses submitted by suppliers.
- 9.32.2 This must include detailing whether the Assessment Methodology will be based on lowest price (where permitted in the tables above), Price per Quality Point method or a Price: Quality ratio. In either case, the following will apply:
 - a) For quality and social value - the detailed questions include specific response guidance, the scoring methodology/ matrix, and the importance/ weighting to be applied to each question

- b) For Price – details on how the value will be calculated and then how it will be evaluated (e.g., the weighting allocated to the price as a whole or parts therein or divided by the quality score)

9.32.3 Once the Tender Notice has been published, this Award Criteria cannot be amended; unless specifically allowed for in the Tender Notice, the amendment is not substantial, and the change is implemented before the last chance to submit tenders as per the [Applicable Public Procurement Legislation](#)

9.32.4 Further guidance on designing the award criteria and assessment methodology is available in the [Procurement Guidance](#).

9.33 Form of Tender

9.33.1 All Suppliers will be required to sign a disclaimer when submitting their tender; specifically relating to their conduct during the procurement, their adherence to the condition of tendering, the acceptance of the contract terms and their agreement to hold their price open for a specific amount of time.

9.34 Document Format

9.34.1 All documentation and communication will be issued and returned electronically, the documents may, therefore, be issued as attachment in Microsoft or Adobe formats (unless otherwise explicitly stated) or built into and answered in the e-tendering portal.

Procurement Process & Contract Management

9.35 Procurement Launch

9.35.1 The Authority is required to publish a full set of procurement/ Associated Tender documents when they publish the tender notice. Table 2a & b above state when a notice is required and where it must be published.

9.35.2 Suppliers can access these opportunities from the following links:

- E-tendering portal hyperlink ([Cambridgeshire and Peterborough Combined Authority - Electronic Tendering Site - Home](#))
- Central Digital Platform ([Search results - Find a Tender](#))

9.36 Process Management

9.36.1 All competitive procedures (level 2 and above) must be managed through the Authority's e-tendering Portal; including all of the following activities

9.37 Communication with Suppliers

9.37.1 All communication with suppliers should be, as far as practicable, be via electronic means e.g., the e-tendering portal.

9.38 Clarifications

9.38.1 The Authority reserves the right to clarify any omissions, ambiguities, or errors as part of its procurement procedure

9.38.2 All clarifications (by suppliers and the Authority) must be raised and managed through the e-tendering portal.

9.38.3 Where a supplier asks a question, the questions and responses must be shared with all suppliers; an exception being where the supplier specifies that the question is commercially sensitive, and the Authority accepts this.

9.38.4 Where, as part of the evaluation process, the Authority identifies something that appears erroneous, needs to be clarified or was omitted, this must also be raised through the e-tendering portal.

9.38.5 A record of all clarifications must be maintained.

9.39 Evaluation Process

- 9.39.1 The Authority will identify a team Suitably Qualified and Experience Persons (SQEP) to carry out individual evaluations of their allocated question(s) in accordance with the Conditions of Participation/ Award Criteria questions as set out in the procurement documentation. All evaluators will then be required to attend a moderation session.
- 9.39.2 At some/ multiple points in the procurement, the Authority will/ must check a Supplier (and their supply chain's) suitability to deliver the contract. Where a supplier is assessed as Excluded or Excludable (mandatory or discretionary exclusions grounds) the supplier will/ may not be permitted to continue within the process.
- 9.39.3 At Conditions of Participation stage, depending on the route to market, the Authority may limit the number of suppliers to invite through to the next round, depending on how the Competitive Tendering Procedure has been designed.
- 9.39.4 Additionally, at intermitted tender stages, the Authority may, through evaluation, limit the number of suppliers to invite through to the next round.
- 9.39.5 At Award Stage, in all covered procurements, the quality, social value, and price evaluation will be carried out independently.
- 9.39.6 The Authority has the right (but is not obliged) to seek clarification on the submissions as part of the process. Where this prerogative is utilised, all suppliers will be treated equally.

9.40 Negotiations

- 9.40.1 Negotiations will only be permitted where this is expressly stated in the procurement documentation and will be carried out in compliance with the stated process.
- 9.40.2 If a supplier attempts to negotiate a contract post award where this is not permitted, the Authority may disregard the supplier and award the contract to the next ranked compliant supplier.

9.41 Preferred Supplier Identification & Assurance

- 9.41.1 Once a preferred supplier has been identified, and the supplier suitability checks referenced above must be refreshed to ensure that they are still a suitable/ capable (not excluded) supplier.

9.42 Award Decisions and Approvals

- 9.42.1 Tender Report (Audit Trail)
- a) Throughout the life of the procurement, all decisions must be documented in a Project Tender Record, including the recommendation to award.
 - b) This includes where a Direct Award is made.

9.43 Award Governance

- 9.43.1 Before suppliers can be notified of the recommendation, the decision to award must be approved in accordance with the Authority's scheme of delegation.

9.44 Supplier Notifications

- 9.44.1 Once the recommendation is approved, and before the Contract Award notice is published, the Authority will collate and provide each supplier with an assessment summary (supplier feedback).
- 9.44.2 This summary must include the scores and the reason for those scores, for each of the award criteria, in consideration of the assessment methodology as set out in the procurement/ associated tender documents. Unsuccessful suppliers must also be provided with the same information relating to the successful supplier.

9.45 Standstill Period & Contract Notices

- 9.45.1 For all Above Threshold/ covered procurements, the Authority must apply a standstill period before entering into the contract. (Excluding Utilities, Light Touch or contracts awarded under a framework, in which cases a standstill period is optional)

- 9.45.2 A contract award Notice must be published in accordance with the [Applicable Public Procurement Legislation](#).
- 9.45.3 Additionally, where required under the [Applicable Public Procurement Legislation](#), the Authority may be required to publish a Contract Details Notice within 30 days on entering into the contract.
- 9.45.4 Further guidance on Notices is available in the [Procurement Guidance Document](#).

9.46 Spend Approval & Contract Execution Thresholds

- a) All contracts must be signed or executed in accordance with the following rules:

Monitoring Officer	Works – executed as a Deed, regardless of value
	Goods & Services – signed underhand
Responsible Officer	Up to £25k exc. VAT
Project Director including Assistant Director's	Up to £250k exc. VAT
Monitoring Officer	Up to £1 million exc. VAT
Key Decisions Process	Over £1 million exc. VAT

- b) A record of the contract and a copy of all executed contracts must be added to the Contract Register (with physical copies of contracts executed as a deed stored securely).

Contract Management

9.47 Overview

- 9.47.1 Contracts must be managed in accordance with the [Applicable Public Procurement Legislation](#) under which they were procured and the Authority's [Procurement Guidance Document](#).

9.48 Meetings & Performance Management

- 9.48.1 The Contract Manager is responsible for establishing appropriate meetings to support contract mobilisation, ongoing contract management, and performance monitoring. As a minimum, these meetings will monitor and report on the following:
- a) [Supplier & Supply Chain Suitability](#) – ensure the Authority is not contracting directly or indirectly with unsuitable (Excluded/ Excludable) suppliers.
 - b) [Key Performance Indicators](#) – delivery against the agreed levels.
 - c) [Contract Performance](#) – overall performance and delivery of the contract in accordance with its terms and conditions.
 - d) [Contracting Authority Payment Performance](#) – the Authority is required to pay the Supplier within 30 days of receiving a valid/ undisputed invoice.
 - e) [Supplier Payment Performance](#) - the Supplier is required to pay their supply chain within 30 days of receiving a valid/ undisputed invoice.
 - f) [Supplier Contracts](#) – the supplier is required to enter into a legally binding agreement with suppliers on whom they are relying on to meet the technical, legal, or financial conditions of participation.
 - g) [Modifications](#) – all modifications to a contract must be documented, along with their value and justification.

9.49 Contract Modifications

- 9.49.1 All modifications must be managed in accordance with the contract and in compliance of what is permitted under the [Applicable Public Procurement Legislation](#).

9.50 Termination

- 9.50.1 In the event that any performance requirements are not being met, the Authority may terminate the contract in accordance with the stated contract clauses. Where required, this to be reported in accordance with the Applicable Public Procurement Legislation.

9.51 Notices

- 9.51.1 Where required under the *Applicable Public Procurement Legislation*, the Authority may be required to publish a notice. These notices which may be required include.
- a) **Contract Performance Notice** – used to report on KPIs and whether the contract is being delivered to the required standards.
 - b) **Payment Compliance Notice** – used to publish the Contracting Authorities payment performance.
 - c) **Contract Modification Notice** – used to publish detail of a proposed modification to a contract where there is an increase of decrease in the estimated contract value over a specific value.
 - d) **Contract Termination Notice** – used where the Contracting Authority terminates a contract in full.
- 9.51.2 Further Guidance is available from procurement.

Other Procurement Considerations

9.52 Waivers & Exemption Approvals

- 9.52.1 Where an officer seeks to deviate from the requirements of this document a waiver must be completed and approved in accordance with the following rules:

All Waivers regardless of value need to be signed off by The Chief Finance Officer and the Monitoring Officer, with their respective Deputy officer being able to act in their absence.

	Activity	Approval Requirements
Exemption from (level 2a)	Goods, Services, Light Touch and Utilities up to £GPA threshold Works and Concession up to £600k (exc. VAT)	The responsible officer, Project Finance Officer, Procurement, Legal, Chief Finance Officer, Monitoring Officer and Director
Exemption from (level 2b)	Works and Concession Over £600k (exc. VAT) up to £GPA threshold Spend over Key Decision value must be taken to Board for approval by the Project Director and Monitoring Officer	The responsible officer, Project Finance Officer, Procurement, Legal, Chief Finance Officer, Monitoring Officer and Director and where a Key Decision, the individual(s) with delegated authority.
Exemption from further competition under a framework	Over £200k up to £500k (exc. VAT) (ALL)	The responsible officer, Project Finance Officer, Procurement, Legal, Chief Finance Officer, Monitoring Officer and Director

- 9.52.2 Where a contract is awarded under a waiver and is over £30k Inc. VAT, a Notice must be published in accordance with the *Applicable Public Procurement Legislation*
- 9.52.3 Where an Officer deems that the proposed expenditure is exempt from these rules, the Officer must complete a procurement exemption form regardless of value and/or category/sector. This must be approved by Procurement and Legal.

9.53 Collaborative Procurements

- a) Where the authority is required under its own powers or at the request of a partner authority to procure on its behalf, those procurements must comply with *Applicable Public Procurement Legislation*, and other relevant legislation more generally,

- b) Each Authority must comply with their own rules with regards Financial, Procurement and delegated authority requirements; and then equally, their own scheme of delegation for contract signature.

9.54 Purchase Cards

- 9.54.1 The authority operates a purchase card facility; these are used for low value or one-off incidental spend where it is not efficient to add a supplier to the finance system and carry out a competitive procurement process. They may not be used as a means to disaggregate or bypass these rules.

9.55 Community Right of Challenge

- 9.55.1 Section 81 of the Localism Act 2011 permits relevant bodies (charities, community bodies, town and parish Authority Services and Staff) to submit Expressions of Interest to provide Authority Services. Corporate Services shall maintain and publish a timetable for the submission of interest. Any such expressions shall be forwarded to the Transformation Team.

9.56 Disposal of Goods & Assets

- 9.56.1 Where the Authority has goods or assets that are no-longer required these are to be disposed of through a closed-bid auction process. The Authority has an eBay account for this purpose and any department wishing to use it needs to do so through the Procurement team.

9.57 Grants

9.57.1 Application Process

- a) The Authority is the recipient and administrator of substantial funding from central government and potentially, other funders.
 - b) Where this funding is to be granted to an organisation to deliver specific aims and objectives for the Cambridgeshire and Peterborough communities, this will be administered through the Authority's [Single Assurance Framework \(SAF\) process](#).
 - c) The SAF process ensures transparency, consistency, and equal treatment of all applicants. All proposed Grant Funding Agreements (GFAs) are submitted through the SAF process, which includes an internal funding panel review followed by consideration by the formal Funding Committee.
 - d) Further details of the SAF process are set out in Chapter 19 of the constitution
- The Authority reserves the right to apply a funding specific application process (subject to approval by the Monitoring Officer)

9.57.2 Grant Agreements

- a) Where a grant is issued, it must be awarded in accordance with the Authority's process and recorded on the Authority's Grant's Register.
- b) All grants must include:
 - i. Details of what the applicant has committed to provide for the funding.
 - ii. Payment details including any payment conditions and frequency; and
 - iii. Any flow-down requirements relating to obligations that apply to the Authority including where relevant, reporting and clawback options
 - iv. All grants over £100,000 **MUST** be executed as a Deed.

9.57.3 Monitoring & Reporting

- a) A register of all grants issued must be maintained, this to include details of the recipient, the value, the funder, and the purpose.

- b) Where the funding including reporting or other delivery/ payment obligations, this information must also be included in the register e.g., conditions, monies paid, and delivery against the funding.
- c) Where the grant includes reporting obligations, periodic meetings (as agreed as part of the grant agreement) must be held between the recipient and the Authority to ensure the recipient is both delivering as per their application and providing the required information.

CHAPTER 10:

ACCESS TO INFORMATION, INFORMATION GOVERNANCE, DATA PROTECTION AND COMPLAINTS

Access to Information

10.1 Access to Information Procedure Rules

- 10.1.1 These rules (also see [Chapter 18, Annex 9 the Member Access to Information Protocol](#)) are a summary of rights to attend meetings of the Authority its Boards, Committees and Sub-Committees, and of access to documents held by the Authority and the elected Mayor for the Cambridgeshire & Peterborough Combined Authority. The Authority will keep at its principal office a summary of various rights to attend meetings and to inspect documents in the Authority's and the Mayor's possession, conferred by the [Local Government Act 1972](#) and by some other legislation.

10.2 Access to Meetings

- 10.2.1 A meeting of the Authority (including meetings of its Board, Committees and Sub-Committees) is open to the public, except as stated in the rules within this section (10.2) and 10.3 below.
- 10.2.2 The public must be excluded from a meeting during any item of business whenever it is likely that, if they were present, confidential information would be disclosed in breach of the obligation of confidence. Confidential information means information provided on a confidential basis by a Government department, and information the disclosure of which is prohibited by statute or by Court order.
- 10.2.3 The public may be excluded by resolution during an item of business whenever it is likely that there would be disclosure to them of 'exempt information'. Exempt information is defined to cover such matters as personal information, financial and business affairs of people or companies with whom the Authority has dealings, and of the Authority itself, action likely to lead to criminal proceedings, matters relating to industrial relations consultations and negotiations and matters relating to legal proceedings. A description of 'exempt information' is set out in [Schedule 12A to the Local Government Act 1972](#), as amended.
- 10.2.4 Attendance does not provide an automatic or guaranteed right to speak at meetings.
- 10.2.5 Public meetings may be filmed or recorded in accordance with this [Chapter 5: Standing Orders](#), paragraph 5.8.3.

10.3 Access to Agenda and Connected Papers

- 10.3.1 Copies of the agenda and reports for a meeting of the Authority or of any of its Boards, Committees or Sub-committees must be open for inspection by the public, except for any report on an item during the consideration of which the meeting is not likely to be open to the public. Documents must be available five clear days before the meeting, or as soon as the meeting is convened, or the item added to the agenda, if that is less than five clear days before the meeting. The agendas and reports will be published on the Authority's website.
- 10.3.2 The agendas and reports will be made available to members of the public present at a meeting; and will be made available, on request, to the media.

10.4 Inspection of Minutes

- 10.4.1 After a meeting and once the minutes have been signed, a copy of the minutes (or if any of the meeting was held in private, a summary of what took place in private), together with the documents made available for public inspection by being published on the Authority's website.

10.5 Inspection of Background Papers

- 10.5.1 Members of the public may also inspect a list of background papers for any report (except those reports containing 'confidential' or 'exempt' information) and a copy of each of the documents included in that list. This right is available as soon as the report to which the list relates is published and continues for four years from the date of the meeting. (In the case of the public right to inspect background papers, the right is subject to their production as soon as is reasonably practicable after the request is made). Background papers disclosing confidential or exempt information are not required to be listed, but, if they are listed, they will not be open to inspection.
- 10.5.2 Background papers are documents which relate to the subject matter of a report, disclose any fact or matter on which the report is based, and have been relied on to a material extent in preparing the report - but exclude any published work. Requests for inspection of such documents should be made to the Monitoring Officer who will arrange for the production of such documents as soon as reasonably practicable after the request. Where reasonably practicable, a link to the background papers will be published on the Authority's website.

10.6 Additional Access for Members of the Authority

- 10.6.1 Any document in the possession or under the control of the Mayor or the Authority which contains material relating to any business to be transacted at a meeting is open to inspection by a Member (subject to **Rule 10.6.2 below**) and must be available for inspection for at least five clear days before the meeting except:
- a) where the meeting is convened at shorter notice, such a must be available for inspection when the meeting is convened; and
 - b) where an item is added to the agenda at shorter notice, a document that would be required to be available in relation to that item, must be available for inspection when the item is added to the agenda
- 10.6.2 Where a document discloses certain specified categories of exempt information it need not be open to inspection by the Mayor or a Member. These categories relate mainly to personal information relating to crime or legal proceedings, or matters concerned with negotiations or industrial relations.
- 10.6.3 Where it appears to the proper Officer that compliance with the **Rules below**, in relation to a document or part of a document would involve the disclosure of advice provided by a political adviser or assistant that paragraph will not apply to that document or part.

10.7 Additional Rights of Access to Documents for Members of the Overview & Scrutiny Committee

- 10.7.1 Subject to Rule 10.7.3 below, a Member of the Overview & Scrutiny Committee of the Authority is entitled to a copy of any document which:
- a) is in the possession or under the control of the Mayor or the Authority and
 - b) contains material relating to:
 - i. any business that has been transacted at a meeting of a decision-making body of the Authority.
 - ii. any decision that has been made by the Mayor under the authority granted to them by statute, regulation, order, directive or the Authority.
 - iii. any decision that has been made by an officer of the Authority for which they are responsible to the Mayor or the Authority.

- 10.7.2 Subject to Rule 10.7.3 below, where a member of an overview and scrutiny committee requests a document which falls within Rule 10.7.1 above, the Mayor and/or the Authority must provide that document as soon as reasonably practicable and, in any case, no later than 10 clear days after the request is received.
- 10.7.3 No Member of the Overview & Scrutiny Committee is entitled to a copy of any document, or part of a document, or part of a document that contains exempt or confidential information, unless the Monitoring Officer considers it is relevant to:
- a) an action or decision that the member is reviewing or scrutinising
 - b) any review contained in any programme of work of a scrutiny committee or sub-committee which they are a member of
 - c) any decision which contains advice provided by a political adviser or assistant.
- 10.7.4 Where the Mayor or the Authority determines that a member of the Overview & Scrutiny Committee is not entitled to a copy of a document or part of any such document for a reason set out in Rule 10.7.3 above, it must provide the Overview & Scrutiny Committee with a written statement setting out its reasons for that decision.

10.8 Publication of Additional Information

- 10.8.1 The Authority must maintain a register stating the name of the Mayor, every Member and their appointing council or the Business Board. The register is published on the website and is also open to inspection by the public at the offices of the Authority at 2nd Floor Pathfinder House, St. Mary's Street, Huntingdon, Cambridgeshire, PE29 3TN between the hours of 09:00 and 16:30 on working days.
- 10.8.2 The Authority will maintain a list specifying the powers delegated by it or by the Mayor to its Officers and stating the title of the Officer by whom each of those powers is exercisable. The list is published on the website and also open to public inspection but excludes delegations of less than six months' duration.

10.9 Financial Documents

- 10.9.1 The Mayor or a Member of the Authority has a right to inspect the Authority's accounts.
- 10.9.2 Any local government elector for the district of a constituent Council or a non-constituent Council has the right to inspect an order for the payment of money made by the Authority, and the right to inspect the statement of accounts prepared by the Authority under the [Accounts and Audit \(England\) Regulations 2015](#) (as amended).
- 10.9.3 At the audit of the Authority's accounts by the external auditor, any persons interested may inspect the accounts to be audited and all books, deeds, contracts, bills, vouchers and receipts relating to them except that no personal information about a member of the Authority's staff or any other identifiable person is required to be disclosed.

10.10 Documents Deposited with the Combined Authority

- 10.10.1 Documents may be required to be deposited with a proper officer of the Authority, either under an Act of Parliament or statutory instrument, or pursuant to the Standing Orders of either House of Parliament. A person interested in any such document may inspect it. Requests should be made to the Monitoring Officer.

10.11 Other Documents

- 10.11.1 Any report received from the Local Government Ombudsman under [section 30 of the Local Government Act 1974](#) must normally be open to public inspection for a period of three weeks, but the Ombudsman may direct that a particular report shall not be publicly available.
- 10.11.2 Where a public inquiry is to be held into a compulsory purchase order made by the Authority, a statement of the Authority's case to the inquiry, together with copies of any documents it intends to submit to the inquiry, must be made available for inspection by any person on request.

- 10.11.3 The [Local Government \(Inspection of Documents\) \(Summary of Rights\) Order 1986](#) lists many other statutory provisions under which documents are required to be available to the public.

10.12 Fees

- 10.12.1 No fee will be charged for providing the facility of inspecting background papers.
- 10.12.2 A person who is entitled to inspect a document may (unless copyright law forbids it) make copies of, or extracts from it, or require a photographic copy of, or extract from, the document. The Authority reserves the right to make a charge for providing copies of documents.

10.13 Meaning of Exempt Information

- 10.13.1 Exempt information means information falling within the following seven categories and within [schedule 12A of the Local Government Act 1972](#), subject to the qualifications listed below:

CATEGORY	
1.	Information relating to any individual.
2.	Information which is likely to reveal the identity of an individual.
3.	Information relating to the financial or business affairs of any particular person (including the authority holding that information).
4.	Information relating to any consultations; or negotiations, or contemplated consultations; or negotiations, in connection with any labour relations matter arising between the authority; or a Minister of the Crown and employees of; or office holders under the authority.
5.	Information in respect of which a claim to legal professional privilege could be maintained in legal proceedings.
6.	Information which reveals that the authority proposes: (a) to give under any enactment a notice under or by virtue of which requirements are imposed on a person; or (b) to make an order or direction under any enactment.
7.	Information relating to any action taken or to be taken in connection with the prevention or investigation or prosecution of crime.

QUALIFICATIONS
Information relating to the financial or business affairs of any particular person is not exempt if it is required to be registered under: a) the Companies Act 1985 ; b) the Friendly Societies Act 1974 and 1992 ; c) the Industrial and Provident Societies Acts 1965 to 1978 ; d) the Building Societies Act 1986 ; or e) the Charities Act 1993 . Information is exempt if and in so long as in all circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information.

10.14 Procedure Before Taking a Key Decision

- 10.14.1 Subject to Rule 6.5 (general exceptions) and Rule 6.6 (special urgency) [in [Chapter 6 – Decision Making](#)] a Key Decision may not be taken unless:
- a) a notice (called here a Forward Plan) has been published in connection with the matter in question at the offices of the Authority and on its website

- b) where the decision is to be taken at a meeting of the Authority or one of its committees/sub-committees, notice of the meeting has been given in accordance with the rules regarding the notice for meetings.

10.14.2 Where a decision has been made by the Mayor, the Authority or an Officer and was not treated as being a Key Decision and the Overview & Scrutiny committee is of the opinion that the decision should have been treated as a Key Decision, that Overview & Scrutiny committee may require the decision maker to submit a report to the authority within such reasonable period as the committee may specify.

10.14.3 A report under Rule 10.14.2 must include details of the decision and the reasons for the decision; the decision maker; and the reason the decision maker is of the opinion that the decision was not a Key Decision.

Information Governance

10.15 Why the Combined Authority collects information about individuals (or groups)

10.15.1 The Combined Authority collects and processes various categories of personal information at the start of, and for the duration of an individual (or groups) relationship with it. The Combined Authority will limit the collection and processing of information to what is necessary to achieve one or more legitimate purposes as identified below. The Combined Authority uses personal information for a limited number of purposes and always in line with its responsibilities, and where reasonable the wishes of the individual (or group), where there is a legal basis to use personal information and in relation to the rights of the individual (or group).

10.15.2 The Combined Authority processes personal information:

- a) For the purpose for which information was provided, for example services the Combined Authority has/is providing in relation to transport, public service reform, business and skills, and housing
- b) To enable the Combined Authority to communicate with the individual (or group) and for the provision of services therein
- c) To monitor the Combined Authority's performance in providing services; to gather statistical information to allow the Combined Authority to plan future provision of services; and to obtain opinion about our services
- d) To meet various legal requirements
- e) For the prevention and/or detection of crime
- f) To process financial transactions including grants and payments directly involving the Combined Authority or where it is acting on behalf of other government bodies
- g) For general processing where the individual (or group) has given consent for the Combined Authority to do so
- h) Where it is permitted under the Data Protection Act, for example, to comply with legal obligations, or for the Combined Authority to seek legal advice or undertake legal proceedings
- i) For marketing purposes to keep the individual (or group) updated on the latest news and services

10.16 Ways in which the Combined Authority collects information

Face-to-Face

10.16.1 The Combined Authority may keep a record of an individual (or groups) visit to it, to assist in the delivery and improvement of the services that it provides. Any such records that include personal information will be kept securely.

Telephone calls

- 10.16.2 Ordinarily, the Combined Authority will inform an individual (or group) if it records or monitors any telephone calls made to it. The Combined Authority may do this to increase the security of an individual (or group) so that it has a record of a call taking place and/or for training and quality purposes.

Emails

- 10.16.3 If you email us, we may keep your email as record that you have made contact. This includes your email address. We will not include any personal or otherwise confidential information in any email we send to you unless it is sent securely, or you have agreed to us contacting you with this information. We would also recommend that you keep the amount of personal or confidential information you send to us via email to a minimum.

Online

- 10.16.4 On the Combined Authority's website there will be links to other external websites which are provided for the information and convenience of visitors. The [data protection policy](#) applies solely to the Cambridgeshire and Peterborough Combined Authority. The Combined Authority is not responsible for the content of external websites. It is recommended that when visiting external websites time is taken to read the privacy notices provided by them.

10.17 What the Combined Authority does with the information from individuals (or groups)

- 10.17.1 When deciding what personal information to collect, use and hold, the Combined Authority is committed to making sure that it:
- Only collects, holds and uses personal information where it is necessary, lawful and fair to do so
 - Keeps personal information secure and protected against unauthorised access, loss or misuse
 - Securely disposes of any personal information when it is no longer required
 - Is open and transparent with the individual (or group) on how it uses information and who it shares it with
 - Adopts and maintains high standards in handling any personal information
 - Regularly reviews and updates its data protection practices to reflect changes in law
- 10.17.2 The Combined Authority may disclose personal information to a third party, but only where this is required by law, where that third party needs that information to provide a service on behalf of the Authority, or where it is otherwise allowed under the Data Protection Act. The Combined Authority will strive to make sure that the third party has sufficiently robust systems and procedures in place to protect personal information

10.18 Who the Combined Authority may share information with

- 10.18.1 The Combined Authority will not share information outside of the Cambridgeshire and Peterborough Combined Authority except:
- a) Where the Combined Authority has the permission of the individual (or group)
 - b) Where required for the service the Combined Authority is providing
 - c) Where the Combined Authority is required by law and by law enforcement agencies, judicial bodies, government, tax authorities or other regulatory bodies
 - d) With third parties, external partners, and agencies assisting the Combined Authority in delivering a service to the individual (or group)
 - e) With external partners to improve, and advance the service the Combined Authority provides to the individual (or group)

10.19 Data Protection

- 10.19.1 The Cambridgeshire and Peterborough Combined Authority is a data controller for the purposes of the [Data Protection Act 2018](#). The Authority collects, processes and stores a wide range of information, including personal data to deliver services efficiently. The Combined Authority is responsible for managing the information that it holds and recognises this is important information to residents. The Combined Authority takes its responsibilities seriously and handles personal information fairly, correctly and safely in line with the UK's data protection laws.
- 10.19.2 The Combined Authority [Data Protection Policy](#) is published on our website.

10.20 Complaints

- 10.20.1 The Combined Authority is committed to providing high-quality services all members of the public, businesses and organisations. The Combined Authority welcomes customer feedback and uses it to continually improve services.
- 10.20.2 The Combined Authority has a two-stage policy:
[Informal Complaint](#)
- 10.20.3 The Combined Authority is committed to resolving complaints as quickly and efficiently as possible. Therefore, the Combined Authority will always try to deal with a complaint informally. Staff at the Combined Authority will do their absolute best to resolve the complaint without requiring further action from the complainant.
[Formal Complaint](#)
- 10.20.4 If the complainant has spoken to Combined Authority staff about their complaint but they have not been able to put things right, or they are not happy with the outcome, the next step is to make a formal complaint in writing to the Monitoring Officer.
- 10.20.5 The Complaints Policy describes how the Combined Authority deals with complaints and the role of the Local Government and Social Care Ombudsman. This can be found at [Chapter 18: Policies, Procedures and Protocols, Annex 10](#).

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CHAPTER 11:

EMPLOYMENT RULES AND REGULATIONS

11.1 Introduction

- 11.1.1 These rules set out how officers are appointed and dismissed and the role that Elected Members have in officer appointments and dismissals.

11.2 Definitions

- 11.2.1 For the purpose of these rules the definitions of “Chief Officer”, “Deputy Chief Officer”, and “Disciplinary Action” are as set out in [Chapter 7: Boards and Committees](#) of this Constitution relating to the Employment Committee.

11.3 Appointment of Head of Paid Service, Monitoring Officer, Section 73 Officer and Chief Officers

- 11.3.1 Where the Combined Authority proposes to appoint a Head of Paid Service (Chief Executive), Monitoring Officer, an officer with the responsibilities set out in [Section 73\(1\) of the Local Government Act 1985](#) (Chief Finance Officer) or Chief Officer the Employment Committee will draw up a statement specifying:

- a) the duties of the Officer concerned and
- b) any qualifications or qualities to be sought in the person to be appointed.

Where it is not proposed that the appointment be made exclusively from among the Combined Authority’s existing officers the Committee will make arrangements for:

- a) the post to be advertised in such a way as is likely to bring it to the attention of persons who are qualified to apply for it; and
- b) for a copy of the statement referred to above to be sent to any person on request

Where a post has been advertised in accordance with paragraph c) above the Committee will:

- a) interview all qualified applicants for the post or select a short list of such qualified applicants and interview those included on the short list.

Where no qualified person has applied the Committee will:

- b) make further arrangements for advertisement in accordance with paragraph c) above.

- 11.3.2 The Combined Authority Board will approve the appointment of the Head of Paid Service (Chief Executive), the Monitoring Officer and the officer with the responsibilities set out in [section 73\(1\) of the Local Government Act 1985 \(Chief Finance Officer\)](#) (“the statutory officers”) following the recommendation of the Committee.

- 11.3.3 Appointments of Chief Officers will be made by the Committee.

- 11.3.4 All decisions on the appointment of Chief Officers, or decisions on recommendations to the Combined Authority Board on the appointment of statutory officers, made by the Committee shall be decided by a majority of voting Members, subject to that majority including the vote of the Mayor, or the Deputy Mayor acting in place of the Mayor.

- 11.3.5 Where it is necessary to appoint an interim Head of Paid Service [Chief Executive], Monitoring Officer, or Section 73 Officer [Chief Finance Officer] on an urgent basis that appointment shall be made by the Employment Committee.

- 11.3.6 When making decisions as to the appointment or dismissal of statutory officers and Chief Officers the Employment Committee shall include the Mayor or Deputy Mayor in their place.

- 11.3.7 The appointment of officers at or below Deputy Chief Officer level shall be the responsibility

of the Chief Executive or of any officer nominated by them in relation to a particular appointment.

11.4 Avoiding Conflicts of Interest in the Appointment Process

- 11.4.1 Any person seeking appointment as an Officer of the Combined Authority shall be required to state in writing whether they are the parent, grandparent, partner, child, stepchild, adopted child, grandchild, brother, sister, uncle, aunt, nephew or niece ("relative") of an existing Member or Officer or the partner of such persons.
- 11.4.2 No candidate related to a Member or Officer as described above will be appointed as Head of Paid Service or as a Chief Officer without the agreement of the Mayor.
- 11.4.3 An Officer or Member must not be involved in the appointment or any other decision relating to the discipline, promotion, pay or conditions of an officer, or prospective officer who is a relative, partner, partner of a relative or friend. Friendship connotes a relationship going beyond regular contact with colleagues in the course of employment.
- 11.4.4 Any applicant who directly or indirectly seeks the support of any Member for any appointment within the Combined Authority will be disqualified from the recruitment process.
- 11.4.5 No Member of the Combined Authority shall seek support for any person for appointment with the Combined Authority. This shall not be interpreted to mean that Members and officers are precluded from giving a written reference for a candidate for submission with an application for employment as appropriate.

11.5 Dismissals and Disciplinary Action

- 11.5.1 Only the Combined Authority Board may dismiss the Head of Paid Service (Chief Executive), the Section 73 Officer (Chief Finance Officer) or the Monitoring Officer ("the statutory officers") as a result of disciplinary action following the recommendations of the Statutory Officer Investigatory Panel.
- 11.5.2 A statutory officer may not be dismissed by the Combined Authority unless the relevant procedures set out in these Rules have been complied with.
- 11.5.3 The Statutory Officer Investigatory Panel shall have authority to take disciplinary action falling short of dismissal against the statutory officers and to suspend and keep under review any suspension of those statutory officers.
- 11.5.4 The Employment Committee will have authority to dismiss Chief Officers. Any Chief Officer so dismissed shall have a right of appeal to the Combined Authority Board in accordance with the Authority's Appeals Procedures.
- 11.5.5 The Mayor or the Deputy Mayor in their place shall be a member of the Statutory Officer Investigatory Panel which meets to consider a dismissal or recommendation for dismissal under paragraph 11.5.1 or 11.5.3.
- 11.5.6 Members will not be involved in the dismissal of any officer at or below Deputy Chief Officer level except where such involvement is necessary for the investigation or inquiry into alleged misconduct through the Combined Authority's disciplinary procedures as adopted from time to time.

11.6 Avoiding Conflicts of Interest in Dismissals and Disciplinary Action

- 11.6.1 No member or substitute member who has sat as a member of the Statutory Officer Investigatory Committee or Employment Committee when a recommendation or decision has been made as to the dismissal or disciplining of an officer under Section 5 above shall sit as a member of the Combined Authority Board when it considers any such recommendation or an appeal by the officer against any such decision.

11.7 Employee Code of Conduct

- 11.7.1 All officers are required to sign an agreement to be bound by the Employee Code of Conduct and all Chief Officers and Deputy Chief Officers are required to complete a register of interests form in accordance with the Code.

11.8 Officer Appointments to the Mayoral Office

- 11.8.1 Certain designated posts within the Mayoral office will be subject to the protocol at [Chapter 19: Policies and Protocols, Annex 11](#). These posts are:
- a) Chief of Staff
 - b) Mayoral Adviser
 - c) Senior Policy Adviser.

11.9 Politically Restricted Posts

- 11.9.1 Certain posts are “politically restricted” for the purposes of [Part I of the Local Government and Housing Act 1989](#). The Protocol on Political Restriction at [Chapter 19: Policies, Procedure and Protocols, Annex 3](#) sets out the rules which apply to such posts.

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CHAPTER 12: ALLOWANCES

Background

- 12.1 The Cambridgeshire and Peterborough Combined Authority Order 2017 established the statutory remuneration framework for the CPCA. It provided authority for the CPCA to establish an Independent Remuneration Panel (or IRP) to make recommendations for the remuneration of the CPCA elected Mayor. The CPCA cannot pay more than the IRP recommends although it may pay less.
- 12.2 The Combined Authorities (Overview and Scrutiny Committees, Access to Information and Audit Committees) (Amendment) Regulations 2024 gave all Combined Authorities power to remunerate, in addition to their Mayor:
- A member of a constituent council who is appointed to an Overview and Scrutiny Committee or to a Sub-Committee of that Committee; or
 - A member of the Combined Authority or a member of a constituent council who is appointed to the Audit Committee of the Combined Authority
- 12.3 The allowances in the table below were agreed by the Combined Authority Board on 4 June 2025, following recommendations from the Independent Remuneration Panel (IRP).

	Role	Allowance
	Mayor	£93,000
Overview and Scrutiny Committee	Chair	£5,900
	Vice Chair	£2,950
	Member	£2,176
	Rapporteur	£2,611
	Substitute at formal meeting	£145*
	Substitute at working group/training/induction	£73*
Audit and Governance Committee	Independent Chair	£5,900
	Vice Chair	£2,950
	Member	£2,176
	Independent Member	£3,068
	Substitute at formal meeting	£145*
	Substitute at working group/training/induction	£73*

TABLE 1 – ALLOWANCES AS AGREED BY CA BOARD ON 4 JUNE 2025 FOR 2025-26

* Substitutes are paid an ad-hoc allowance per meeting, all other allowances are annual figures

- 12.4 The full report of the IRP can be found [here](#).
- 12.5 Following the annual percentage salary increase for CPCA staff in 2025, the same NJC indexation was applied to all Member allowances and backdated to the start of the municipal year. The current allowances are shown in table 2 below.

	Role	Allowance
	Mayor	£95,976
Overview and Scrutiny Committee	Chair	£6,088.80
	Vice Chair	£3,044.40
	Member	£2,245.63
	Rapporteur	£2,694.55
	Substitute at formal meeting	£149.64
	Substitute at working group/training/induction	£75.34
Audit and Governance Committee	Independent Chair	£6,088.80
	Vice Chair	£3,044.40
	Member	£2,245.63
	Independent Member	£3,166.18
	Substitute at formal meeting	£149.64
	Substitute at working group/training/induction	£75.34

TABLE 1 - CURRENT ALLOWANCES (NOVEMBER 2025)

* Substitutes are paid an ad-hoc allowance per meeting, all other allowances are annual figures

- 12.6 Allowances paid in the previous municipal year will be published by the Combined Authority each year.
- 12.7 From 11 May 2026, Councillors and Mayors in England can join the Local Government Pension Scheme. From the 2026/27 reporting onwards the annual record of allowances will also show how much the authority paid into member pensions during the year.

CHAPTER 13:

THE AUDIT & GOVERNANCE COMMITTEE

13.1 Governance

- 13.1.1 The Combined Authority has appointed an Audit and Governance Committee. The **committee is a statutory, non-executive committee.**

13.2 Functions

- 13.2.1 The Audit and Governance Committee shall have the following statutory powers to:
- a) review and scrutinise the authority's financial affairs;
 - b) review and assess the authority's risk management, internal control and corporate governance arrangements;
 - c) review and assess the economy, efficiency and effectiveness with which resources have been used in discharging the authority's functions; and
 - d) make reports and recommendations to the Combined Authority in relation to reviews conducted under paragraphs (a) (b) and (c);
 - e) implement the obligation to ensure high standards of conduct amongst Members.

13.3 Terms of Reference

- 13.3.1 The Audit and Governance Committee shall undertake the following for both the Combined Authority and the Business Board:

Accounts

- 13.3.2 Approve the annual statement of accounts.

Governance

- 13.3.3 Maintain an overview of the Constitution and make recommendations to the Combined Authority Board when considered appropriate to keep the Constitution effective and up to date.
- 13.3.4 Review corporate governance arrangements against the good governance framework.
- 13.3.4 Review the Annual Governance Statement prior to approval to ensure it properly reflects the risk environment and supporting assurances.
- 13.3.5 Annually review the assurance framework to ensure it adequately addresses risks and priorities including governance arrangements of significant partnerships.
- 13.3.6 Monitor the Authority's risk and performance management arrangements including reviewing the risk register, progress with mitigating actions and assurances.
- 13.3.7 Monitor the anti-fraud and whistle blowing policies and the complaint process.

Internal Audit

- 13.3.8 Provide assurances over the effectiveness of internal audit functions and assuring the internal control environments of key partners.
- 13.3.9 Review internal audit requirements undertaken by the Combined Authority.
- 13.3.10 Approve the internal audit plan.
- 13.3.11 Consider reports and assurances from the Chief Finance Officer in relation to:

- a) Internal Audit performance;
- b) Annual Assurance Opinion on the adequacy and effectiveness of the framework of governance, risk management and control;
- c) Risk management and assurance mapping arrangement;
- d) Progress to implement recommendations including concerns or where managers have accepted risks that the Authority may find unacceptable.

External Audit

- 13.3.12 Review the annual accounts.
- 13.3.13 Consider the annual external audit of the Combined Authority's accounts, including the Annual Audit Letter and assessing the implications and monitoring managers' response to concerns.

Financial Reporting

- 13.3.14 Consider whether accounting policies were appropriately followed and any need to report concerns to the Combined Authority Board.
- 13.3.15 Consider any issues arising from External Auditor's audit of the account.
- 13.3.16 Ensure there is effective scrutiny of the treasury management strategy and policies in accordance with [CIPFA's Code of Practice](#).

Code of Conduct

- 13.3.17 Ensure the Combined Authority has effective policies and processes in place to ensure high standards of conduct by its Members and Co-opted Members.
- 13.3.18 Assisting the Members and Co-opted Members to observe the Code of Conduct.
- 13.3.19 Advising the Combined Authority on the adoption or revision of the Code of Conduct and monitor its operation.
- 13.3.20 Advising on training and overseeing the effectiveness of any training for Members and Co-opted Members on matters relating to the Code of Conduct.

Subsidiary Companies of the Combined Authority

- 13.3.21 Assisting the Combined Authority in fulfilling its oversight responsibilities in relation to reviewing and monitoring activity of the trading companies.
- 13.3.22 Advising the Combined Authority Board on any matters within the Committee's powers pertaining to the trading companies.
- 13.3.23 Providing appropriate review and challenge of the Combined Authority's governance arrangements of its trading companies and its appointments to the boards of the companies.
- 13.3.25 Providing appropriate review and challenge on the financial information provided to the Combined Authority by the trading companies.
- 13.3.26 Commissioning, where appropriate, the Combined Authority's internal audit function to undertake discrete activity relating to the Authority's governance of its trading companies.

General

- 13.3.27 To review any issue referred to the Committee by the Chief Executive, Directors, s73 Officer, Monitoring Officer or any Combined Authority Member. An issue may be referred to the Audit and Governance Committee by notifying the Monitoring Officer at least seven working days before an Audit & Governance meeting. The Chair of the Audit & Governance committee will be informed of the referral

following which the Chair would decide whether the issue falls within the remit of the Audit & Governance Committee and additionally decide at which meeting the issue will be discussed.

- 13.3.28 Report and make recommendations to the Combined Authority in relation to the above.

13.4 Membership

- 13.4.1 The Combined Authority Board shall decide the size and membership of the Audit and Governance Committee and shall include at least one Independent Person.

- 13.4.2 In appointing Members to the Committee, the Combined Authority Board must ensure that the Members of the Committee taken as a whole reflect so far as reasonably practicable the balance of political parties for the time being prevailing among Members of the Constituent Councils when taken together.

- 13.4.3 The Committee may not include any Officer of the Combined Authority or of a Constituent Council.

- 13.4.4 The Combined Authority Board shall appoint at least one Substitute Member from each Constituent Council.

- 13.4.5 At the beginning of each municipal year the Committee may co-opt at least one independent member from Constituent Councils subject to a resolution agreed by simple majority.

- 13.4.5.1 A co-opted independent member is a committee member who does not represent any political party or constituent authority for the purposes of the Audit and Governance committee but recruited to join the committee from a Constituent Council.

- 13.4.5.2 The role description of an independent member of Audit Committee is the same as for an elected member with the only substantial difference being around decision making responsibilities. An independent member cannot vote so will not be able to take part in the decision although they can actively contribute to the discussions leading up to the vote. The objective of including such members is to increase the knowledge and experience base of the committee, reinforcing its independence.

- 13.4.5.3 Their involvement on the Committee will be in a consultative manner, with their views being taken into account by voting members of the Committee.

- 13.4.5.4 The Audit and Governance committee has authority to determine the process for recruiting and appointing a co-optee and substitute.

- 13.4.6 The Monitoring Officer has delegated authority to accept changes to membership of committees notified by Constituent Councils during the municipal year to ensure there is a full complement of members or substitute members at committee meetings.

13.5 Chair and Vice-Chair

- 13.5.1 The Combined Authority Board shall appoint the Chair on an annual basis. .

- 13.5.2 One of the Independent Persons should be designated as Chair of the Audit and Governance Committee.

- 13.5.3 The Vice-Chair of the Committee should be chosen by the Committee, at its first meeting of the Municipal Year.

13.6 Sub-Committees

- 13.6.1 The Committee may appoint one or more sub-committees and arrange for the

discharge of any of its functions by any such sub-committee.

- 13.6.2 The Committee shall appoint a hearings panel to hear any complaints where the Member is alleged to have breached the Code of Conduct.

13.7 Hearings Panel (Sub-Committee to the Audit & Governance Committee)

- 13.7.1 The Hearings Panel is a Sub-Committee of the Audit and Governance Committee.

- 13.7.2 The Panel has the following functions:

- a) When matters are referred by the Monitoring Officer granting dispensations to Members and Co-opted Members allowing them to:
 - i. participate in the debate; and/or
 - ii. vote on any matter in which they have a disclosable pecuniary interest
- b) On matters being referred by the Monitoring Officer deciding whether complaints concerning Members should be investigated
- c) Hearing complaints that have been referred to them by the Monitoring Officer pursuant to the Complaints procedure
- d) The agreement of relevant procedures for the undertaking of its functions, when appropriate to be included within the Constitution.

- 13.7.3 *Hearing Committee Proceedings are set out in Chapter 16 of this Constitution.*

13.8 Requests to Audit & Governance

- 13.8.1 The Mayor or the Combined Authority Board may resolve to ask the Committee to review any of its functions including:

- a) The authority's financial affairs
- b) The authority's risk management, internal control and corporate governance arrangements
- c) The economy, efficiency and effectiveness with which resources have been used in discharging the authority's functions.

13.9 Referral of Matters to Committees

- 13.9.1 Any of the following may request a matter to be included on the agenda of the Audit and Governance Committee provided it is relevant to the functions of the Combined Authority and not an excluded matter:

- a) any Member of the Audit and Governance Committee
- b) any Member of the Combined Authority; and
- c) any Member of a Constituent Council of the Combined Authority.

- 13.9.2 An "excluded matter" means any matter which is a local crime and disorder matter.

- 13.9.3 Any request should state why the Member considers it appropriate for the Committee to exercise any of these powers in relation to the matter and the Committee must have regard to these reasons. The request must be submitted to the Monitoring Officer who will arrange for the Chair of the Committee to determine whether the item should be placed on the agenda of the next available meeting.

- 13.9.4 If the Committee decides not to exercise any of its powers in relation to the request it must notify the referring Member of its decision; and the reasons for it.

- 13.9.5 The Committee shall provide the Member with a copy of any report or recommendations which it makes in connection with the matter.

13.10 Procedure Rules: Access to Meetings

- 13.10.1 The public may attend meetings and have access to agenda, reports and minutes in accordance with the Transparency Rules, Forward Plan and Key Decisions in [Chapter 10: Access to Information, Information Governance, Data Protection and Complaints](#).

13.11 Procedure Rules: Meetings

- 13.11.1 The Committee will meet at least once a year.
- 13.11.2 An extraordinary meeting of an Audit and Governance Committee may be called by:
- a) the Chair of the Committee; or
 - b) the Head of Paid Service.

13.12 Procedure Rules: Quorum

- 13.12.1 No business is to be transacted at a meeting of the Committee unless at least two-thirds of the total number of voting Members on the Committee are present.

13.13 Procedure Rules: Voting

- 13.13.1 Each Member of the Committee appointed from the Constituent Councils is to have one vote and no Member (including the Chair) is to have a casting vote.
- 13.13.2 Members of the Committee who are appointed other than from the Constituent Councils shall be non-voting Members of the Committee but may be given voting rights by resolution of the Combined Authority.
- 13.13.3 Any questions that are to be decided by the Committee are to be decided by a simple majority of the Members present and voting. If a vote is tied on any matter it is deemed not to have been carried. No deadlocked decisions of the Committee shall be referred to the Combined Authority Board.

13.14 Procedure Rules: Conflicts of Interest

- 13.14.1 Members must comply with the Member Code of Conduct.
- 13.14.2 No Member of the Committee may scrutinise a decision (whether or not implemented) in which they were directly involved as a Member of the decision-making body which made that decision.
- 13.14.3 Such a Member may only attend the Committee to:
- a) make representations
 - b) answer questions; or
 - c) give evidence about the decision.

13.15 Appointment of Independent Persons

- 13.15.1 The Committee must have at least one Independent Person. The appointment must be made by the Combined Authority Board.
- 13.15.2 A person is independent if the person:
- a) is not a Member, Co-opted Member or Officer of the authority
 - b) is not a Member, Co-opted Member or Officer of a parish council for which the authority is the principal authority
 - c) is not a relative, or close friend, of a person within sub-paragraph (a) or and
 - d) was not at any time during the past five years been:

- i. a Member, Co-opted Member or Officer of the authority; or
- ii. a Member, Co-opted Member or Officer of a parish council for which the Authority is the principal Authority.

13.16 Term of Office of the Independent Person

- 13.16.1 Each independent person will serve a term of four years, which may be renewed up to a maximum of one further term (i.e. total maximum eight years).

13.17 Appointments Process for the Independent Person

- 13.17.1 The vacancy for the Independent Person must be advertised in such manner as the Combined Authority considers is likely to bring it to the attention of the public. The person must submit to the Combined Authority an application to fill the vacancy, and the person's appointment has been approved by a majority of the Members of the Combined Authority Board.

13.18 Procedures at Meetings

- 13.18.1 The Combined Authority [Standing Orders](#) at Chapter 5 will apply.

Annex 1

The current membership of the Audit and Governance Committee is one member from each Constituent Council and at least one Independent Person. The quorum is five members.

CHAPTER 14: OVERVIEW AND SCRUTINY COMMITTEE

14.1 Terms of Reference

14.1.1 Overview

Overview & Scrutiny Committee's role is to -

- a) review or scrutinise decisions made, or other action taken, in connection with:
 - i. the discharge of any functions which are the responsibility of the Combined Authority;
 - ii. the discharge by the Mayor of any general functions;
 - iii. any Combined Authority decision in its role as accountable body for the Business Board. The Combined Authority's Scrutiny Officer shall ensure that this includes appropriate scrutiny of Business Board decision-making and achievements.
- b) make reports or recommendations to the Combined Authority Board:
 - i. with respect to the discharge of any functions that are the responsibility of the authority
 - ii. on matters that affect the authority's area or the inhabitants of the area
 - iii. make reports or recommendations to the Mayor:
 - iv. with respect to the discharge of any general functions
 - v. on matters that affect the authority's area or the inhabitants of the area.
- c) To hold a scrutiny hearing to review candidates appointed by the Mayor to Commissioner roles.
 - i. Provide written response to the Mayor detailing their findings
 - ii. Have the power to recommend the termination of a commissioners appointment.
 - iii. Review and scrutinise decisions or actions taken by appointed commissioners

The power of the Committee includes the power to review or scrutinise a key decision made but not implemented and to:

- a) direct that a decision is not to be implemented while it is under review by the Committee
- b) recommend that the decision be reconsidered.

In the exercise of its functions set out in the Constitution, the power of the Committee shall include the doing of anything which is calculated to facilitate or is conducive or incidental to the discharge of those functions.

14.2 Membership and Attendance

14.2.1 Chair

The Committee shall appoint the Chair and Vice-Chair of the Committee and the Chair and Vice-Chair will be elected Members of one of the Constituent Councils.

The Committee must ensure that the person appointed as the Chair is an "appropriate person" who is an elected Member of one of the Constituent Councils but is not a Member of the registered political party of which the Mayor is a member.

Where the Mayor is not a member of a registered political party, a person may not be appointed as Chair if that person is:

- a) a member of the registered political party which has the most representatives among the Members of the Constituent Councils on the Combined Authority or

- b) where two or more parties have the same number of representatives, a Member of any of those parties.

14.2.2 Membership

The Combined Authority must appoint at least one Member from each of the Constituent Councils to the Committee. The membership of the Committee taken as a whole shall reflect so far as reasonably practicable the balance of political parties for the time being prevailing among Members of the Constituent Councils collectively.

The Combined Authority may appoint at least one Substitute Member from each Constituent Council. The Substitute Members shall be from the same political party as the Member being substituted to maintain the political balance.

A change in the party-political composition of any of the Constituent Councils, shall require a review of the membership of the Committee in order to determine whether any amendment to its membership is required. If the review requires a change in membership, Constituent Councils will be advised of any changes they will need to make to their appointments at the earliest opportunity.

The Overview and Scrutiny Committee may not include any Member or Substitute Member of the Combined Authority Board or Thematic Committees including the Mayor nor any Officer of the Combined Authority or any of the Constituent Councils.

Within the period of 28 days of the appointment being made to the Committee, the Combined Authority shall publish a notice on its website which:

- a) states that it has made an appointment;
- b) identifies each Member of the Committee who has been appointed and any Substitute Members; and specifies the term of office of those appointed.
- c) The term of office shall be one year from the date of the Annual Meeting of the Constituent Councils that appointed them to the Committee unless:
 - i. they cease to be an elected Member of the Constituent Councils that appointed them
 - ii. they no longer wish to participate in the scrutiny arrangements and communicate this in writing to the Proper Officer of their Constituent Councils; or
 - iii. the Combined Authority is advised by any of the Constituent Councils that it wishes to change one or more of its appointees to the Committee.

The Monitoring Officer has delegated authority to accept changes to membership of committees notified by constituent councils during the municipal year to ensure there is a full complement of members or substitute members at committee meetings.

14.2.3 Quorum

No business is to be transacted at a meeting of the Committee unless at least two-thirds of the total number of Members on the Committee are present.

14.2.4 Attendees

The Committee shall have the power to:

- a) require Members (including the Mayor and Deputy Mayor), members of a thematic committee or Officers of the Combined Authority to attend before it to answer questions, or provide information about any matter within its terms of reference;
- b) request any Business Board member to attend, or otherwise contribute to, a meeting of the Combined Authority's Overview and Scrutiny Committee;
- c) invite other people, including members of the public, to attend meetings of the Committee to give evidence.

Where the Committee requires a Member, Officer or others to attend, the Monitoring Officer shall inform them in writing giving at least five clear working days' notice of the meeting. The

notice will state:

- a) the date of the meeting they are required to attend;
- b) the nature of the item; and
- c) whether they must produce any papers for the Committee.

A Member or Officer must comply with any notice they are given.

Where, in exceptional circumstances, the Member or Officer is unable to attend on the required date, the Committee shall consult with the Member or Officer to arrange an alternative date.

A person is not obliged to answer any question which he or she would be entitled to refuse to answer in relation to court proceedings.

14.3 Meetings and Procedure

14.3.1 Calendar and Business

The Calendar of Committee meetings will be approved by the Combined Authority Board for each Municipal Year.

The Committee shall meet at least at least four times in the municipal year and set its own work programme.

The Monitoring Officer, after consultation with the Chair, may cancel, postpone or vary the day, hour or venue of a meeting, if they consider there is good reason to do so.

An extraordinary meeting of the Committee may be called by:

- a) the Chair of the Committee; or
- b) any five Members of the Committee; or
- c) the Chief Executive of the Combined Authority.
- d) the Monitoring Officer of the Combined Authority

The Committee will conduct business in accordance with the Standing Orders, Access to Information Rules, Policies and Protocols set out in Parts 5, 10 and 18 of this Constitution.

The committee can meet informally for the basis of training and/or briefings and information sharing.

14.3.2 Questions by the Public and Members

Councillors of Constituent Authorities and members of the public who are residents of the Combined Authority area or work in the area may ask questions to the Overview and Scrutiny Committee.

The procedure for questions is outlined in paragraph 5.19 of the [Standing Orders](#).

14.3.3 Conflicts of Interest

Members must comply with the Member Code of Conduct within this Constitution.

No Member of the Committee may scrutinise a decision (whether or not implemented) in which they were directly involved as a Member of the decision-making body which made that decision.

Such a Member may only attend the Committee to:

- a) make representations
- b) answer questions
- c) give evidence about the decision.

14.3.4 Links with CA Board and Committees

The Overview and Scrutiny Committee has a standing item on their agenda to consider

upcoming CA Board and Thematic Committees forward plans and discuss and formally agree by means of a vote any recommendations or questions to be raised at the forthcoming meetings.

Following discussion with officers and relevant board members, any questions/recommendations shall be raised at the next Combined Authority Board meeting by the Chair or Vice Chair of the Overview and Scrutiny Committee (or the Scrutiny Officer if neither is available). Questions/recommendations for Thematic Committees shall be raised at their next meeting by the relevant Overview and Scrutiny Rapporteur.

14.3.5 Requests to Overview & Scrutiny

The Mayor or Combined Authority Board may ask the Committee to review any of its functions or assist in developing budget and policy proposals.

14.3.6 Referring Matters to Committees

Any of the following may request a matter to be included on the agenda of the Overview and Scrutiny Committee provided it is relevant to the functions of the Combined Authority and not an excluded matter:

- a) any Member of the Overview and Scrutiny Committee
- b) any Member of the Combined Authority
- c) any Member of a Constituent Council of the Combined Authority.

An “excluded matter” means any matter which is a local crime and disorder matter.

The request must be submitted to the Monitoring Officer who will arrange for the item to be placed on the agenda of the next available meeting. The request should state why the Member considers it appropriate for the Committee to exercise any of these powers in relation to the matter and the Committee must have regard to these reasons.

If the Committee decides not to exercise any of its powers to review or scrutinise decisions made, or other action taken, in connection with:

- a) the discharge of any functions which are the responsibility of the authority;
- b) in connection with the discharge by the Mayor of any general functions; it must notify the Member of its decision; and the reasons for it.

The Committee must provide the Member with a copy of any report or recommendations which it makes in connection with the matter.

14.3.7 Publishing Reports or Recommendation

The Committee may publish any report or recommendations but:

- a) must exclude any confidential information; and
- b) may exclude any relevant exempt information.

Where information is excluded, the Committee:

- a) may replace so much of the document as discloses the information with a summary which does not disclose that information; and
- b) must do so if, in consequence of excluding the information, the document published would be misleading or not reasonably comprehensible.

14.3.8 Notice

The Committee may by notice require the Combined Authority or the Mayor within two months of receiving any report or recommendations, to:

- a) consider the report or recommendations;
- b) respond to the Committee indicating what (if any) action the Combined Authority or the Mayor proposes to take;
- c) publish the response, if the Overview and Scrutiny Committee has published the report

or recommendations.

The Combined Authority or the Mayor shall comply with any notice given.

14.3.9 Publishing a Response

In publishing the response, the Combined Authority or the Mayor:

- a) must exclude any confidential information; and
- b) may exclude any relevant exempt information.

Where information is excluded, the Combined Authority or the Mayor:

- a) may replace so much of the document as is necessary to exclude the exempt or confidential information with a summary which does not disclose that information; and
- b) if, in consequence of excluding the information, the document published would be misleading or not reasonably comprehensible.

14.3.10 Linking Sub-Regional Scrutiny with Local Scrutiny

Where a constituent council has scrutiny arrangements, The Scrutiny Officer of each Constituent Council will ensure that the work programme and minutes relating to the work carried out by the Combined Authority's Overview and Scrutiny Committee are circulated appropriately within their own Constituent Councils' scrutiny arrangements.

14.3.11 Additional Rights of Access to Documents for Members of the Overview & Scrutiny Committee

Additional rights of access to documents for Members of the Overview and Scrutiny Committee are set out in Chapter 10: Access to Information, Information Governance, Data Protection and Complaints.

14.3.12 Scrutiny Officer

The Combined Authority shall appoint a "Scrutiny Officer" to

- a) promote the role of the Committee; and
- b) provide support and guidance:
 - i. to the Committee, its Working Groups and its Members, and
 - ii. to Members of the Combined Authority and to the Mayor in relation to the functions of the Overview and Scrutiny Committee.

The Combined Authority may not designate as the Scrutiny Officer any Officer of a constituent council of the Combined Authority.

14.4 Working Groups

14.4.1 The Committee may appoint informal non decision-making working groups to contribute to and inform the scrutiny process.

Working Groups where as far as possible should be politically and geographically balanced to reflect the makeup of the membership of the committee. Membership of Working Groups can include nominated substitute members.

Working Groups are not formal committees and therefore do not need to meet the requirements set out in accordance with the Standing Orders, Access to Information Rules, Policies and Protocols set out in Parts 5, 10 and 18 of this Constitution.

14.5 Decisions and Call-in

14.5.1 Publication of Decisions

The Monitoring Officer shall publish details of key decisions of the Mayor, the Combined Authority Board, a thematic committee and Officers on the Combined Authority website and to all Members of the Committee. Where the decision is made at a meeting, this shall be no later than the close of business on the third clear working day following the day of the meeting at which the decision was made.

14.5.2 Call-in of Combined Authority and Mayoral Decisions

The power of the Overview and Scrutiny Committee to review or scrutinise a key decision made but not implemented includes:

- a) the power to direct that the decision is not to be implemented while it is under review by the Committee for a period not exceeding 14 days from the date the direction is issued; and
- b) the power to recommend that the decision be reconsidered.

Subject to the consent of the Combined Authority to the proposals and arrangements, the Committee must publish details of how it proposes to exercise its powers in relation to the review and scrutiny of key decisions made but not yet implemented and its arrangements in connection with those powers.

A decision on a matter dealt with under the urgency provisions set out in Chapter 6: Decisions may be implemented immediately.

Any other key decision of the Mayor, Combined Authority Board, thematic committees or an Officer may be implemented after 5.00pm of the fifth clear working day after the publication of the decision, unless it is called-in.

If a key decision of a thematic committee is called in by the Combined Authority Board, the call-in arrangements for overview and scrutiny shall be suspended until the Board have met. In accordance with these rules the Board's decision will be published and any key decisions will be subject to call-in.

The call-in process is detailed in appendix 1.

14.5.3 Scrutiny Hearing to consider Appointment/Dismissal of Commissioners

Following a commissioner appointment the Mayor should inform the Overview and Scrutiny Committee about the candidate and why they have been appointed and the area of competence they will operate in.

The Overview and Scrutiny Committee has the option of holding a scrutiny hearing to scrutinise the nominee. This must be undertaken within 28 working days of notification from the mayor. The Overview and Scrutiny Committee should carefully consider the purpose and focus of any hearing.

Scrutiny Hearing Process is detailed in appendix 2

Questions should generally focus on how they will act as a commissioner, considering the standards expected of individuals working in public office. This could include, for example, questions about:

- maintaining public confidence
- managing public money
- managing potential conflicts of interest
- awareness of statutory duties and governance standards
- integrity and ethical standards

The Chair should intervene if questions are irrelevant, unduly personal, or discriminatory.

On conclusion of a hearing the Overview and Scrutiny Committee must provide a written response to the mayor detailing their findings from the hearing.

The mayor may disagree with the Overview and Scrutiny Committee assessment and should

respond confirming their position, and explaining why they disagree with the O&SC.

The Overview and Scrutiny Committee have the power to recommend the termination of a commissioner's appointment to the CA Board.

When making a recommendation to terminate appointment the Overview and Scrutiny Committee should detail a reasoned and evidence-based case for the determination. Generally, such a recommendation would be expected in case of unacceptable behaviour or bringing the organisation into disrepute.

Unacceptable behaviour includes conduct that fails to meet the standards of behaviour applied to commissioners by the Combined Authority as established through codes of conduct, guidance, and policies in the organisation, and through the Nolan principles. Such behaviour does not necessarily need to have public or reputational impact to be of concern; it may be sufficient that the behaviour compromises the integrity, functioning, or values of the organisation.

Bringing the organisation into disrepute includes actions, internal or external to the CPCA, that damage or risk damaging the reputation, standing or public confidence in the CPCA, the Mayor or the commissioner.

Reputational harm may arise even where no formal breach of internal policy has occurred, the overall effect on public trust and confidence must be considered.

Recommendations should be provided in writing to the CPCA Board.

14.6 Functions

14.6.1 The Overview & Scrutiny Committee has the following key tasks to deliver in fulfilling its functions:

- a) hold the Mayor and the Combined County Authority Board to account for the delivery of priority objectives
- b) hold the Mayor to account for delivery of Mayoral Priorities
- c) undertake pre-Scrutiny of Board and Thematic Committee decision-making
- d) utilise the Call-In power if decisions have not been taken in accordance with the principles of decision-making set out in the Constitution
- e) undertake policy review when approached to undertake or if gap/ issue identified through performance review and decision-making accountability
- f) hold focused meetings on cross-cutting matters and/or issues of significant concern
- g) undertake focused budget scrutiny on MTFP alignment/ delivery and consultation
- h) undertake deep dives or establish scrutiny task and finish or working groups as and when required
- i) appoint Lead Scrutiny Members to shadow Thematic Committees.
- j) To make recommendations to the Mayor in respect of Commissioners including, where considered appropriate, the termination of a commissioner's appointment.

14.7 Review

14.7.1 The Terms of Reference will be reviewed annually by the Overview & Scrutiny Committee

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Appendix 1:

Process for Call-in of Combined Authority or Mayoral Decisions

1. Five Members of the Overview and Scrutiny Committee may call-in a key decision of the Mayor, the Combined Authority Board, a thematic committee or an Officer for scrutiny by notifying the Monitoring Officer.
2. On receipt of a call-in request, the Monitoring Officer shall:
 - a) notify the Mayor, Members of the Combined Authority, members of the thematic committee or Officer of the call-in; and
 - b) call a meeting of the Overview and Scrutiny Committee to scrutinise the decision.

Call-in: Scrutinising the Decision

3. The Committee must scrutinise the decision within 10 clear working days of the Monitoring Officer receiving the request for call-in. If it does not meet within this time or does not conclude its scrutiny of the decision, the decision will automatically take effect at the end of the period.
4. Where the Committee has scrutinised a decision, it may:
 - a) endorse the decision; or
 - b) refer the decision back to the Mayor, Combined Authority Board, the thematic committee or the Officer for reconsideration, setting out, in writing the nature of its concerns.
5. A decision which has been endorsed by the Committee may be implemented immediately.
6. Where a decision has been referred back, the Mayor, the Combined Authority Board, the thematic committee or Officer shall hold a meeting to reconsider the decision no later than 10 days after the date on which the recommendations of the Committee were received by the Combined Authority unless it is dealt with under the urgency provisions within the Constitution, where the matter becomes urgent.
7. A decision will be urgent if any delay likely to be caused by the call in process would seriously prejudice the Combined Authority's, Constituent Councils' or the public's interests. Otherwise, a decision which has been recommended for re-consideration may not be implemented.

Call-in: Reconsidering the Decision

8. The Chair of the Overview and Scrutiny Committee or their nominee may attend any meeting which is re-considering the decision, to present the report or recommendations.
9. The Mayor, Combined Authority, the thematic committee or the Officer may confirm, amend or rescind the decision.
10. A decision which has been confirmed or amended may be implemented immediately.

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Appendix 2:

Process for Convening a Scrutiny Panel for Commissioner Appointments/Dismissals

1. Five Members of the Overview and Scrutiny Committee may request that a Scrutiny Hearing is convened by notifying the Monitoring Officer.
2. On receipt of a request for a scrutiny hearing, the Monitoring Officer shall:
 - a) notify the Mayor, Members of the Combined Authority, and the candidate of the request for a Scrutiny Hearing.
 - b) call a meeting of the Overview and Scrutiny Panel to scrutinise the decision to appoint a candidate.

Scrutiny Hearing Panel

3. The Committee must scrutinise the decision to appoint a commissioner or dismiss a commissioner within 10 clear working days of the Monitoring Officer receiving the request for a scrutiny hearing. If it does not meet within this time or does not conclude its scrutiny of the decision, the appointment will automatically take effect at the end of the period.
4. The O&SC should carefully consider the purpose and focus of any hearing.
5. The O&SC should generally focus on how they will act as a commissioner, considering the standards expected of individuals working in public office. This could include, for example, questions about:
 - maintaining public confidence
 - managing public money
 - managing potential conflicts of interest
 - awareness of statutory duties and governance standards
 - integrity and ethical standards
6. The Chair should intervene if questions are irrelevant, unduly personal, or discriminatory.
7. Where the Committee has scrutinised an appointment, it must provide a written response to the mayor detailing their findings from the hearing.
8. An appointment which has been endorsed by the Committee may be implemented immediately.
9. Where an appointment has been referred back, the Mayor may disagree with the O&SC assessment and should respond confirming their position, and explaining why they disagree with the O&SC.

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CHAPTER 15: THE BUSINESS BOARD

15.1 Overview

- 15.1.1 The Business Board serves as a strategic advisory body to the Mayor and the Cambridgeshire and Peterborough Combined Authority (CPCA) officers with a strong focus on the CPCA priority sectors identified in the CPCA Local Growth Plan:
- Life Sciences
 - Advanced Manufacturing & Materials
 - Digital Technologies
 - Defence
 - Energy & Clean-Tech
 - Agri-Food & Tech
- 15.1.2 The Business Board membership will include representation from across the region including the four Opportunity Zones identified the Local Growth Plan.

15.2 Membership

- 15.2.1 The Business Board membership shall comprise senior leaders drawn from businesses operating in CPCA's priority sectors and Opportunity Zones and key regional organisations engaged in driving business growth.
- 15.2.2 Members will hold, or have previously held, the position of Founder, Chair, Chief Executive, Chief Finance, Chief Operating or Chief Technical Officer or an equivalent position in a priority sector business or relevant organisation with a strong presence in the Cambridgeshire and Peterborough region.
- 15.2.3 Members shall be invited by the Mayor and nominated by the Mayor to the CPCA Board for approval.
- 15.2.4 The Chair will be nominated by the Mayor to the CPCA Board for approval. The Vice-Chair will be appointed at the first meeting of the municipal year.
- 15.2.5 Members will serve on a voluntary, non-remunerated basis, typically for a term of two years, which may be renewed for consecutive terms at the discretion of the Mayor.
- 15.2.6 Members will be required to sign and adhere to the CPCA Code of Conduct and will agree to terms of appointment before commencing their term of office.
- 15.2.7 The Chair of the Business Board will act as the Board's representative at the Combined Authority Board, The Vice-Chair may attend the Combined Authority Board in the absence of the Chair.
- 15.2.8 A Member may be removed from the Business Board at any time during their term of service at the discretion of the Mayor.

15.3 Meetings and Procedure

- 15.3.1 The Business Board will meet in person quarterly. Additional meetings may be arranged as needed and agreed. The Business Board is not a formal committee and therefore does not need to meet the requirements set out in accordance with the Standing Orders, Access to Information Rules, Policies and Protocols set out in Parts 5, 7, 10 and 18 of this Constitution. Meetings will not be held in public but summaries of the meetings will be presented to the Combined Authority Board (see 15.3.3 below).
- 15.3.2 The Mayor and/or the Chief Executive of CPCA will attend meetings of the Business Board. In the event that neither is available they may nominate a substitute representative to attend in their place.
- 15.3.3 A summary report, without attribution, of the matters discussed at each meeting, will be presented to the next CPCA Board meeting. The summary report will be agreed by the Chair of the Business Board prior to publication of the CPCA Board agenda.
- 15.3.4 Business Board members may be assigned to assist thematic or other CPCA committees and may be invited to attend committee meetings to provide their advice and expertise.

15.4 Secretariat Support

- 15.4.1 Secretariat support for the Business Board will be provided by CPCA.

15.5 Review

- 15.5.1 These Terms of Reference will be reviewed as required to ensure the Business Board remains appropriate to regional priorities and the delivery of the Local Growth Plan.

15.6 Terms

- 15.6.1 **Business Board** - an advisory body providing a strong and independent business voice to support the Mayor, CPCA Board and CPCA officers to drive the delivery of the CPCA Local Growth Plan.
- 15.6.2 **Business Board Members** - senior leaders in CPCA priority sectors and other key regional organisations engaged in driving business growth.
- 15.6.3 **Local Growth Plan** – the economic Growth Plan approved by the CPCA Board at their meeting of 22 October 2025.

CHAPTER 16:

MEMBERS

16.1 Principles of Public Life

16.1.1 The Code of Conduct is intended to promote high standards of behaviour amongst the Members and Co-opted Members of the Combined Authority, including Members of the Business Board.

16.1.2 The Code is underpinned by the following principles of public life, which should be borne in mind, when interpreting the meaning of the Code:

i. Selflessness

Holders of public office should act solely in terms of the public interest.

ii. Integrity

Holders of public office must avoid placing themselves under any obligation to people or organisations that might try inappropriately to influence them in their work. They should not act or take decisions in order to gain financial or other material benefits for themselves, their family, or their friends. They must declare and resolve any interests and relationships.

iii. Objectivity

Holders of public office must act and take decisions impartially, fairly and on merit, using the best evidence and without discrimination or bias.

iv. Accountability

Holders of public office are accountable to the public for their decisions and actions and must submit themselves to the scrutiny necessary to ensure this.

v. Openness

Holders of public office should act and take decisions in an open and transparent manner. Information should not be withheld from the public unless there are clear and lawful reasons for so doing.

vi. Honesty

Holders of public office should be truthful.

vii. Leadership

Holders of public office should exhibit these principles in their own behaviour. They should actively promote and robustly support the principles and be willing to challenge poor behaviour wherever it occurs.

16.2 Member Code of Conduct and Protocols

16.2.1 The Member Code of Conduct forms [Annex 1](#) to this Chapter.

16.2.2 The Protocol on Member Use of Resources and the Code of Recommended Practice on Local Authority Publicity forms [Annex 1 in Chapter 19: Policies and Protocols](#).

16.3 Registering and Declaring Pecuniary and Non-pecuniary Interests

- 16.3.1 You must, within 28 days of taking office as a Member or Co-opted Member, notify your authority's Monitoring Officer of any disclosable pecuniary interest, where the pecuniary interest is yours, your spouse's or civil partner's, or is the pecuniary interest of somebody with whom you are living with as a husband or wife, or as if you were civil partners.
- 16.3.2 In addition, you must, within 28 days of taking office as a Member, Co-opted Member or Business Board member, notify your authority's Monitoring Officer of any non-pecuniary interest which your Authority or Business Board has decided should be included in the register or which you consider should be included if you are to fulfil your duty to act in conformity with the Seven Principles of Public Life. These non-pecuniary interests will necessarily include your membership of any Trade Union.
- 16.3.3 Members should review their individual register of interest before each board meeting and decision-making committee meeting. They must declare any relevant interest(s) at the start of the meeting.
- 16.3.4 If an interest has not been entered onto the authority's register, then the Member must disclose the interest to any meeting of the authority at which they are present, where they have a disclosable interest in any matter being considered and where the matter is not a 'sensitive interest'.
- 16.3.5 Following any disclosure of an interest not on the authority's register or the subject of pending notification, you must notify the Monitoring Officer of the interest within 28 days beginning with the date of disclosure.
- 16.3.6 Unless dispensation has been granted, you may not participate in any discussion of, vote on, or discharge any function related to any matter in which you have a pecuniary interest. Additionally, you must observe the restrictions your authority or Business Board places on your involvement in matters where you have a pecuniary or non-pecuniary interest as defined by your authority.
- 16.3.7 You are required to sign a document stating that you have read, understood and agree to abide with the requirements set out in part 1 of the Code of Conduct outlined above.

16.4 Interests

16.4.1 Disclosable Pecuniary Interests

- 16.4.1.1 Disclosable pecuniary interests are specified in the table below:

Subject	Prescribed description
Employment, office, trade, profession or vocation	Any employment, office, business, trade, profession or vocation carried on for profit or gain.
Sponsorship	Any payment or provision of any other financial benefit (other than from Combined Authority/Business Board) which is paid as a result of carrying out your duties as a Member, or towards your election expenses. This includes any payment or financial benefit from a trade union within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992.
Contracts	Any contract with the Combined Authority/Business Board: (a) for goods, works or services are to be provided or works are to be executed; and (b) which has not been fully discharged This includes a contract between the Combined Authority/ Business Board and any organisation in which you, or a person specified in paragraph 1.2 below, has a beneficial interest.

	<p>For Business Board members only</p> <p>Your declaration should include any contracts by any organisation named in (1) above.</p> <p>Any contract for goods, works or services entered into by any organisation named at (1) where either party is likely to have a commercial interest in the outcome of business being decided by the Business Board.</p> <p>Any beneficial interest in land which is within the area of the Combined Authority.</p> <p>For Business Board members only</p> <p>Any beneficial interest you or any organisation listed in 1 may have in land or property which is within the Business Board area which is likely to be affected by a decision made by the Business Board.</p>
Licenses	Any licence (alone or jointly with others) to occupy land in the Combined Authority's area (or Business Board's area for Business Board members) for a month or longer.
Corporate Tenancies	Any tenancy where (to your knowledge): <ul style="list-style-type: none"> (a) the landlord is the Combined Authority or Business Board; and (b) the tenant is a body in which you, or a person listed in paragraph 16.5.1.2 below, has a beneficial interest.
Securities	Any beneficial interest in securities of an organisation under (1) where: <ul style="list-style-type: none"> (a) that body (to your knowledge) has a place of business or land in the Combined Authority's area (or Business Board's area for Business Board Members); and (b) either: <ul style="list-style-type: none"> (a) the total nominal value of the securities exceeds £25,000 or one hundredth of the total issued share capital of that body; or (b) if the share capital of that body is of more than once class, the total nominal value of the shares of any once class in which the person in paragraph 16.5.1.2 (below) has a beneficial interest exceeds one hundredth of the total issued share capital of that class.

16.4.1.2 You must declare an interest if:

It is your interest, or it is an interest of:

- a) your spouse or civil partner
 - b) a person with whom you are living as spouse or civil partner
- and you are aware that that other person has the interest.

16.4.2 **Other Disclosable Interests**

16.4.2.1 You must declare the interests of any person from whom you have received a gift or hospitality with an estimated value of at least £50.

16.4.2.2 You should not act or take decisions in order to gain financial or other material benefits for yourself, your family, or your friends. You must declare and resolve any interests and relationships.

16.4.3 **Registration of Disclosable Pecuniary Interests and Other Interests**

16.4.3.1 Subject to paragraph 16.4.5 below (sensitive interests), you must, within 28 days of:

- a) this Code being adopted or applied by the Combined Authority/Business Board; or

- b) your election or appointment (where that is later) notify the Monitoring Officer in writing of any disclosable pecuniary interests and other interests you have at that time.

16.4.3.2 Subject to paragraph 16.5.5 (sensitive interests) you must, within 28 days of becoming aware of any new disclosable pecuniary or other interest or any change to any such interest, notify the Monitoring Officer in writing of that new pecuniary interest or change.

16.4.4 Disclosable Pecuniary Interests in Matters Considered at Meetings or by a Single Member

16.4.4.1 If you attend a meeting and are aware that you have a disclosable pecuniary interest in any matter to be considered at that meeting:

- a) if the interest is not entered in the register of members' interests you must disclose to the meeting the fact that you have a disclosable pecuniary or other interest in that matter
- b) if you have not already done so, you must notify the Monitoring Officer of the interest before the end of 28 days beginning with the date of the disclosure
- c) whether the interest is registered or not you must not unless you have obtained a dispensation from the Monitoring Officer to participate, or participate further, in any discussion of the matter at the meeting
- d) whether the interest is registered or not you must not, unless you have obtained a dispensation from the Audit and Governance Committee participate in any vote, or further vote, taken on the matter at the meeting.

16.4.5 Sensitive Interests

16.4.5.1 Where you consider (and the Monitoring Officer agrees) that the nature of a disclosable pecuniary or other interest is such that disclosure of the details of the interest could lead to you, or a person connected with you, being subject to intimidation or violence, it is a "sensitive interest" for the purposes of the Code and the details of the sensitive interest do not need **to be disclosed to a** meeting, although the fact that you have a sensitive interest must be disclosed.

16.5 Related Documents

16.5.1 The following documents also provide guidance on the Standards of Conduct expected of Members and can assist in the interpretation of this Code of Conduct. These documents can be found in the Combined Authority's Constitution.

16.5.2 The Audit and Governance Committee (see Chapter 13) Rules of Procedure set out the arrangements for dealing with an alleged breach of this Code.

16.6 Complaints against Members of the Combined Authority

16.7 Introduction

16.7.1.1 The Combined Authority has adopted a Member Code of Conduct which applies to:

- a) all members of the combined authority, and co-opted members
- b) all members of its committees or sub-committees.

16.7.1.2 The code sets out how members will conduct themselves when carrying out Combined Authority business. All members must adhere to the code.

16.8 Making a Complaint

16.8.1.1 A complainant alleging a failure to comply with the Code should submit their complaint in writing to the Monitoring Officer.

16.8.1.2 The complaint must set out:

- i) the name of the member involved (the subject member")
- ii) the alleged misconduct
- iii) when and where it occurred
- iv) how the complainant wants the complaint resolved; and

- v) the name and a contact address or email address of the complainant.
- 16.8.1.3 The complainant should complete a complaint form available from the Combined Authority's website. Complaints can be made in writing without completing the form, but if information is missing, the complainant might be asked to resubmit the complaint by completing a form. If the complainant needs support in completing the form due to any protected characteristic this will be provided.
- 16.8.1.4 The Combined Authority does not normally investigate anonymous complaints, unless there is a clear public interest in doing so.
- 16.8.1.5 Any person making a complaint who would like to keep their name and address confidential can indicate this on the complaint form. Where a person has asked for confidentiality the Monitoring Officer will not disclose their name and address to the member complained about without prior consent. The circumstances in which a complainant's details will be kept from the subject member will be exceptional as doing so would have an impact on the member's ability to respond to the complaint.
- 16.8.1.6 Even where confidentiality is agreed at the outset of the complaint it may not always be possible to bring the matter to hearing without the complainant agreeing to give evidence at any hearing.

16.9 Stage 1: Initial Assessment of Complaint(s) Received

- 16.9.1 The Monitoring Officer will:
 - a) acknowledge the complaint as soon as possible and will aim to do this within five working days of receiving it, if possible
 - b) notify the subject member about the complaint
 - c) undertake an initial assessment of the complaint to determine whether the complaint should be investigated.
- 16.9.2 Where a complaint may relate to a member in their capacity as a Member of a constituent council, the Monitoring Officer will consult with the Monitoring Officer of the relevant council(s). If the complaint could be considered under one or more authorities' member conduct procedures, then the Monitoring Officers may agree that one authority will lead on the complaint and deal with it in accordance with their procedure. The Monitoring Officer is authorised on behalf of the Combined Authority to agree with a Monitoring Officer of any constituent authority that it can deal with a complaint on behalf of the Authority. If an agreement is not reached then the Monitoring Officer will consider whether to undertake an investigation separately to any other investigation being undertaken at the respective constituent authority. It is noted that should the matter be determined at the Combined Authority, notification of any sanction will be shared with the relevant constituent authority (whilst noting also the option of a recommended sanction to a constituent authority set out at 16.14.1).
- 16.9.3 In any such case the outcome of the complaint will be reported to the Audit and Governance Committee.
- 16.9.4 The Monitoring Officer shall consult with the Independent Person before making a decision on the initial assessment of a complaint.
- 16.9.5 The Monitoring Officer will decide if the complaint should be dealt with under stage 2 of the procedure – informal resolution (Stage 2) or whether to proceed to a formal investigation of the complaint (Stage 3). The Monitoring Officer will have regard to a range of factors including (but not limited to):
 - a) whether there is sufficient information upon which to base a decision
 - b) how serious the alleged action is
 - c) is the complaint vexatious?
 - d) has there been any delay between the action complained of and the complaint?

- e) do the allegations relate to actions occurring whilst the subject member was acting in their official capacity?
 - f) the response of the elected member to the complaint.
- 16.9.6 The initial assessment will be completed as soon as possible and the person making the complaint and the subject member will be informed, in writing, of the outcome.
- 16.9.7 Unless exceptional circumstances exist, the Monitoring Officer will always inform the member of the receipt and nature of the complaint and invite their comments.
- 16.9.8 Where the Monitoring Officer requires additional information to come to a decision, they may ask the person making the complaint and/or the member against whom the complaint is directed for more information.
- 16.9.9 If the complaint identifies criminal conduct or breach of other regulation by any person, the Monitoring Officer may refer the complaint to the Police and/or other regulatory agencies.
- 16.9.10 At this stage the Monitoring Officer can decide that no further action will be taken in respect of the complaint. If that is the case, the Monitoring Officer will write to both the complainant and the member against whom the complaint is directed and confirm that outcome with an explanation as to why the decision has been made. There is no right of appeal for this decision.
- 16.10 Stage 2: Informal Resolution**
- 16.10.1 In appropriate cases, the Monitoring Officer may seek to resolve the complaint informally, without the need for a formal investigation. Informal resolution may include:
 - a) an explanation by the member of the circumstances surrounding the complaint
 - b) an apology from the member
 - c) an agreement from the member to attend relevant training or take part in a mentoring process
 - d) an offer of mediation or conciliation between the member and the complainant; or
 - e) any other action capable of resolving the complaint.
- 16.11 Stage 3: Formal Investigation**
- 16.11.1 If the Monitoring Officer and Independent Person decide that a complaint merits formal Investigation or a suggestion of appropriate informal resolution is not accepted by the subject member, they will appoint an Investigating Officer (this will usually be an external investigator, not an employee of the Combined Authority). This could be another officer of the authority, or of another authority or an external investigator. The decision regarding the appointment will depend upon a variety of factors including staff capacity, expertise, cost and nature of the complaint.
- 16.11.2 The investigating officer will decide to whom they need to speak. It is likely that they will begin the investigation by speaking to the person making the complaint and to gather any documents the investigating officer needs to see. This will also help the investigating officer to decide whom they need to interview.
- 16.11.3 The investigating officer would normally:
 - a) write to the member who is the subject of the complaint
 - b) provide them with a copy of the complaint if they do not already have one
 - c) ask the member to provide their explanation of events
 - d) identify what documents they need to see; and
 - e) make a list of interviewees.
- 16.11.4 In exceptional cases, where disclosure of the details of the complaint to the member might prejudice the investigation, the investigating officer may delay notifying the member until the investigation has progressed sufficiently. The investigating officer would normally interview the subject member; this will normally be the last interview of the investigation.

- 16.11.5 The Investigator shall either record their interviews and produce transcripts or produce a written summary of the interview which will be agreed with the witness.
- 16.11.6 At the end of the investigation, the investigating officer will produce a draft report and will send copies of that draft report, in confidence, to the person making the complaint and to the subject member concerned, giving both an opportunity to identify any matter in that draft report which they disagree with or which they consider requires more investigation. The investigator will give a deadline for any responses which will be no less than five working days.
- 16.11.7 Having received and taken account of any comments which may be made on the draft report, the Investigating officer will send the final report to the Monitoring Officer. The Combined Authority aims to conclude the investigation stage within three months of a complaint being received. The Authority recognises that this will depend on a variety of factors including the complexity of the case and the co-operation and availability of the parties for interview.
- 16.11.8 The Monitoring Officer will, in consultation with the Independent person, review the Investigating officer's report.
- 16.11.9 If the Investigating officer concludes that there is evidence of a failure to comply with the Code of Conduct, the Monitoring Officer in consultation with the Independent Person will either:
 - a) seek a local resolution; or
 - b) send the matter for local hearing before the Hearings Panel.

16.12 Local Resolution

- 16.12.1 The Monitoring Officer may consider that the matter can be resolved without the need for a hearing. Such resolution may include the member accepting that their conduct was unacceptable and offering an apology, and/or other remedial action agreed. If the member complies with the suggested resolution, the Monitoring Officer will report the matter to the authority's Audit and Governance Committee for information but will take no further action.

16.13 Local Hearing

- 16.13.1 The Monitoring Officer will report the Investigating Officer's report to the Hearings Panel of the Audit and Governance Committee, which will conduct a local hearing to decide whether the member has failed to comply with the Code of Conduct and, if so, whether to take any action in respect of the member.
- 16.13.2 The Hearings Panel is a Sub-Committee of the Combined Authority's Audit and Governance Committee and will consist of at least three and no more than five voting members of the Committee. The Independent Chair of the Audit and Governance Committee will be an additional non- voting member of the Hearings Panel and the Chairperson of the Panel. As far as practicable the Panel composition shall reflect the political composition of the constituent councils and shall not be made up of members of only one political group.
- 16.13.3 The Monitoring Officer or a suitable person appointed by them will act as legal adviser to the Panel. The Panel may take legal advice from its Legal Advisor at any time during the hearing or while they are considering the matters put before them in private. The substance of any legal advice given to the Sub-Committee at any stage in the proceedings will be shared with the parties present.
- 16.13.4 The Monitoring Officer will conduct a "pre-hearing process". The Monitoring Officer will write to the subject member asking them to confirm what matters, if any, they dispute in the investigator's report and what witnesses, if any, they would wish to attend the hearing to give evidence. The subject member will also be asked whether they would like the hearing to be held in private and, if so, their reasons for this. The Monitoring Officer will also ask the Investigating Officer what witnesses, if any, they would wish to attend the hearing. The Monitoring Officer may convene a meeting may with the Chairperson of the Panel or discuss with them the information received as part of the pre- hearing process. At this stage, information from both the Subject Member and the Investigating Officer are considered. The Chair will make the decision as to the witnesses to be called (requests not to be

unreasonably withheld), the administrative arrangements to be made and the date of the final hearing. The Monitoring Officer, in consultation with the Chairperson of the Hearings Panel, may decide, to give instructions about the way in which the hearing will be conducted.

- 16.13.5 At the pre-hearing stage the subject member will be asked if they wish to be represented at the Hearings Panel. The subject member may, at their own expense, be represented by a barrister or solicitor at the Panel. If they wish to be represented by a person who is not a lawyer that will be at the discretion of the Panel.
- 16.13.6. All of the information submitted during this process assists the formulation of the agenda for the hearing. This agenda and the covering letter are then sent to the Subject Member and the complainant. The subject member and the investigating officer will be responsible for ensuring the attendance of any witnesses they have indicated that they wish to attend, if the Monitoring Officer has confirmed as part of the prehearing process that they can attend. Any witness(es) should be provided with a copy of the statement they provided during the investigation. If any witness has not provided a statement in the investigation the party wishing to call them should provide a copy of their statement as part of their response to the Monitoring Officer in the pre-hearing process.
- 16.13.7 At this stage the hearing agenda is confidential. The Sub-Committee will then make a decision on the day of the hearing as to whether the hearing should be carried out in public or in private. If the hearing is carried out in public, the papers will be made openly available at this stage.
- 16.13.8 At the hearing, the Panel will consider any administrative or preliminary issues, some of which are standard agenda items for any local authority sub-committees. These include:
- a) Election of Chairperson (this will be assumed to be the independent chairperson of the audit and governance committee, unless they are unable to attend);
 - b) Introductions
 - c) Outline of the procedure
 - d) Apologies for absence
 - e) Declaration of interest; and
 - f) Exclusion of the press and public
- 16.13.9 The Chairperson will ask the subject member, the Investigator and the Legal advisor to the Panel whether they wish to ask the Panel to exclude the press or public from all or any part of the hearing. If any of them do so request, the Chairperson will ask them to put forward reasons for so doing and the Panel will then determine whether to exclude the press and public from all or any part of the hearing. The decision will be made in accordance with the provisions of the Local Government Act 1972.
- 16.13.10 The Monitoring Officer shall present their covering report setting out the details of the complaint and providing an overview of the process carried out and any relevant information identified as part of the pre-hearings process.
- 16.14.11 The Investigating Officer will present their report, call such witnesses as have been agreed in the pre-hearings process, and make representations to substantiate their conclusion that the member has failed to comply with the Code of Conduct. For this purpose, the Investigating Officer may ask the complainant to attend and give evidence to the Hearings Panel, if agreed during the pre-hearings process. The subject member, the Independent Person and the Panel Members (in that order) will be given the opportunity to ask the investigator and any witnesses called by them questions.
- 16.13.12 The subject member will then have an opportunity to give their evidence, to call such witnesses as have been agreed in the pre-hearings process and to make representations to the Hearings Panel as to why they consider that they did not fail to comply with the Code of Conduct. The investigator, the Independent Person and the Panel Members (in that order) will be given the opportunity to ask the subject member and any witnesses called by them questions.

- 16.13.13 The Panel, will then seek the views of the Independent Person.
- 16.13.14 The Panel will then retire with the legal advisor to the Panel to reach a decision on whether the subject member failed to comply with the code of conduct. Once it has reached a decision on this point the Panel will reconvene with the parties to announce its decision on that point.
- 16.13.15 If the Panel concludes that the subject member did not fail to comply with the Code of Conduct, it will dismiss the complaint and that will be the end of the hearing.
- 16.13.16 Alternatively, if the Panel finds that the member did fail to comply with the Code of Conduct, the Chairperson will inform the member of this finding and the Hearings Panel will then consider what action, if any, the Panel should take as a result of the member's failure to comply with the Code of Conduct. In doing this, the Hearings Panel will give the member an opportunity to make representations to the Panel and will consult the Independent Person

16.14 Actions Hearing Panel can take for Failure to Comply with the Code

- 16.14.1 The Combined Authority has delegated to the Hearings Panel such of its powers to take action in respect of individual members as may be necessary to promote and maintain high standards of conduct. Accordingly, the Hearings Panel may:
- a) publish its findings in respect of the member's conduct
 - b) report its findings to Combined Authority for information
 - c) recommend to the Constituent Council or to the Combined Authority that they be removed from any or all Committees or Sub-Committees of the Combined Authority
 - d) recommend to the Mayor, or the Deputy Mayor acting in the place of the Mayor, that the member be removed from particular responsibilities
 - e) recommend to the Combined Authority to remove the member from any or all outside appointments to which they have been appointed or nominated by the authority
 - f) recommend to Combined Authority that it restricts the member from contacting specified Combined Authority's officers.
- 16.14.2 The Hearings Panel has no power to suspend or disqualify the member or to withdraw members' allowances.
- 16.14.3 At the end of the hearing, the Chairperson will state the decision of the Hearings Panel.
- 16.14.4 The Monitoring Officer or their appointed legal adviser to the Panel will prepare a formal decision notice in consultation with the Chairperson of the Hearings Panel and send a copy to the person making the complaint, to the member, and make the decision notice available for public inspection. If appropriate the Monitoring Officer will report the outcome of the hearing to the next Combined Authority meeting.

16.15 Independent Person

- 16.15.1 The Independent Person is invited to attend all meetings of the Hearings Panel and their views are sought before the Hearings Panel takes any decision on whether the member's conduct constitutes a failure to comply with the Code of Conduct and determines any action to be taken following a finding of failure to comply with the Code of Conduct.
- 16.15.2 The Independent Person is a person appointed by a positive vote from a majority of all the members of Combined Authority. A person cannot be "independent" if they –
- a) are, or have been within the past five years, a member, co-opted member or officer of the combined authority, constituent council or any parish council within the Combined Authority area
 - b) are a relative or close friend, of a person within paragraph (a) above.

For this purpose, "relative" means:

- spouse or civil partner
- living with the other person as husband and wife or as if they were civil partners

- grandparent of the other person
- a lineal descendent of a grandparent of the other person
- a parent, sibling or child of a person within i or ii
- a spouse or civil partner of a person within paragraphs iii, iv or v; or
- living with a person within paragraphs iii, iv or v as husband and wife; or as if they were civil partners.

16.16 Revision of these Arrangements

- 16.16.1 The Combined Authority may, by resolution, agree to amend these arrangements, and has delegated to the Chair of the Hearings Panel the right to depart from these arrangements where they consider it is expedient to do so to secure the effective and fair consideration of any matter.

16.17 Appeals

- 16.17.1 There is no right of appeal for a complainant or for the member against a decision of the Monitoring Officer or of the Hearings Panel.
- 16.17.2 If a complainant feels that the Combined Authority has failed to deal with their complaint properly, they may make a complaint to the Local Government Ombudsman.



Local Government Association

Model Councillor Code of Conduct 2020

Joint statement

The role of councillor across all tiers of local government is a vital part of our country's system of democracy. It is important that as councillors we can be held accountable and all adopt the behaviors and responsibilities associated with the role. Our conduct as an individual councillor affects the reputation of all councillors. We want the role of councillor to be one that people aspire to. We also want individuals from a range of backgrounds and circumstances to be putting themselves forward to become councillors.

As councillors, we represent local residents, work to develop better services and deliver local change. The public have high expectations of us and entrust us to represent our local area, taking decisions fairly, openly, and transparently. We have both an individual and collective responsibility to meet these expectations by maintaining high standards and demonstrating good conduct, and by challenging behaviour which falls below expectations.

Importantly, we should be able to undertake our role as a councillor without being intimidated, abused, bullied, or threatened by anyone, including the general public.

This Code has been designed to protect our democratic role, encourage good conduct and safeguard the public's trust in local government.

Introduction

The Local Government Association (LGA) has developed this Model Councillor Code of Conduct, in association with key partners and after extensive consultation with the sector, as part of its work on supporting all tiers of local government to continue to aspire to high standards of leadership and performance. It is a template for councils to adopt in whole and/or with local amendments.

All councils are required to have a local Councillor Code of Conduct.

The LGA will undertake an annual review of this Code to ensure it continues to be fit-for-purpose, incorporating advances in technology, social media and changes in legislation. The LGA can also offer support, training and mediation to councils and councillors on the application of the Code and the National Association of Local Councils (NALC) and the county associations of local councils can offer advice and support to town and parish councils.

Definitions

For the purposes of this Code of Conduct, a “councillor” means a member or co-opted member of a local authority or a directly elected mayor. A “co-opted member” is defined in the Localism Act 2011 Section 27(4) as “a person who is not a member of the authority but who

- a) is a member of any committee or sub-committee of the authority, or;
- b) is a member of, and represents the authority on, any joint committee or joint sub-committee of the authority;

and who is entitled to vote on any question that falls to be decided at any meeting of that committee or sub-committee”.

For the purposes of this Code of Conduct, “local authority” includes county councils, district councils, London borough councils, parish councils, town councils, fire and rescue authorities, police authorities, joint authorities, economic prosperity boards, combined authorities and National Park authorities.

Purpose of the Code of Conduct

The purpose of this Code of Conduct is to assist you, as a councillor, in modelling the behaviour that is expected of you, to provide a personal check and balance, and to set out the type of conduct that could lead to action being taken against you. It is also to protect you, the public, fellow councillors, local authority officers and the reputation of local government. It sets out general principles of conduct expected of all councillors and your specific obligations in relation to standards of conduct. The LGA encourages the use of support, training and mediation prior to action being taken using the Code. The fundamental aim of the Code is to create and maintain public confidence in the role of councillor and local government.

General principles of councillor conduct

Everyone in public office at all levels; all who serve the public or deliver public services, including ministers, civil servants, councillors and local authority officers; should uphold the [Seven Principles of Public Life](#), also known as the Nolan Principles.

Building on these principles, the following general principles have been developed specifically for the role of councillor.

In accordance with the public trust placed in me, on all occasions:

- I act with integrity and honesty
- I act lawfully
- I treat all persons fairly and with respect; and
- I lead by example and act in a way that secures public confidence in the role of councillor.

In undertaking my role:

- I impartially exercise my responsibilities in the interests of the local community
- I do not improperly seek to confer an advantage, or disadvantage, on any person
- I avoid conflicts of interest
- I exercise reasonable care and diligence; and
- I ensure that public resources are used prudently in accordance with my local authority's requirements and in the public interest.

Application of the Code of Conduct

This Code of Conduct applies to you as soon as you sign your declaration of acceptance of the office of councillor or attend your first meeting as a co-opted member and continues to apply to you until you cease to be a councillor.

This Code of Conduct applies to you when you are acting in your capacity as a councillor which may include when:

- you misuse your position as a councillor
- Your actions would give the impression to a reasonable member of the public with knowledge of all the facts that you are acting as a councillor;

The Code applies to all forms of communication and interaction, including:

- at face-to-face meetings
- at online or telephone meetings
- in written communication
- in verbal communication
- in non-verbal communication
- in electronic and social media communication, posts, statements and comments.

You are also expected to uphold high standards of conduct and show leadership at all times when acting as a councillor.

Your Monitoring Officer has statutory responsibility for the implementation of the Code of Conduct, and you are encouraged to seek advice from your Monitoring Officer on any matters that may relate to the Code of Conduct. Town and parish councillors are encouraged to seek advice from their Clerk, who may refer matters to the Monitoring Officer.

Standards of councillor conduct

This section sets out your obligations, which are the minimum standards of conduct required of you as a councillor. Should your conduct fall short of these standards, a complaint may be made against you, which may result in action being taken.

Guidance is included to help explain the reasons for the obligations and how they should be followed.

General Conduct

1. Respect

As a councillor:

1.1 I treat other councillors and members of the public with respect.

1.2 I treat local authority employees, employees and representatives of partner organisations and those volunteering for the local authority with respect and respect the role they play.

Respect means politeness and courtesy in behaviour, speech, and in the written word. Debate and having different views are all part of a healthy democracy. As a councillor, you can express, challenge, criticise and disagree with views, ideas, opinions and policies in a robust but civil manner. You should not, however, subject individuals, groups of people or organisations to personal attack.

In your contact with the public, you should treat them politely and courteously. Rude and offensive behaviour lowers the public's expectations and confidence in councillors.

In return, you have a right to expect respectful behaviour from the public. If members of the public are being abusive, intimidatory or threatening you are entitled to stop any conversation or interaction in person or online and report them to the local authority, the relevant social media provider or the police. This also applies to fellow councillors, where action could then be taken under the Councillor Code of Conduct, and local authority employees, where concerns should be raised in line with the local authority's councillor-officer protocol.

2. Bullying, harassment and discrimination

As a councillor:

2.1 I do not bully any person.

2.2 I do not harass any person.

2.3 I promote equalities and do not discriminate unlawfully against any person.

The Advisory, Conciliation and Arbitration Service (ACAS) characterises bullying as offensive, intimidating, malicious or insulting behaviour, an abuse or misuse of power through means that undermine, humiliate, denigrate or injure the recipient. Bullying might be a regular pattern of behaviour or a one-off incident, happen face-to-face, on social media, in emails or phone calls, happen in the workplace or at work social events and may not always be obvious or noticed by others.

The Protection from Harassment Act 1997 defines harassment as conduct that causes alarm or distress or puts people in fear of violence and must involve such conduct on at least two occasions. It can include repeated attempts to impose unwanted communications and contact upon a person in a manner that could be expected to cause distress or fear in any reasonable person.

Unlawful discrimination is where someone is treated unfairly because of a protected characteristic. Protected characteristics are specific aspects of a person's

identity defined by the Equality Act 2010. They are age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation.

The Equality Act 2010 places specific duties on local authorities. Councillors have a central role to play in ensuring that equality issues are integral to the local authority's performance and strategic aims, and that there is a strong vision and public commitment to equality across public services.

3. Impartiality of officers of the council

As a councillor:

3.1 I do not compromise, or attempt to compromise, the impartiality of anyone who works for, or on behalf of, the local authority.

Officers work for the local authority as a whole and must be politically neutral (unless they are political assistants). They should not be coerced or persuaded to act in a way that would undermine their neutrality. You can question officers in order to understand, for example, their reasons for proposing to act in a particular way, or the content of a report that they have written. However, you must not try and force them to act differently, change their advice, or alter the content of that report, if doing so would prejudice their professional integrity.

4. Confidentiality and access to information

As a councillor:

4.1 I do not disclose information:

- a. given to me in confidence by anyone**
- b. acquired by me which I believe, or ought reasonably to be aware, is of a confidential nature, unless**
 - i. I have received the consent of a person authorised to give it;**
 - ii. I am required by law to do so;**
 - iii. the disclosure is made to a third party for the purpose of obtaining professional legal advice provided that the third party agrees not to disclose the information to any other person; or**
 - iv. the disclosure is:**
 - 1. reasonable and in the public interest; and**
 - 2. made in good faith and in compliance with the reasonable requirements of the local authority; and**
 - 3. I have consulted the Monitoring Officer prior to its release.**

4.2 I do not improperly use knowledge gained solely as a result of my role as a councillor for the advancement of myself, my friends, my family members, my employer or my business interests.

4.3 I do not prevent anyone from getting information that they are entitled to by law.

Local authorities must work openly and transparently, and their proceedings and printed materials are open to the public, except in certain legally defined circumstances. You should work on this basis, but there will be times when it is required by law that discussions, documents and other information relating to or held by the local authority must be treated in a confidential manner. Examples include personal data relating to individuals or information relating to ongoing negotiations.

5. Disrepute

As a councillor:

5.1 I do not bring my role or local authority into disrepute.

As a Councillor, you are trusted to make decisions on behalf of your community and your actions and behaviour are subject to greater scrutiny than that of ordinary members of the public. You should be aware that your actions might have an adverse impact on you, other councillors and/or your local authority and may lower the public's confidence in you or your local authority's ability to discharge your/its functions. For example, behaviour that is considered dishonest and/or deceitful can bring your

local authority into disrepute.

You are able to hold the local authority and fellow councillors to account and are able to constructively challenge and express concern about decisions and processes undertaken by the council whilst continuing to adhere to other aspects of this Code of Conduct.

6. Use of position

As a councillor:

6.1 I do not use, or attempt to use, my position improperly to the advantage or disadvantage of myself or anyone else.

Your position as a member of the local authority provides you with certain opportunities, responsibilities, and privileges, and you make choices all the time that will impact others. However, you should not take advantage of these opportunities to further your own or others' private interests or to disadvantage anyone unfairly.

7. Use of local authority resources and facilities

As a councillor:

7.1 I do not misuse council resources.

7.2 I will, when using the resources of the local authority or authorising their use by others:

- a. act in accordance with the local authority's requirements; and**
- b. ensure that such resources are not used for political purposes unless that use could reasonably be regarded as likely to facilitate, or be conducive to, the discharge of the functions of the local authority or of the office to which I have been elected or appointed.**

You may be provided with resources and facilities by the local authority to assist you in carrying out your duties as a councillor.

Examples include:

- office support
- stationery
- equipment such as phones, and computers
- transport
- access and use of local authority buildings and rooms.

These are given to you to help you carry out your role as a councillor more effectively and are not to be used for business or personal gain. They should be used in accordance with the purpose for which they have been provided and the local authority's own policies regarding their use.

8. Complying with the Code of Conduct

As a Councillor:

8.1 I undertake Code of Conduct training provided by my local authority.

8.2 I cooperate with any Code of Conduct investigation and/or determination.

8.3 I do not intimidate or attempt to intimidate any person who is likely to be involved with the administration of any investigation or proceedings.

8.4 I comply with any sanction imposed on me following a finding that I have breached the Code of Conduct.

It is extremely important for you as a councillor to demonstrate high standards, for you to have your actions open to scrutiny and for you not to undermine public trust in the local authority or its governance. If you do not understand or are concerned about the local authority's processes in handling a complaint you should raise this with your Monitoring Officer.

Protecting your reputation and the reputation of the local authority

9. Interests

As a councillor:

9.1 I register and disclose my interests.

Section 29 of the Localism Act 2011 requires the Monitoring Officer to establish and maintain a register of interests of members of the authority .

You need to register your interests so that the public, local authority employees and fellow councillors know which of your interests might give rise to a conflict of interest. The register is a public document that can be consulted when (or before) an issue arises. The register

also protects you by allowing you to demonstrate openness and a willingness to be held accountable. You are personally responsible for deciding whether or not you should disclose an interest in a meeting, but it can be helpful for you to know early on if others think that a potential conflict might arise. It is also important that the public know about any interest that might have to be disclosed by you or other councillors when making or taking part in decisions, so that decision making is seen by the public as open and honest. This helps to ensure that public confidence in the integrity of local governance is maintained.

You should note that failure to register or disclose a disclosable pecuniary interest as set out in **Table 1**, is a criminal offence under the Localism Act 2011.

Appendix B sets out the detailed provisions on registering and disclosing interests. If in doubt, you should always seek advice from your Monitoring Officer.

10. Gifts and hospitality

As a councillor:

- 10.1 I do not accept gifts or hospitality, irrespective of estimated value, which could give rise to real or substantive personal gain or a reasonable suspicion of influence on my part to show favour from persons seeking to acquire, develop or do business with the local authority or from persons who may apply to the local authority for any permission, licence or other significant advantage.**
- 10.2 I register with the Monitoring Officer any gift or hospitality with an estimated value of at least £50 within 28 days of its receipt.**
- 10.3 I register with the Monitoring Officer any significant gift or hospitality that I have been offered but have refused to accept.**

In order to protect your position and the reputation of the local authority, you should exercise caution in accepting any gifts or hospitality which are (or which you reasonably believe to be) offered to you because you are a councillor. The presumption should always be not to accept significant gifts or hospitality. However, there may be times when such a refusal may be difficult if it is seen as rudeness in which case you could accept it but must ensure it is publicly registered. However, you do not need to register gifts and hospitality which are not related to your role as a councillor, such as Christmas gifts from your friends and family. It is also important to note that it is appropriate to accept normal expenses and hospitality associated with your duties as a councillor. If you are unsure, do contact your Monitoring Officer for guidance.

Appendices

Appendix A – The Seven Principles of Public Life

The principles are:

Selflessness

Holders of public office should act solely in terms of the public interest.

Integrity

Holders of public office must avoid placing themselves under any obligation to people or organisations that might try inappropriately to influence them in their work. They should not act or take decisions in order to gain financial or other material benefits for themselves, their family, or their friends. They must disclose and resolve any interests and relationships.

Objectivity

Holders of public office must act and take decisions impartially, fairly and on merit, using the best evidence and without discrimination or bias.

Accountability

Holders of public office are accountable to the public for their decisions and actions and must submit themselves to the scrutiny necessary to ensure this.

Openness

Holders of public office should act and take decisions in an open and transparent manner. Information should not be withheld from the public unless there are clear and lawful reasons for so doing.

Honesty

Holders of public office should be truthful.

Leadership

Holders of public office should exhibit these principles in their own behaviour. They should actively promote and robustly support the principles and be willing to challenge poor behaviour wherever it occurs.

Appendix B Registering interests

Within 28 days of becoming a member or your re-election or re-appointment to office you must register with the Monitoring Officer the interests which fall within the categories set out in **Table 1 (Disclosable Pecuniary Interests)** which are as described in "The Relevant Authorities (Disclosable Pecuniary Interests) Regulations 2012". You should also register details of your other personal interests which fall within the categories set out in **Table 2 (Other Registerable Interests)**.

"Disclosable Pecuniary Interest" means an interest of yourself, or of your partner if you are aware of your partner's interest, within the descriptions set out in Table 1 below.

"Partner" means a spouse or civil partner, or a person with whom you are living as husband or wife, or a person with whom you are living as if you are civil partners.

1. You must ensure that your register of interests is kept up-to-date and within 28 days of becoming aware of any new interest, or of any change to a registered interest, notify the Monitoring Officer.
2. A 'sensitive interest' is as an interest which, if disclosed, could lead to the councillor, or a person connected with the councillor, being subject to violence or intimidation.
3. Where you have a 'sensitive interest' you must notify the Monitoring Officer with the reasons why you believe it is a sensitive interest. If the Monitoring Officer agrees they will withhold the interest from the public register.

Non participation in case of disclosable pecuniary interest

4. Where a matter arises at a meeting which directly relates to one of your Disclosable Pecuniary Interests as set out in **Table 1**, you must disclose the interest, not participate in any discussion or vote on the matter and must not remain in the room unless you have been granted a dispensation. If it is a 'sensitive interest', you do not have to disclose the nature of the interest, just that you have an interest. Dispensation may be granted in limited circumstances, to enable you to participate and vote on a matter in which you have a disclosable pecuniary interest.
5. [Where you have a disclosable pecuniary interest on a matter to be considered or is being considered by you as a Cabinet member in exercise of your executive function, you must notify the Monitoring Officer of the interest and must not take any steps or further steps in the matter apart from arranging for someone else to deal with it]

Disclosure of Other Registerable Interests

6. Where a matter arises at a meeting which **directly relates** to the financial interest or wellbeing of one of your Other Registerable Interests (as set out in **Table 2**), you must disclose the interest. You may speak on the matter only if members of the public are also allowed to speak at the meeting but otherwise must not take part in any discussion or vote on the matter and must not remain in the room unless you have been granted a dispensation. If it is a 'sensitive interest', you do not have to disclose the nature of the interest.

Disclosure of Non-Registerable Interests

7. Where a matter arises at a meeting which **directly relates** to your financial interest or well-being (and is not a Disclosable Pecuniary Interest set out in Table 1) or a financial interest or well-being of a relative or close associate, you must disclose the interest. You may speak on the matter only if members of the public are also allowed to speak at the meeting. Otherwise you must not take part in any discussion or vote on the matter and must not remain in the room unless you have been granted a dispensation. If it is a 'sensitive interest', you do not have to disclose the nature of the interest.
8. Where a matter arises at a meeting which **affects** –
 - a. your own financial interest or well-being;
 - b. a financial interest or well-being of a relative or close associate; or
 - c. a financial interest or wellbeing of a body included under Other Registrable Interests as set out in **Table 2**

you must disclose the interest. In order to determine whether you can remain in the meeting after disclosing your interest the following test should be applied

9. Where a matter (referred to in paragraph 8 above) **affects** the financial interest or well-being:
 - a. to a greater extent than it affects the financial interests of the majority of inhabitants of the ward affected by the decision and;
 - b. a reasonable member of the public knowing all the facts would believe that it would affect your view of the wider public interest

You may speak on the matter only if members of the public are also allowed to speak at the meeting. Otherwise you must not take part in any discussion or vote on the matter and must not remain in the room unless you have been granted a dispensation.

If it is a 'sensitive interest', you do not have to disclose the nature of the interest.

10. [Where you have an Other Registerable Interest or Non-Registerable Interest on a matter to be considered or is being considered by you as a Cabinet member in exercise of your executive function, you must notify the Monitoring Officer of the interest and must not take any steps or further steps in the matter apart from arranging for someone else to deal with it]

Table 1: Disclosable Pecuniary Interests

This table sets out the explanation of Disclosable Pecuniary Interests as set out in the [Relevant Authorities \(Disclosable Pecuniary Interests\) Regulations 2012](#).

Subject	Description
Employment, office, trade, profession or vocation	Any employment, office, trade, profession or vocation carried on for profit or gain.
Sponsorship	<p>Any payment or provision of any other financial benefit (other than from the council) made to the councillor during the previous 12-month period for expenses incurred by him/her in carrying out their duties as a councillor, or towards their election expenses.</p> <p>This includes any payment or financial benefit from a trade union within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992.</p>
Contracts	<p>Any contract made between the councillor or their spouse or civil partner or the person with whom the councillor is living as if they were spouses/civil partners (or a firm in which such person is a partner, or an incorporated body of which such person is a director* or a body that such person has a beneficial interest in the securities of*) and the council</p> <p>—</p> <p>(a) under which goods or services are to be provided or works are to be executed; and</p> <p>which has not been fully discharged.</p>
Land and Property	<p>Any beneficial interest in land which is within the area of the council.</p> <p>‘Land’ excludes an easement, servitude, interest or right in or over land which does not give the councillor or their spouse or civil partner or the person with whom the councillor is living as if they were spouses/ civil partners (alone or jointly with another) a right to occupy or to receive income.</p>
Licenses	Any licence (alone or jointly with others) to occupy land in the area of the council for a month or longer
Corporate tenancies	<p>Any tenancy where (to the councillor’s knowledge)—</p> <p>(a) the landlord is the council; and</p> <p>the tenant is a body that the councillor, or their spouse or civil partner or the person with whom the councillor is living as if they were spouses/ civil partners is a partner of or a director* of or has a beneficial interest in the securities* of.</p>
Securities	<p>Any beneficial interest in securities* of a body where—</p> <p>(a) that body (to the councillor’s knowledge) has a place of business or land in the area of the council; and</p> <p>(b) either—</p> <p>(i) the total nominal value of the securities* exceeds £25,000 or one hundredth of the total issued share</p>

	<p>capital of that body; or</p> <p>(ii) if the share capital of that body is of more than one class, the total nominal value of the shares of any one class in which the councillor, or his/ her spouse or civil partner or the person with whom the councillor is living as if they were spouses/civil partners have a beneficial interest exceeds one hundredth of the total issued share capital of that class.</p>
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* 'director' includes a member of the committee of management of an industrial and provident society.

* 'securities' means shares, debentures, debenture stock, loan stock, bonds, units of a collective investment scheme within the meaning of the Financial Services and Markets Act 2000 and other securities of any description, other than money deposited with a building society.

Table 2: Other Registrable Interests

You must register as a Other Registerable Interest :

a) any unpaid directorships

b) any body of which you are a member or are in a position of general control or management and to which you are nominated or appointed by your authority

c) any body

(i) exercising functions of a public nature

(ii) directed to charitable purposes or

(iii) one of whose principal purposes includes the influence of public opinion or policy (including any political party or trade union) of which you are a member or in a position of general control or management.

Appendix C – the Committee on Standards in Public Life

The LGA has undertaken this review whilst the Government continues to consider the recommendations made by the Committee on Standards in Public Life in their report on [Local Government Ethical Standards](#). If the Government chooses to implement any of the recommendations, this could require a change to this Code.

The recommendations cover:

- Recommendations for changes to the Localism Act 2011 to clarify in law when the Code of Conduct applies
- The introduction of sanctions
- An appeals process through the Local Government Ombudsman
- Changes to the Relevant Authorities (Disclosable Pecuniary Interests) Regulations 2012
- Updates to the Local Government Transparency Code
- Changes to the role and responsibilities of the Independent Person
- That the criminal offences in the Localism Act 2011 relating to Disclosable Pecuniary Interests should be abolished

The Local Government Ethical Standards report also includes Best Practice recommendations. These are:

Best practice 1: Local authorities should include prohibitions on bullying and harassment in codes of conduct. These should include a definition of bullying and harassment, supplemented with a list of examples of the sort of behaviour covered by such a definition.

Best practice 2: Councils should include provisions in their code of conduct requiring councillors to comply with any formal standards investigation and prohibiting trivial or malicious allegations by councillors.

Best practice 3: Principal authorities should review their code of conduct each year and regularly seek, where possible, the views of the public, community organisations and neighbouring authorities.

Best practice 4: An authority's code should be readily accessible to both councillors and the public, in a prominent position on a council's website and available in council premises.

Best practice 5: Local authorities should update their gifts and hospitality register at least once per quarter, and publish it in an accessible format, such as CSV.

Best practice 6: Councils should publish a clear and straightforward public interest test against which allegations are filtered.

Best practice 7: Local authorities should have access to at least two Independent Persons.

Best practice 8: An Independent Person should be consulted as to whether to undertake a formal investigation on an allegation, and should be given the option to review and comment on allegations which the responsible officer is minded to dismiss as being without merit, vexatious, or trivial.

Best practice 9: Where a local authority makes a decision on an allegation of misconduct following a formal investigation, a decision notice should be published as soon as possible on its website, including a brief statement of facts, the provisions of the code engaged by the allegations, the view of the Independent Person, the reasoning of the decision-maker, and any sanction applied.

Best practice 10: A local authority should have straightforward and accessible guidance on its website on how to make a complaint under the code of conduct, the process for handling complaints, and estimated timescales for investigations and outcomes.

Best practice 11: Formal standards complaints about the conduct of a parish councillor towards a

clerk should be made by the chair or by the parish council, rather than the clerk in all but exceptional circumstances.

Best practice 12: Monitoring Officers' roles should include providing advice, support and management of investigations and adjudications on alleged breaches to parish councils within the remit of the principal authority. They should be provided with adequate training, corporate support and resources to undertake this work.

Best practice 13: A local authority should have procedures in place to address any conflicts of interest when undertaking a standards investigation. Possible steps should include asking the Monitoring Officer from a different authority to undertake the investigation.

Best practice 14: Councils should report on separate bodies they have set up or which they own as part of their annual governance statement and give a full picture of their relationship with those bodies. Separate bodies created by local authorities should abide by the Nolan principle of openness and publish their board agendas and minutes and annual reports in an accessible place.

Best practice 15: Senior officers should meet regularly with political group leaders or group whips to discuss standards issues.

The LGA has committed to reviewing the Code on an annual basis to ensure it is still fit for purpose.

CHAPTER 17:

OFFICER SCHEMES OF DELEGATION

17.1 PART 1: Officer Scheme of Delegations

17.1.1 Introduction

- 17.1.1.1. The Combined Authority has a Scheme of Delegation to Chief Officers and a Schedule of Proper Officers for its functions in accordance with [section 101 of the Local Government Act 1972](#).
- 17.1.1.2. A Chief Officer in the context of this Constitution means
- Chief Executive of Combined Authority and Business Board, and Head of Paid Service
 - Chief Finance Officer, and
 - Monitoring Officer
 - Corporate Directors
 - any other posts defined as Chief Officer in the Employment Procedure rules
- 17.1.1.3. Powers delegated to Chief Officers may be exercised by other Officers within the Combined Authority or constituent councils if the relevant Chief Officer has further delegated that power, provided that this is properly recorded and evidenced.
- 17.1.1.4. Any decisions or actions taken by a Chief Officer, or other person on behalf of a Chief Officer, must be in accordance with:
- a) the provisions of the [Openness of Local Government Bodies Regulations 2014](#);
 - b) statute or other legal requirements, including the principles of public law, [the Human Rights Act 1998](#), statutory guidance and codes of practice;
 - c) the Constitution, including the Combined Authority [Contract Procedure Rules](#), assurance framework, monitoring and evaluation framework, [Financial Regulations](#) and [Decision Making](#);
 - d) the revenue and capital budgets of the Combined Authority, subject to any variation which is permitted by the Financial Regulations; and
 - e) any policy or direction of the Combined Authority or any Committee acting in exercise of powers delegated to that Committee by the Combined Authority.
- 17.1.1.5. Officers may exercise delegated powers to take any decision in relation to the functions of the Combined Authority including Mayoral functions except where:
- a) the matter is reserved to the Combined Authority or the Mayor by law or by the Constitution
 - b) the matter is a function which cannot by law be discharged by an Officer
 - c) the Combined Authority or a Committee, Sub-Committee or Joint Committee to which the Combined Authority is a party, or in the case of a mayoral function, the Mayor has agreed that the matter should be discharged otherwise than by an Officer
 - d) the Head of Paid Service has directed that the officer concerned should not exercise a delegated function
 - e) any other limitation of the exercise of delegated authority is set out in this Constitution or is specifically restricted in any decision of the Combined Authority.
- 17.1.1.6. Lead Officers are not obliged to exercise delegated powers if they believe circumstances are such that the powers should more appropriately be exercised by the Authority or one of its Committees.

17.1.2. General Delegations to all Chief Officers

17.1.2.1. Chief Officers (including Executive Directors) will be responsible for the following within their areas of responsibility:

- a) the day-to-day management, supervision and control of services provided on behalf of the Authority within the approved budget limits
- b) day-to-day management of staff in accordance with agreed human resource policies and procedures
- c) acting on behalf of and in the name of the Combined Authority, where necessary in consultation with the Mayor, or Chief Executive and/or other appropriate officers
- d) dealing with press enquiries and issuing press releases
- e) investigative contraventions of legislation applicable to the functions under their control, and also in respect of these functions to exercise the powers and conferred by the [Regulation of Investigatory Powers Act 2000](#), the European Communities Act 1974 (and associated regulations) and the [Police and Criminal Evidence Act 1984](#);
- f) procure or re-procure, award and agree contracts for goods and services not above £0.5m (in agreement with the S73 Officer and Monitoring Officer) without the need to seek authorisation from Members unless the Combined Authority Board has expressly requested that authorisation is sought from them or the funds are not within the Combined Authority's approved budget.
- g) agree Grant Funding Agreements up to £0.5m in consultation with the Chief Finance Officer and the Monitoring Officer. The S73 Officer is authorised to sign and certify Grant Offer Letters for the release of funding.

17.2. Contracts and Accounts

- 17.2.1 All contracts shall be dealt with in accordance with Contract Procedure Rules and Financial Regulations as may be agreed from time to time by the Combined Authority.
- 17.2.2 Contracts below £5,000: The decision to award the contract and any written terms must be agreed in writing by a Chief Officer unless they have delegated that authority.
- 17.2.3 Contracts between £5,000 and £50,000: The Chief Officer can award a contract up to £50,000 in value.
- 17.2.4 Contracts between £50,000 and UK thresholds: A report to authorise the award of the contract must be sent to Legal Services, and the Finance Officer for approval by the Chief Finance Officer or Monitoring Officer.
- 17.2.5 Contracts within UK thresholds up to £0.5m: The relevant Executive Director can award a contract up to £0.5m in value in agreement with the S73 Officer and Monitoring Officer.
- 17.2.6 Contracts over £0.5m and up to £2m: The Chief Executive is authorized to award contracts and approve business cases.
- 17.2.7 Contracts over £2m and up to £5m: Requires a Funding Committee decision.
- 17.2.8 Contracts above £5m: requires a Combined Authority Board decision or the Mayor for Mayoral functions before award of the contract.
- 17.2.9 Contract rule exemptions: Granted entirely at the discretion of the Chief Finance Officer or Monitoring Officer.
- 17.2.10 Assigning and Novating Contracts: Needs approval of the relevant Chief Officer and the Monitoring Officer. If over £1m it will also need a Combined Authority Decision.
- 17.2.11 Terminating Contracts: Needs approval of the Chief Finance Officer and the Monitoring Officer. If over £1m it will also need a Combined Authority decision.

17.3. Delegations to the Chief Executive

- 17.3.1 To exercise the functions of the Head of Paid Service as set out in [Section 4 of the Local](#)

[Government and Housing Act 1989.](#)

- 17.3.2 To be responsible for the coordination of the Combined Authority's functions including mayoral functions.
- 17.3.3 To provide a comprehensive policy advice service and in particular to advise on the Combined Authority's plans and strategies.
- 17.3.4 To be responsible for the appointment, and grading, and dismissal of staff up to and including Deputy Chief Officer level.
- 17.3.5 To be responsible for the organisation and proper management of the Combined Authority's staff including proposing changes to the management structure and the number and grades of staff required.
- 17.3.6 To designate to a Chief Officer, the role of Deputy Chief Executive.
- 17.3.7 The Deputy Chief Executive is authorised to undertake and discharge all authority, powers and delegations assigned to the Chief Executive Officer in their absence.
- 17.3.8 Notwithstanding the authority set out in 17.3.6, to authorise a Chief Officer to act on any matter within the Chief Executive's authority.
- 17.3.9 To discharge any function of the Combined Authority which:
- a) has not been specifically delegated to another Officer, Committee or reserved to the Mayor or the Combined Authority Board.
 - b) has been delegated to another Officer where that Officer is absent or otherwise unable to act (excluding the statutory functions of the Monitoring Officer and Chief Finance Officer).
 - c) To take any action which is required as a matter of urgency in consultation (where practicable) with the Mayor, the Monitoring Officer and the Chief Finance Officer and in accordance with the Transparency Rules, Forward Plan and Key Decisions ([Chapter 6: Decision Making](#)).
 - d) To provide any response to any Government consultation, subject to consultation with the Mayor of the Combined Authority.
 - e) To co-ordinate public relations for the Authority, including the approval of press releases on behalf of the Authority having consulted, where appropriate, the Mayor.
 - f) Nominate, appoint and remove, in consultation with the Mayor (as Chair) and the Vice-Chair of the Combined Authority Board, representatives on the Board of companies, trusts and other bodies, of which the Combined Authority is a member, and to agree Constitutional arrangements for such companies, trusts and other bodies and give any necessary consent required within their Constitutions.
 - g) In consultation with the Chief Finance Officer and Monitoring Officer, the Chief Executive may take decisions related to the approval of a detailed business case and the acceptance of a tender or quotation for the supply of goods, materials or services provided that the spend is within the Combined Authority's approved budget. Prior to exercising this delegation that Chief Executive must consult the Mayor, and the Chair of the relevant thematic Committee and, following the decision, must publish an Officer Decision Notice.
 - h) In order to exercise (g) above, the business case or procurement must be approved by the Combined Authority Board within the MTFP and, in the case of a tender or quotation, must be approved in accordance with the Authority's Contracts Procedure Rules, ie:
 - i. the decision relates to the delivery of the agreed business plan for that business area
 - ii. the decision accords with any officer decision making guidance issued to officers
 - iii. once the decision has been made the officer complies with the transparency requirements of [The Openness of Local Government Bodies Regulations 2014](#).

- iv. decisions taken will be reported to the next available Combined Authority Board as part of a Delegated Authority report
- i) In consultation with the Mayor, exercise any function of the Authority which is not expressly reserved to the Board; which does not lie within the terms of reference of any Committee of the Authority; or which is otherwise delegated to another specific officer under this scheme.
- j) To make final decisions in redundancy matters in accordance with all government guidance and statute.
- k) To exercise the general power of competence on behalf of the Combined Authority in the absence of any specific delegation acting in the best interests of the Combined Authority, subject to:
 - i. consultation with the Monitoring Officer and the Chief Finance Officer; and
 - ii. reporting to the next meeting of the Combined Authority Board on the exercise of that power.
- l) To take decisions up to £2m, subject to any decisions being reported to the next Board meeting of the Combined Authority.
- m) To commit expenditure from earmarked funds and reserves in accordance with the purpose for which those earmarked funds and reserves have been approved by the Combined Authority Board, save for those earmarked funds and reserves which the Combined Authority Board specifically reserves the right to itself or another Committee to approve, and subject to reporting the use of those earmarked funds and reserves through the budget monitoring report at the next meeting of the Combined Authority Board after the commitment is made.

17.4. Delegations to the Chief Finance Officer

- 17.4.1 The Chief Finance Officer shall be the designated the Proper Officer under section 73 of the Local Government Act 1985.
- 17.4.2 To effect the proper administration of the Authority's financial affairs, particularly in relation to financial advice, procedures, records and accounting systems, internal audit and financial control.
- 17.4.3 To take all actions required on borrowing, investment and financing subject to the submission to the Audit and Governance Committee and Combined Authority of an annual report of the Chief Finance Officer on treasury management activities and at six-monthly intervals in accordance with [CIPFA's Code of Practice for Treasury Management & Prudential Codes](#).
- 17.4.4 To effect all insurance cover required in connection with the business of the Combined Authority and to settle all claims under such insurances arranged for the Combined Authority's benefit.
- 17.4.5 To accept grant offers on behalf of the Combined Authority, subject to all the terms and conditions set out by the grant awarding body
- 17.4.6 To submit all claims for grant to the UK Government or the European Community (EC).
- 17.4.7 To set up and operate such bank accounts as are considered appropriate and make all necessary banking arrangements on behalf of the Combined Authority.
- 17.4.8 To consider reports of officers on any likely overspending in relation to revenue expenditure, and to approve transfers (virements) between expenditure heads which are less than £500,000. Transfers of £500,000 and over must be approved by the Board.
- 17.4.9 To send out all accounts for income due to the Combined Authority.
- 17.4.10 To authorise electronic payments.
- 17.4.11 To collect all money due to the Authority and write-off bad debts in accordance with the Financial Procedure Rules. Legal action should be undertaken in consultation with the Monitoring Officer.

- 17.4.12 To supervise procedures for the invitation, receipt and acceptance of tenders.
- 17.4.13 To administer the scheme of Members' allowances.
- 17.4.14 To discharge the functions of the 'responsible financial officer' under the [Accounts and Audit \(England\) Regulations 2011](#).
- 17.4.15 To sign certificates under the [Local Government \(Contracts\) Act 1997](#).
- 17.4.16 To sign and certify Grant Offer Letters and release of funding.
- 17.4.17 To be the officer nominated, or to nominate in writing another officer, as the person to receive disclosures of suspicious transactions for the purposes of the [Proceeds of Crime Act 2002](#) and any Regulations made under that Act.
- 17.4.18 To exercise the responsibilities assigned to the Chief Finance Officer in this Constitution, including Financial Regulations and the Contract Procedure Rules.
- 17.4.19 To incur expenditure, within the revenue budget, in accordance with the approved budget limits and Financial Regulations.
- 17.4.20 To incur expenditure on capital schemes, in accordance with the Capital Programme and Financial Regulations, provided that expenditure has been authorised in accordance with the Assurance Framework.
- 17.4.21 Approve applications to bid for external funding where there are no wider budgetary implications or the bid relates to a matter within the strategic framework.
- 17.4.22 To arrange internal audit in accordance with the [Accounts and Audit Regulations 2015](#) and relevant professional guidance.
- 17.4.23 Internal Audit Officers on producing appropriate identification shall have authority to:
- enter at all reasonable times on any land, premises or other assets of the Combined Authority
 - obtain access to all records, documents, cash, stores, equipment and correspondence relating to any financial or other transaction of the Combined Authority
 - require and receive such explanations as are necessary concerning any matters under examination
 - require officers or Members of the Combined Authority to produce cash, stores, or any other Combined Authority property, which is under their control.
- 17.4.24 The table below sets out the delegations in relation to the Greater South East Net Zero Hub (GSENZH)

	Delegation	Limitation
1.	<p>Delegate authority to the Executive Director of Resources (or substitute), upon the recommendation of the GSE Net Zero Hub Board:</p> <ol style="list-style-type: none"> To agree funding allocations for the use of GSENZH funds. To develop and design grant programmes in line with GSENZH objectives. To commission/procure services, projects and toolkits, and to award and enter into contracts. To approve the award of grants. To procure services and award contracts for DESNZ ringfenced projects arising out of the GSENZH MoU(s)/GBE agreements. To execute the corresponding grants, contracts and agreements. 	<p>Project Development & Acceleration Fund - £1m</p> <p>Technical consultancy £500K</p> <p>Strategic Projects £750K</p> <p>DESNZ ringfenced projects £2million</p>

	Where the decisions do not impact the Combined Authority budget or staffing arrangements. Such approvals or decisions to be reported to the next meeting of the Combined Authority Board on the exercise of that delegation.	
2.	Delegate authority to the Executive Director of Resources, in consultation with the Deputy Section 73 Officer and Monitoring Officer, to enter into agreements and approve the budgets corresponding to DESNZ Memorandum of Understanding(s) (MoUs) and Great British Energy agreements. Where the decisions do not impact the Combined Authority budget or staffing arrangements. Such approvals or decisions to be reported to the next meeting of the Combined Authority Board on the exercise of that delegation.	£5million
3.	Delegate authority to the Executive Director of Resources, to agree variation(s) to the GSENZH Memorandum of Understanding(s) (MoUs)/GBE agreements, execute agreements and approve budgets. Such approvals or decisions to be reported to the next meeting of the Combined Authority Board on the exercise of that delegation.	£5million
4.	Delegate authority to the Executive Director of Resources in consultation with the Chair of the Growth Committee, to accept new GSENZH Memorandum of Understanding(s) (MoUs), execute agreements and approve budgets. Such approvals or decisions to be reported to the next meeting of the Combined Authority Board on the exercise of that delegation.	£10million
5.	Delegate authority to the Executive Director of Resources (or substitute), to set up advisory boards/steering groups/funding panels and agree Terms of Reference. Delegate authority to the Executive Director of Resources (or substitute) to review and update Terms of Reference annually. Such approvals or decisions to be reported to the Growth Committee on the exercise of that delegation.	

17.5. Delegations to the Monitoring Officer

- 17.5.1 Under [section 5 of the Local Government and Housing Act 1989](#), the Combined Authority shall appoint a Monitoring Officer.
- 17.5.2 To provide advice on the scope of powers and authority to take decisions.
- 17.5.3 If it appears to the Monitoring Officer that any proposal, decision or omission by the Combined Authority has given rise to or is likely to give rise to unlawfulness or maladministration, they will prepare a report to the Combined Authority with respect to that proposal, decision or omission.
- 17.5.4 To monitor and review the operation of the Constitution on an annual basis, and to make changes to the Constitution in the circumstances set out below:
- a legislative requirement
 - a minor variation which is of a non-substantive nature to enable them to be kept up to date and in order
 - required to be made to remove any inconsistency or ambiguity; or
 - required to be made so as to put into effect any decision of the Combined Authority or its Committees or any organisational changes.
- 17.5.5 Any such change made by the Monitoring Officer to this Constitution shall come into force with immediate effect. The Monitoring Officer will report any changes made to the Combined Authority Board as soon as is reasonably possible.

- 17.5.6 To make any changes to the standing orders, committees' terms of reference, policies, or officer delegation scheme of the Authority which are required as a result of legislative change or decisions of the Authority.
- 17.5.7 To make any changes to the Assurance Framework which are required as a result of legislative change or decisions of the Authority.
- 17.5.8 To administer the Members' Allowances Scheme.
- 17.5.9 To be authorised to take all necessary steps to manage and safeguard any shareholding the Combined Authority owns in a company including but not limited to granting permissions, giving consents, amending and signing shareholder agreements and compliance with the [Companies Act 2006](#) requirements and any associated requirements;
- 17.5.10 To be authorised to sign Grant Funding Agreements, outside of Combined Authority Board approval, up to £1m in consultation with the Chief Finance Officer
[Member Code of Conduct](#)
- 17.5.11 To deal with matters of conduct and ethical standards in accordance with the requirements of the [Localism Act 2011](#).
- 17.5.12 To support the Audit and Governance Committee in promoting high standards of conduct.
- 17.5.13 To receive complaints that any Member has failed to comply with the Code of Conduct for Members.
- 17.5.14 To determine, after consultation with the Independent Person, whether to reject, informally resolve or investigate any complaint received, and to take such action as is necessary to implement that determination in accordance with the complaints procedure.
- 17.5.15 To arrange for the appointment of an Investigating Officer to investigate a complaint where the Monitoring Officer (in consultation with an Independent Person) determines that a complaint merits formal investigation.
- 17.5.16 To prepare and maintain the Authority's Register of Members' Interests and ensure it is available for inspection and published on the Combined Authority's website as required by the [Localism Act 2011](#).
- 17.5.17 To grant dispensations from [section 31\(4\) of the Localism Act 2011](#) in consultation with the Independent Person if, having had regard to all relevant circumstances, the Monitoring Officer considers that:
- 17.5.18 without the dispensation the number of persons prohibited by [section 31\(4\) of the Localism Act 2011](#) from participating in any particular business would be so great a proportion of the body transacting the business as to impede the transaction of the business; or
- 17.5.19 without the dispensation the representation of different political groups on the body transacting any particular business would be so upset as to alter the likely outcome of any vote relating to the business; or
- 17.5.20 granting the dispensation is in the interests of persons living in the Combined Authority's area; or
- 17.5.21 it is otherwise appropriate to grant a dispensation.
- 17.5.22 To keep a register of gifts and hospitality in accordance with the Protocol on Gifts and Hospitality and to arrange for its publication on the Authority's website.
[Legal Matters](#)
- 17.5.23 To institute, conduct, prosecute and defend any legal proceedings on behalf of the Combined Authority, as may be necessary to protect and promote the Combined Authority's interests.
- 17.5.24 To settle, if appropriate, and in the interests of the Combined Authority, any actual or threatened legal proceedings.
- 17.5.25 To instruct Counsel and professional advisers, where appropriate.

- 17.5.26 To supervise the preparation of legal documents.
- 17.5.27 To execute documents whether by hand or under seal, and to authorise other Officers to execute documents whether by hand or under seal.
- 17.5.28 To complete all property transactions and contractual arrangements where terms have been agreed by the Combined Authority, a Committee or Chief Officer acting under delegated authority.
- 17.5.29 To exercise the responsibilities assigned to the Monitoring Officer in this Constitution, including the Contract Procedure Rules.
- 17.5.30 To deal with and determine exemptions under [Section 36 of the Freedom of Information Act 2000](#).
- 17.5.31 To accept on behalf of the Combined Authority the service of notices, orders and legal procedures.
- 17.5.32 Under [Section 223 of the Local Government Act 1972](#) to authorise Officers who are not admitted solicitors to appear in Magistrates' Court on behalf of the Combined Authority.
- 17.5.33 To agree the terms for placing an officer at the disposal of another local authority.
- 17.5.34 To be responsible for determinations in relation to and maintenance of the list of politically restricted posts.

17.6 PART 2: Schedules of Proper Officers

17.6.1 Introduction

- 17.6.1.1. There are a number of specific references in the 1972 and 1985 Local Government Acts, which call for functions to be undertaken by what is termed the "Proper Officer". The following Schedules list such references and identify the Chief Officers responsible for their discharge:

17.6.2. Head of Paid Service

- 17.6.2.1 The Head of Paid Service is appointed the Proper Officer for the purpose of any enactment unless this Constitution has designed another Officer as Proper Officer.

17.6.3. Chief Finance Officer

- 17.6.3.1 The Chief Finance Officer is appointed the Proper Officer in relation to the following:
To take decisions up to £1m, subject to any decisions being reported to the next Board meeting of the Combined Authority.

Local Government Act 1972

Receipt of money due from Officers	Section 115 (2)
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Local Government Act 1985

Proper Administration of the financial affairs of the Combined Authority	Section 73
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Local Government Finance Act 1988

To report in consultation with the Monitoring Officer if there is or is likely to be unlawful expenditure or an unbalanced budget.	Section 114
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17.6.4. Monitoring Officer

- 17.6.4.1 The Monitoring Officer is appointed the Proper Officer in relation to the following:

Local Government Act 1972

Declaration and Certificates with regard to securities	Section 146 (1) (a) and (b)
Deposit of Documents	Section 225 (1)

Certifications of photographic copies of documents	Section 229 (5)
Issuing and signing of formal notices	Section 234 (1) and (2)
Determination of those reports which should be available for public inspection prior to a meeting of the Combined Authority, and its Committees and those which are likely to be heard in private and consequently which should not be released to the public.	Section 100B (2)
Provision of documents to the press, additional to Committee reports	Section 100B (7)
Preparing written summaries of proceedings	Section 100C (2)
Making arrangements for list of, and background papers to reports, to be made available for public inspection	Section 100D (1)
Determination of documents disclosing exempt information which may not be inspected by Members	Section 100F (2)
Signature of Summonses to Combined Authority meetings	Schedule 12 para 4 (2) (b)
Receipt of notices regarding address to which Summons to meetings of the Combined Authority is to be sent	Schedule 12 para 4 (3)

17.6.5. General

- 17.6.5.1 All Officers in whose name reports are submitted to the Combined Authority are appointed the Proper Officers in relation to the following:

Local Government Act 1972

Compilation and retention of lists of background papers and copies of the relevant documents and reports; and	Section 100D (1) (a)
Identifying and determining what are background papers	Section 100

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CHAPTER 18: POLICIES AND PROTOCOLS

This Chapter provides, as a series of annexes, the pr policies and protocols of the Combined Authority, as follows:

- Annex 1: [Protocol on Member Use of Resources and the Code of Recommended Practice on Local Authority Publicity](#)
- Annex 2: [Member-Officer Relations Protocol](#)
- Annex 3: [Politically Restricted Posts Protocol](#)
- Annex 4: [Social Media Protocol](#)
- Annex 5: [Disciplinary Procedure in Relation to the Head of Paid Service, Monitoring Officer and Section 73 Officer](#)
- Annex 6: [Monitoring Officer Protocol](#)
- Annex 7: [Procurement Strategy](#)
- Annex 8: [Procurement Policy](#)
- Annex 9: [Member Access to Information Protocol](#)
- Annex 10: [Complaints Procedure](#)
- Annex 11: [Protocol on Appointments to the Office of the Mayor](#)
- Annex 12: [Appointment to Outside Bodies Protocol](#)

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Annex 1:

Protocol on Member Use of Resources and the Code of Recommended Practice on Local Authority Publicity

1. Introduction

The Combined Authority provides resources to its elected members and to members of the Business Board in order to assist them in performing their duties. These resources include:

- a) Office Premises
- b) Stationery, postage, telephones, copying facilities
- c) Administrative and Secretarial Support
- d) Laptops
- e) Email accounts

The Combined Authority's Member Code of Conduct includes the following on use of the Authority's resources:

As a member I commit to:

i. Not misusing Authority resources.

"You may be provided with resources and facilities by the Authority to assist you in carrying out your duties as a member. Examples include office support, stationery and equipment such as phones, and computers and transport. These are given to you to help you carry out your role as a member more effectively and not to benefit you personally. You should familiarise yourself with the Authority's Protocol on Member Use of Resources and the Code of Recommended Practice on Publicity."

Any breach of the requirements of this protocol will be deemed to be a breach of the Member code of Conduct. If any elected member wishes to have advice on the use of the Authority's resources, they should contact the Authority's Monitoring Officer.

ii. Correct Use of Information and Communications Technology

All use of ICT by elected members is subject to the Authority's ICT policies which govern the use of laptops, the Authority's networks and mobile devices provided by the Authority. These policies also apply to the Authority's officers.

2. The Code of Recommended Practice on Local Authority Publicity

Section 2 of the Local Government Act 1986 states:

Prohibition of political publicity.

- i) A local authority shall not publish [or arrange for the publication of] any material which, in whole or in part, appears to be designed to affect public support for a political party.*
- ii) In determining whether material falls within the prohibition regard shall be had to the content and style of the material, the time and other circumstances of*

publication and the likely effect on those to whom it is directed and, in particular, to the following matters:

- whether the material refers to a political party or to persons identified with a political party or promotes or opposes a point of view on a question of political controversy which is identifiable as the view of one political party and not of another*
- where the material is part of a campaign, the effect which the campaign appears to be designed to achieve.*

iii) A local authority shall not give financial or other assistance to a person for the publication of material which the authority are prohibited by this section from publishing themselves.

This prohibition applies to all publicity produced by the Authority but is of particular importance during the period before elections.

This prohibition applies to the Authority, and the government has issued the Code of Recommended Practice on Local Authority Publicity under section 4 of the 1986 Act.

Section 6 of the 1986 Act defines “publicity” as:

“any communication in whatever form, addressed to the public at large or a section of the public”

And the Code confirms that this will include paid advertising and leaflet campaigns, publication of free newspapers and newssheets and maintenance of websites – including the hosting of material which is created by third parties.

The Code states that local authority publicity should:

- a) be lawful*
- b) be cost effective*
- c) be objective*
- d) be even-handed*
- e) be appropriate*
- f) have regard to equality and diversity*
- g) be issued with care during periods of heightened sensitivity*

The Code confirms that, except during periods of heightened sensitivity, it is acceptable for local authorities to publicise the work done by individual members of the authority, and to present the views of those individuals on local issues. However, publicity material produced by local authorities relating to a particular member must not seek to affect public support for that individual.

The Code refers to periods of heightened sensitivity before elections and referendums and requires local authorities to pay particular regard to the legislation on publicity during such periods. The Code states:

During the period between the notice of an election and the election itself, local authorities should not publish any publicity on controversial issues or report views or proposals in such a way that identifies them with any individual members or groups of members. Publicity relating to individuals involved directly in the election should not be published by local authorities during this period unless expressly authorised

by or under statute. It is permissible for local authorities to publish factual information which identifies the names, wards and parties of candidates at elections.

It is, therefore, not permitted for members to use the Authority's resources for political purposes such as promoting a particular candidate or political party in an election or a particular outcome in a referendum.

3. Personal Use of the Authority's Resources

Personal use of ICT equipment and resources is covered by the policies referred to at paragraph a) ii above.

As above at paragraph a) i the Member Code of Conduct reminds members that resources and facilities provided to them by the Authority are provided to help them carry out their roles as members more effectively and not to benefit them personally.

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Annex 2:

Protocol on Member/Officer Relations

COMBINED AUTHORITY



1. Introduction

- 1.1 The protocol is designed to provide a guide to good working relations between Combined Authority Board Members, including the Mayor, and members of the Combined Authority and officers, to define their respective roles and provide some principles governing conduct. It is not intended to be prescriptive or comprehensive and seeks simply to offer guidance on some of the issues that most commonly arise. Effective working relationships between Members and Officers is crucial to the Authority's governance and operation.
- 1.2 The protocol seeks to reflect the principles underlying the respective Codes of Conduct that apply to Members and Officers and should be read in association with those Codes. The shared objective of the Codes is to enhance and maintain the integrity of local government.
- 1.3 This protocol will also apply to co-opted members of committees/boards.
- 1.4 Members and Officers are all public servants who depend on each other in carrying out their work. Members are responsible to the people of the Combined Area who they serve for as long as their term of office lasts, while Officers are responsible to the Authority. Their job is to give impartial advice to the Board and to the Authority's committees and subcommittees as well as individual Members, and to carry out the Authority's work.
- 1.5 Mutual respect between Members and Officers is essential to good governance. Mutual respect and courtesy should prevail in all meetings and contacts (both formal and informal) between Members and Officers. To be most effective Members and Officers will work closely and cohesively together. However, close personal familiarity between individual Members and Officers can damage this important relationship.
- 1.6 The relationship between Members and Officers has to operate without any risk of compromising the ultimate responsibilities of Officers to the Authority as a whole, and with due regard to such technical, financial, professional and legal advice that Officers properly provide to Members.
- 1.7 It is clearly important that there should be a close working relationship between Board members, committee chairs, and the relevant chief officers. However, such relationships should never be allowed to become so close, or appear to be so close, as to bring into question the individual's ability to deal impartially with others.



2 Members' and Officers' Roles

- 2.1 Members and Officers may be in receipt of services from the authority or a constituent authority. Neither Members nor Officers should seek to use their positions to obtain preferential treatment, and they should be treated in the same way as any member of the public would in the same position. If Members or Officer are concerned that preferential treatment is being sought by either an Officer or a Member as a result of their position they should seek advice from the Monitoring Officer.

Roles of Members

- 2.2 Members have many different roles:

- a) Members are the policy makers and carry out a number of strategic and corporate functions collectively approving the Authority's policy framework, strategic plans and budget.
- b) Developing and reviewing policy and strategy.
- c) Monitoring and reviewing policy implementation and service quality.
- d) Members express political values and support the policies of the political party or group to which they belong (if any).
- e) Representing their communities and bringing their views into the Authority's decision-making processes, thus becoming advocates for their communities.
- f) Being involved in partnerships with other organisations as community leaders.
- g) Representing the Authority on other bodies and acting as ambassadors for the Authority.
- h) Members may have roles relating to their position as members of the Board or Overview and Scrutiny Committee or other committees and sub committees of the Authority.
- i) Making recommendations & decisions
- j) Members will have roles within constituent authorities and may also be members of other local authorities.

Roles of Officers

- 2.3 Officers' main roles are as follows:

- a) Providing advice to the Board, to the Authority's committees and subcommittees and Members to enable them to fulfil their roles.
- b) Managing and providing services for which they are responsible.
- c) Being accountable for ensuring those services are efficient and effective.
- d) Advising the Board, the Authority's committees and subcommittees and Members in respect of those services.
- e) Initiating proposals for policy development.
- f) Implementing the Authority's policies.
- g) Ensuring the Authority acts lawfully.
- h) Representing the Authority on external organisations.

Respect and Courtesy

- 2.4 An essential ingredient to the Authority's business being conducted effectively is ensuring mutual respect, trust, courtesy and even-handedness in all meetings and contacts between Officers and Members. This plays a very important part in the Authority's reputation and how it is seen by the public and partners.



The Authority's Reputation

- 2.5 Members and Officers both have an important role in engendering a good reputation on the Authority. In particular they should:
- a) protect and promote the legitimacy of democratic local government
 - b) promote a positive relationship between Members and Officers and be careful not to undermine it;
 - c) avoid criticism of the Authority when formally representing it; and
 - d) avoid personal criticism of other Members and Officers.

Undue pressure

- 2.6 In any dealings between Members and Officers neither should try to take advantage of their position nor place undue pressure on staff, particularly junior staff.
- 2.7 Members and Officers must always be mutually respectful, regardless of their role within the Authority. Members must not pressure any Officer to do things they have no power to do, things which the officer considers to be unlawful or amount to maladministration or to work outside of normal duties or hours.
- 2.8 Officers should usually carry out decisions of the Authority unless they consider them to be unlawful, amount to maladministration, or outside of the budget and policy framework. If an officer considers that they are being pressured to make a decision in those circumstances they will seek the advice of the Monitoring Officer and/or Chief Finance Officer may get involved as they have a statutory duty to intervene where illegality, unlawful expenditure or maladministration occur.
- 2.9 To assist Members in decision making they should be informed of all legal and financial considerations and be warned of the consequences in all circumstances. If a Member has a concern that an Officer is not carrying out a particular Authority decision, the Member concerned should draw this to the attention of the Head of Paid Service.
- 2.10 In similar terms, Officers should not use undue influence to pressurise an individual Member to make a decision in their favour, nor raise personal matters to do with their job, or make claims or allegations about other Officers to Members.
- 2.11 The Authority has procedures for consultation, grievance and discipline and there is a right to report actions of concern under the Authority's Whistleblowing Policy.
- 2.12 Members should not seek to place undue pressure on junior officers through direct requests for information/advice.
- 2.13 There will be occasions when Members need to contact Officers. When seeking advice, the Members should approach the Chief Officers in the first instance. They will direct the Members to the appropriate lead officer who will normally be at Director / Head of Service level. If Members contact Officers who are not listed in the top three tiers of officer structure, the Officer who has been contacted should inform their Director if required. If possible, members should avoid going directly to Officers not listed in the top three tiers.
- 2.14 As mentioned above, the Authority has adopted separate Codes of Conduct for Members and Officers. The codes aim to improve and maintain the Authority's reputation as well as protect the Mayor, Members and Officers and so they demand very high standards of conduct.

3 Personal and Business Relationships

- 3.1 Members and Officers must work together closely to effectively undertake the Authority's work. This inevitably leads to a degree of familiarity. However, close personal relationships between individual Members and Officers can be damaging to mutual respect.
- 3.2 It is important not to allow any personal or business connection or relationship with any other Member or Officer to affect the performance of official responsibilities, taking action



or making decisions. It is also important in these circumstances to be wary of passing confidential information to anyone who should not have access to it.

- 3.3 Members and Officers should always consider how any relationship or connection could be interpreted by anyone outside the Authority, or by any other Member or Officer, and avoid creating any impression of unfairness or favouritism.
- 3.4 Members should take account of any relationship or connection they have with any other Member or Officer when considering whether or not they need to register or declare a personal interest. It would usually be inappropriate for a Member to have special responsibilities in an area of activity in which someone with whom they have a close personal or business relationship is a senior officer. If this situation arises, the Member should take appropriate action to avoid a potential conflict of interest.

4 Officers' Advice to Members

- 4.1 Members are entitled to ask the Chief Officers for such advice and information as they reasonably need to help them in discharging their role as a Member of the Authority. This can range from general information about some aspects of the Authority's activities, to a request for specific information relating to the Authority's functions or on behalf of a constituent.
- 4.2 It is important for the Chief Officers to keep Members informed both about the major issues affecting the Authority and about issues affecting the areas they represent. Members should be kept informed about proposals affecting their constituent council areas and be invited to Authority initiated events within or affecting their constituent council areas.
- 4.3 Advice or information sought by Members should be given in a timely manner. It should be provided by the relevant service provided it is proportionate and within the service's resources.
- 4.4 Officers serve the whole Authority and must be politically neutral in their work. In providing advice and support to the Authority and when implementing its lawful decisions, it must not be assumed that an Officer is supportive of a particular policy or view or is being other than politically neutral in implementing such decisions. Political neutrality in carrying out their work ensures that Officers are able to act impartially in the best interests of the Authority. Special legal rules exist which limit the political activities of senior Officers. All senior posts are 'politically restricted', which means that the Officers in those posts are not allowed to speak or write in such a way that could affect public support for a political party. However, they can speak or write in a way which is necessary in order to perform their duties properly.
- 4.5 If Members have any concerns that an Officer is not acting in a politically neutral manner, they should refer their concerns to the Head of Paid Service. Allegations that an Officer has not acted in a politically neutral way are serious and could be damaging to their reputation so should be made with careful consideration.
- 4.6 Officers can usually give information confidentially unless doing so would not be in the Authority's best interests (for example, if it went against their obligation to protect the Authority's legal or financial position). Any information a Member receives confidentially in one capacity (for example, as a Member of the Board) cannot be used when acting in a different capacity (for example, when representing their ward).
- 4.7 Confidential information can only be given to those entitled to see it. It is best to check with the Officer giving the information whether it is appropriate to pass it on to others. Members should make sure that when they are getting help and advice from Officers they only ask for information to which they are properly entitled. There is more detail about the information to which Members are entitled in the Member Access to Information Protocol in Chapter 18, Annex 9 of the Constitution.
- 4.8 Members' rights to inspect documents are contained partly in legislation and partly at common law.
- 4.9 Officers are required to serve the Authority as a whole. They are responsible to the Head



of Paid Service, the Monitoring Officer and the Chief Finance Officer, and not to individual Members, whatever office they may hold.

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5 Support Services to the Mayor

- 5.1 The Mayor is provided with access to ICT (information and communication technology) systems and to support services (e.g. diary management, correspondence handling, typing, printing, photocopying etc.) to enable them to better perform their role as Mayor.
- 5.2 The Mayor should not use - and officers should not provide - such access and support services in connection with party political or campaigning activity or for purposes not related to Authority business, except that ICT access may be used for non-commercial purposes provided it does not cause a conflict with, or risk to, the Authority's systems, or increase the support required from officers.

6 Member/Officer Working

- 6.1 The relationship between officers and Board Members should be characterised by mutual respect and courtesy and recognition of each other's roles and responsibilities. Board Members have the right to challenge officers' reports and actions, but they should avoid personal and or/public attacks, and ensure their criticism is fair and constructive.
- 6.2 Officers should not publicly criticise Authority decisions even if they do not personally agree with those decisions. This does not prevent any Officer from raising concerns under the whistleblowing policy or giving evidence of their opinion in any court, inquiry or tribunal.
- 6.3 Collaborative working between Members and officers is essential but close personal familiarity can lead to damaging assumptions by others. Councillors and officers should inform the Monitoring Officer of any relationship either personal or family, or business connection, which might be seen as unduly influencing their work in their respective roles. The Monitoring Officer will consider what action, if any, should be taken.
- 6.4 Officers work to the instructions of their managers not individual Board Members.
- 6.5 Board Members must not require officers to change their professional advice or take any action which the officer considers unlawful or illegal or which would amount to a breach of officers' roles and responsibilities, maladministration or breach of a statutory duty.
- 6.6 Board Members should not raise matters relating to the conduct or capability of an officer or of officers collectively at meetings held in public or in the press. Any concerns should be raised using the appropriate procedure.
- 6.7 The advice provided and actions taken by Officers should be sensitive to the political nature of the organisation, but their advice should always be impartial, independent and unbiased.
- 6.8 Board Members must consult with the Monitoring Officer and the Chief Finance Officer about legality, maladministration and financial impropriety and if they have doubts as to whether a particular decision is or is likely to be contrary to the policy framework or budget.
- 6.9 The Authority has a statutory duty to positively promote equality. Members and officers should not by their manner, speech, or in any written communication, be discriminatory with regard to any of the protected characteristics set out in The Equality Act 2010.

7 Officers and Individual Members

- 7.1 Any Board Member may request a private and confidential briefing from an Executive Director or Director on matters which have already been or may be discussed by the Authority or within its decision-making or advisory process. All requests should be made to the appropriate Executive Director or Director.
- 7.2 Briefings shall remain strictly confidential and are not to be shared with other members of the Authority unless so permitted by the relevant member.
- 7.3 Confidential information relating, for instance, to a Board member's ward/divisional cases

should not normally be sought. If in exceptional circumstances members wish to discuss confidential aspects of an individual case, then they shall first seek advice from the Executive Director or Director and follow appropriate guidance.

- 7.4 Finally, any official information provided to a member must only be used by the Board Member solely for the purpose for which it was provided (i.e. in connection with the proper performance of the member's duties as a member of the Authority).
- 7.5 This point is emphasised in the Code of Conduct.

8 Politically Restricted Posts

- 8.1 There are a number of rules which apply to Officers who occupy politically restricted posts under the Local Government and Housing Act 1989. In summary such Officers are prevented from:
 - a) being a Member of Parliament, or a local authority member
 - b) acting as an election agent or sub agent for a candidate for any of those bodies
 - c) being an officer for a political party or branch, or a committee if that role is likely to involve participation in the management of the party or branch, or to act on its behalf in dealings with other persons
 - d) canvassing on behalf of a political party or an election candidate
 - e) speaking in public in support of a political party; and
 - f) publishing written or artistic works affecting support for a political party.

9 Officers and Elected Representatives from other bodies

- 9.1 Officers may be requested to meet with Councillors or elected representatives from constituent Councils or partner organisations to provide briefings and/or policy advice.
- 9.2 Any officer requested to attend a meeting of this nature which is not held on a cross political party basis must obtain the prior authorisation of the Chief Executive

10 Media Relations

- 10.1 All relations with the media must be conducted in accordance with the Authority's agreed procedures and the law on Local Authority publicity as set out in the Protocol on Member Use of Resources and the Code of Recommended Practice on Local Authority Publicity in Annex 1 to Chapter 18 of the Constitution. Media inquiries relating to official business should be referred to the Communication Team.
- 10.2 Officers will make every effort to keep Board Members informed of media interest in Authority activities relevant to their responsibilities, especially regarding strategic or contentious matters.
- 10.3 Any Officer assisting a member with media relations must act at all times in the interests of the whole Authority and in a politically impartial manner. Other than factual statements, Members should not seek assistance from an Officer with the preparation or issue of any media statement that will adversely affect the reputation of the Authority.

11 Member Training

- 11.1 Board Members and all Members of committees are expected to undertake the necessary personal development and training to help them to carry out their role as effectively as possible. This includes, but is not limited to, the necessary skills to take advantage of the ICT facilities made available to them. Members must undertake regular training on the Code of Conduct for Members offered by the Authority's Monitoring Officer.



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12 Complaints/Concerns

Procedure for Members

- 12.1 If a Board Member is dissatisfied with the conduct, behaviour or performance of an Officer they should raise the matter privately with the relevant Executive Director or Director. If their concerns relate to an Executive Director or Director, the concern should be raised with the Chief Executive. If the concerns relate to the Chief Executive, then the concern should be raised with the Monitoring Officer. Where necessary, internal HR processes will be undertaken.

Procedure for Officers

- 12.2 If an Officer is unhappy with the conduct or behaviour of a Board Member, they should seek to resolve the matter by appropriate discussion and involvement of their Executive Director or Director.
- 12.3 In the event that matters remain unresolved they should inform the Monitoring Officer who will consider what action should be taken, this could include a complaint being made under the Code of Conduct procedure.

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Annex 3:

Politically Restricted Posts Protocol

1.0 Introduction

- 1.1 The Combined Authority Constitution outlines the delegations to the Monitoring Officer one of which states they are responsible for determinations in relation to, and maintenance of, the list of politically restricted posts. Political restriction means that certain posts are “politically restricted” for the purposes of Part I of the Local Government and Housing Act, 1989 and the Local Government Officers (Political Restrictions) Regulations, 1990 is applied to Combined authorities by section 21(1)(jb) of the Act meaning the Combined Authority is subject to the same rules on political restriction as its constituent councils.

2.0 The Effect Of Politically Restricted Roles

- 2.1 The 1989 Act sets out the posts which are to be politically restricted within a local authority. The effect of political restriction is to prevent the postholder from:

- a) Being elected or appointed as a member of a local authority [this does not apply to membership of a parish council.
- b) Announcing or allowing anyone else to announce their candidature for election as a member of the House of Commons, European Parliament, Scottish Parliament, Welsh Assembly or a local authority (as above).
- c) Continuing in the employment of the authority once notice of resignation has been given to stand as a candidate for the House of Commons.
- d) Acting as an election agent or sub-agent for a candidate for election to one of the bodies above
- e) Being an officer of a political party or any branch of such a party or a member of any committee. or sub-committee of such a party or branch if such duties require participation in the general management of the party or branch acting on behalf of the party or branch in dealings with people other than members of the party or associated political party.
- f) Canvassing on behalf of a political party or on behalf of a candidate for election to any of the bodies above.
- g) Speaking to the public at large or to a section of the public with the apparent intention of affecting public support for a political party.
- h) Publishing any written or artistic work of which the postholder is the author or co-author or any written work or collection of artistic works in which the postholder has acted in an editorial capacity or permitting anyone else to publish such a work or collection if that work appears intended to affect public support for a political party. Specifically excluded from this restriction is the display by a politically restricted post holder of a poster or other document on property occupied as a home or on a vehicle or article used by the post holder.

- 2.2 The restrictions on public speaking and publishing written or artistic works at (g) and (h) do not preclude a politically restricted postholder from engaging in those activities to the extent it is necessary of the proper performance of their official duties.

- 2.3 Where a post is politically restricted the terms and condition of appointment or employment for the postholder are deemed to incorporate these restrictions.

3.0 Politically Restricted Posts

- 3.1 The 1989 Act sets out those posts which are politically restricted, for the purposes of the Combined Authority these fall into five categories:



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a) Statutory Officers

[for the Combined Authority these are the Head of Paid Service [the Chief Executive], Monitoring Officer and section 73 Officer]

b) Non-statutory Chief Officers

[These are officers for whom the head of the authority's paid service is directly responsible, who report to directly or who are directly accountable to the head of paid service but this does not include officers whose duties are solely secretarial or clerical or in the nature of a support service]

c) Deputy Chief Officers

[These are officers who are required to report directly or who are directly accountable to one or more of the Chief Officers but this does not include officers whose duties are solely secretarial or clerical or in the nature of a support service]

d) Political assistants appointed under section 9 of the Act

e) Other postholders whose posts are included in a list of posts where the duties of the post consist in or involve one or both of giving advice on a regular basis to the authority themselves, to any committee or sub-committee of the authority or to any joint committee on which the authority are represented or speaking on behalf of the authority on a regular basis to journalists or broadcasters.

- 3.2 Postholders whose posts are politically restricted on the basis that their duties involve advising the Combined Authority or its committees or sub-committees, or due to their duties involving speaking to journalists or broadcasters may apply to the Head of Paid Service for exemption from political restriction. An exemption may be granted if the Head of Paid Service is satisfied that the duties of the post do not involve those activities.

Annex 4:

Social Media Protocol

Social Media Protocol For Members

1. This Protocol applies to Combined Authority Members and Co-opted members. It gives guidelines on how to use social media, sets out how we can effectively manage social media usage and indicates how any risks or pitfalls can be minimised or mitigated. The Combined Authority encourages Members' use of new technology, including social media. This protocol is intended to help with use of social media in a way that avoids legal and reputational risk. This protocol sets out what is and is not acceptable usage of social media and complements the general rules under the Code of Conduct for Members. The Monitoring Officer and the Communications team are happy to help Members by providing additional advice and guidance as appropriate. Training could also be provided to individual Members or Groups if required.
2. What is social media?
 - Social media describes a range of website and online tools which allow people to interact. This includes blogs and postings on a wide range of social media platforms including (but not limited to) Facebook, Twitter, LinkedIn, Instagram, TikTok and Snapchat.
 - Social media is all about sharing information and people use social media platforms to give opinions, create interest groups and build online communities and networks which encourage participation and engagement.
3. It is not a requirement for Members to have a Facebook or Twitter account or to use other forms of social media to fulfil their role as a councillor. Social media can help you to:
 - a) increase your local profile as an active and engaged councillor
 - b) perform better as a community leader by reaching out to local residents
 - c) keep in touch with or obtain local views and opinion
 - d) be more approachable
 - e) campaign on local issues
4. A useful rule of thumb when using social media is that if you would not give out a piece of information or make a comment to a room full of people, then don't say it on social media.
5. Remember that, whenever you act or appear to act in your official capacity on social media, you must comply with the Combined Authority Members' Code of Conduct. The overarching rules are that you should not bring the Combined Authority into disrepute and must respect confidentiality. If you have any questions or concerns, you should speak to the Communications team in the first instance.
6. Things to bear in mind:
 - Any communication is capable of being misinterpreted and this includes social media. There is something about the immediacy of social media and the lack of face-to-face contact which seems to magnify the problem.
 - Things happen quickly on social media and sometimes people express emotional reactions without careful consideration.
7. Comments can be misinterpreted or misrepresented particularly with regard to something that might be perceived as being more controversial than it was expected to be:

- Remember that information and comments that you and others make can be broadcast to a large number of people more quickly than other media, which is a double-edged sword.
- Even if you withdraw a comment, someone may have taken a screenshot.
- The same rules apply to social media that govern the rest of your behaviour as a councillor, but you need to take extra care given their immediacy and ease of dissemination on social media.
- Although the best use of social media is conversational in tone, publishing to the web is still publishing. What you've said on the web is recorded and it is permanent so make sure that your online content and comment is accurate, informative and thought through. Think of it as speaking in public. Think before you commit each word.
- This doesn't mean that Members cannot, in the appropriate context, communicate politically but you should be careful not to say anything that you wouldn't be prepared to stand by under scrutiny or that you would not feel comfortable repeating or justifying, for example, at a public meeting.
- Be clear if you are expressing personal views. Consider adding this in your profile description.

8. Risks

- a) Virus or other malware (malicious software) infection from infected sites.
- b) Disclosure of confidential information.
- c) Damage to the Authority's reputation.
- d) Social engineering attacks (also known as 'phishing').
- e) Bullying or "trolling". An internet "troll" is a person who starts arguments or upsets people, by posting inflammatory or off-topic messages online with the deliberate intent of provoking readers into an emotional response or of otherwise disrupting normal discussion, often for their own amusement.
- f) Civil or criminal action relating to breaches of legislation.
- g) Breach of safeguarding through the use of images or personal details leading to the exploitation of vulnerable individuals.
- h) Breach of the code of conduct for members through inappropriate use.

9. In light of these risks, the use of social media sites should be regulated to ensure that such use does not damage the Authority, its employees, councillors, partners and the people it serves. As such this policy aims to ensure:

- A consistent and corporate approach is adopted and maintained in the use of social media.
- Authority information remains secure and is not compromised through the use of social media.
- Users operate within existing policies, guidelines and relevant legislation.
- The Authority's reputation is not damaged or adversely affected without just cause.

10. Some legal issues:

- Libel – If you publish an untrue statement about a person which is damaging to their reputation, they may consider it as defamatory and consider legal action. The

same thing may happen if, for example, someone else publishes something defamatory on your website; you know about it and don't take swift action to remove it. A successful legal claim could result in the award of damages against you.

- Copyright – Placing images or text on your site from a copyrighted source (for example extracts from publications or photos), without obtaining permission, is likely to breach copyright laws. Therefore, don't publish anything you are unsure about, or obtain prior permission. Again, a successful claim for breach of copyright would be likely to lead to an award of damages against you.
- Data Protection – Do not publish the personal data of individuals unless you have their express permission. Personal information in an email or personal exchange should not be presumed to imply any consent to pass it on to others. If you place personal information on a public forum you should expect it to be published by others.
- Bias and Predetermination – if you are involved in making decisions, do not say anything through social media (or indeed anywhere) that suggests you have made your mind up on an issue that is due to be formally decided. While your likely view on a particular application may be well known, you need to be able to show that you attended the committee or hearing prepared to take on board and weigh all the evidence, and were genuinely persuadable to a different view, otherwise the decision may be later challenged as invalid. If a person has suffered some sort of detriment as a result of such an invalid decision, they may have a claim against the Authority for damages.

11. Social Media and the Code of Conduct for Members generally:

- Aspects of the Code of Conduct for Members will apply to your online activity in the same way as they do to any other communication you use. The key to whether your online activity is subject to the Code is whether you are, or appear to be, acting in your capacity as a councillor rather than as a private individual. It is therefore advisable that you make it clear that any views expressed are your personal view. However, in some instances you may still be deemed as acting in your capacity as a councillor depending on the circumstances.
- Although you may be clear in your mind that you are acting in a private capacity it may be less clear to others, so to avoid doubt, it is better to spell out clearly whether you are stating personal, party or the Combined Authority corporate positions or views.
- One way of avoiding any confusion and avoiding some of the potential problems related to the Code of Conduct, may be to consider keeping your online accounts as a councillor separate from those where you communicate in a personal capacity. You should include this information in your profile. This is an individual decision for each member and some Members may find the convenience of having one account outweighs the advantages of separate accounts.

12. Principles of the Members' Code of Conduct that may apply:

- Treat others with respect - do not use social media to make personal attacks or indulge in rude, disrespectful or offensive comments.
- Comply with equality laws – do not publish anything that might be seen as racist, sexist, ageist, homophobic or anti-faith.
- Never bully or harass anyone – do not say anything, particularly if it is part of a series of similar comments about a person or on a theme that might be construed as bullying or intimidation.

- Do not bring the Combined Authority into disrepute – you should not publish anything that could reasonably be perceived as reflecting badly upon or lowering the reputation of you or the Combined Authority.
- Do not disclose confidential information - you must not, in your use of social media, just as in any other circumstances, disclose information given to you in confidence by anyone, or information acquired by you which you believe, or ought reasonably to be aware, is of a confidential nature. Apply exactly the same standards to your social media communications as you would to statements made in a more formal context.

13. Staying out of Trouble - Some Do's and Don'ts

Do:

- a) set and check you have the appropriate privacy settings for your blog or networking site –especially if you have a private, non-political blog. Do you want anyone to see it, or selected people? Remember that sites like Facebook often change the parameters of settings.
- b) keep an eye out for defamatory or obscene posts from others on your blog or page and remove them as soon as possible to avoid the perception that you condone such views. Be aware that the higher your profile as an elected member, the more likely it is you will be seen as acting in your official capacity when you blog or network.
- c) consider keeping your personal and elected member profile on social networking sites separate.
- d) maintain appropriate professional boundaries.
- e) ensure you use the Authority's facilities appropriately; if you use an Authority provided blog site or social networking area, any posts you make will be viewed as being made in your official capacity.
- f) be aware that you will be seen as acting in your official capacity if you publish information that you could only have accessed by being an elected member.
- g) feel able to make political points but be careful about being too specific or personal if referring to individuals. General comments about another party or comments on policy or position are less likely to be viewed as a personal attack.

Don't:

- a) post social media content in haste, particularly in circumstances where your judgement might be impaired; for example, if you are angered by a comment, tired or have consumed alcohol.
- b) never post comments that you would not be prepared to make on paper or face to face.
- c) use council facilities for personal or political blogs.
- d) request or accept a Combined Authority employee or contractor providing services to the council as a "friend" on a social networking site where this suggests close personal association.
- e) use social media in any way to attack, insult, abuse, defame or otherwise make negative, offensive or discriminatory comments about council staff, service users, their family or friends, colleagues, other professionals, other organisations, or the Authority.
- f) publish confidential information that you may have learned or had access to as part of your role as an elected member. This includes personal information about

service users, their families or friends, contractors, authority staff as well as information related to the Authority.

- g) represent your personal views, or those of any political party or interest group you belong to, as being those of the Authority, on any social medium.
- h) browse, download, upload or distribute any material that could be considered inappropriate, offensive, defamatory, illegal or discriminatory.
- i) make conspicuous or excessive use of social media technology during the course of an Authority committee meeting so that you give the impression to the public of not being respectful of the proceedings and, more seriously, taking decisions that are not based on full engagement with the facts and arguments.

- 14.** Members have a right to expect respectful behaviour from the public. If members of the public are being abusive, intimidatory or threatening you are entitled to stop any conversation or interaction in person or online and report them to the local authority, the relevant social media provider, or the police. This also applies to fellow members, where action could then be taken under the Councillor Code of Conduct, and the Combined Authority employees, where concerns should be raised in line with the Combined Authority member- officer protocol.
- 15.** The Advisory, Conciliation and Arbitration Service (ACAS) characterises bullying as offensive, intimidating, malicious or insulting behaviour, an abuse or misuse of power through means that undermine, humiliate, denigrate, or injure the recipient. Bullying might be a regular pattern of behaviour or a one-off incident, happen face-to-face on social media, in emails or phone calls, happen in the workplace or at work social events and may not always be obvious or noticed by others.

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Annex 5:

Disciplinary Procedures in Relation to the Head of Paid Service, Monitoring Officer and Section 73 Officer

- a) The procedures for disciplinary action and dismissal of the Head of Paid Service [Chief Executive], Monitoring Officer and Section 73 Officer [“the statutory officers”] match the requirements of the Local Authorities (Standing Orders) (England) Regulations 2001 [as amended] which apply to the Combined Authority’s constituent councils.
- b) Only the Combined Authority Board may dismiss the statutory officers following the procedure set out in this Annex and following the recommendation of a Statutory Officer Investigatory Panel constituted as set out below.
- c) In any case where disciplinary action, as defined in Chapter 12 of the Constitution (Employment Committee) is to be taken against one of the statutory officers the Employment Committee shall establish a Statutory Officer Investigatory Panel to deal with the matter. The Panel shall have the authority to take disciplinary action short of dismissal against a statutory officer and to recommend to the Combined Authority Board that a statutory officer be dismissed.
- d) The Statutory Officer Disciplinary Panel shall be made up of all the members of the Employment Committee or their substitute members, including the Mayor or Deputy Mayor acting in their place, together with at least two independent persons appointed by the Combined Authority or by other local authorities in England under section 28(7) of the Localism Act 2011 subject to the rules on appointment of independent persons to the Panel set out in Schedule 3 to the Local Authorities (Standing Orders) (England) Regulations 2001 [as amended].
- e) Before the taking of a vote at the relevant meeting on whether or not to approve such a dismissal, the Combined Authority Board must take into account, in particular
 - i. any advice, views or recommendations of the Panel;
 - ii. the conclusions of any investigation into the proposed dismissal; and
 - iii. any representations from the relevant officer.
- f) Any remuneration, allowances or fees paid by the Authority to an independent person appointed to the Panel must not exceed the level of remuneration, allowances or fees payable to that independent person in respect of that person’s role as an independent person under the 2011 Act.
- g) The Panel must be appointed at least 20 working days before a meeting of the Combined Authority Board to consider whether or not to approve a proposal to dismiss a statutory officer.

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Annex 6:

Monitoring Officer Protocol

1.0 Statutory Responsibilities

- 1.1 The Monitoring Officer is a statutory appointment pursuant to section 5 of the Local Government and Housing Act 1989. This protocol is to enable Members to make use of the Monitoring Officer's ability to provide them with practical advice on legality and conduct, by setting out how the Monitoring Officer will carry out their functions.
- 1.2 The Monitoring Officer is responsible for ensuring that the Authority and its Members act lawfully, do not cause maladministration, and comply with the Code of Conduct for Members. The Monitoring Officer is the Combined Authority's primary source of advice on all legal issues, and to Members on their legal obligations, but they also have specific statutory duties, such as investigating complaints of Member misconduct and making public report to the Council in cases of illegality.
- 1.3 The Combined Authority recognises that an effective Monitoring Officer, positively engaged in the discharge of the Authority's business, is essential to the effective running and sound corporate governance of the Council.
- 1.4 Section 5(1) Local Government and Housing Act 1989 requires the Combined Authority to appoint an Officer as the Council's Monitoring Officer and gives that Officer personal responsibility:
 - to report on actual, and anticipated, illegality within the Authority
 - to report cases where the Ombudsman has found maladministration on the part of the Authority
 - to maintain the Register of Members' Interests; and
 - to administer, assess and investigate complaints of Members' misconduct.

2.0 Working Arrangements

- 2.1 The law does not prescribe exactly how the Monitoring Officer is to carry out these functions. Therefore, this protocol describes the way the Combined Authority expects the Monitoring Officer to discharge these functions and how it expects Officers and Members to co-operate with the Monitoring Officer to enable them to discharge these functions effectively.
- 2.2 In general terms, the Monitoring Officer's ability to discharge these duties and responsibilities will depend, to a large extent, on the Mayor, Members and Officers:
 - complying with all the relevant law and any relevant codes of conduct.
 - complying with any general guidance and advice provided from time to time, by the Monitoring Officer.
 - making lawful and proportionate decisions; and
 - generally not taking action that would bring the Combined Authority, their Offices or professions into disrepute.
- 2.3 The Monitoring Officer undertakes to discharge their statutory responsibilities with a positive determination and in a manner that enhances the overall reputation of the Combined Authority. In doing so, they will also safeguard, so far as is possible, the Mayor, Members and Officers, whilst acting in their official capacities, from legal difficulties and/or criminal sanctions.
- 2.4. Having excellent working relations with the Mayor, Members and Officers will assist in the discharge of the statutory responsibilities of the Monitoring Officer and keep the Combined Authority out of trouble. Equally, a speedy flow of relevant information and access to debate (particularly at the early stages of any decision-making by the Mayor

or the Combined Authority) will assist in fulfilling those responsibilities. The Mayor, Members and Officers must, therefore, work with the Monitoring Officer in discharging these responsibilities.

- 2.5 The Monitoring Officer issues guidance to Officers to assist them in understanding the nature, breadth and requirements that the Monitoring Officer puts upon all Officers. This protocol also explains how the Monitoring Officer will approach the role. The Monitoring Officer considers that the role is a positive and preventative one, related to legality, avoidance of maladministration and observance of codes of conduct /practice where there is actual / potential transgression by the Mayor and/or the Combined Authority.
- 2.6 The Monitoring Officer gives authoritative advice and guidance on these issues which will be conducive to a culture of propriety and integrity. This will provide comfort for Officers, the Mayor and Members alike. However, although the Monitoring Officer will seek to be positive about the role, it must be recognised that the role imposes a personal duty to make a public, statutory report where it appears to be necessary. This might ultimately force the Mayor and/or the Combined Authority to consider issues they/it might not wish to.
- 2.7 The Monitoring Officer and the Mayor and/or the Combined Authority should co-operate in every way possible so as to reduce the need for the Monitoring Officer to issue a formal report. In support of this, the Monitoring Officer places significant reliance upon the advice and support given by colleagues in Legal Services, Human Resources and Democratic Services, but particularly those in the Legal Services team who will, in providing corporate legal advice do so in an enabling manner, but also identify areas of particular risk and concern, assisting Officers, the Mayor and Members to achieve their objectives, but ultimately in a lawful and proper manner.
- 2.8 The following arrangements and understandings between the Monitoring Officer, the Mayor, Members and Chief Officers are designed to ensure the effective discharge of the Combined Authority's business and functions.
- 2.9 The Monitoring Officer will:
 - be alerted by the Mayor, or by Members or by Officers to any issue(s) that may become of concern to the Combined Authority, including, in particular issues around legal powers to do something or not, ethical standards, probity, propriety, procedural or other constitutional issues that are likely to arise.
 - have advance notice of at least five working days (including receiving agendas, minutes, reports and related papers) of all relevant meetings of the Combined Authority at which a binding decision of the Combined Authority may be made) at or before the Combined Authority's meetings or any binding decision to be made by the Mayor, including in both cases, a failure to take a decision where one should have been taken.
 - have the right to attend any meeting of the Combined Authority before any binding decision is taken by the Combined Authority or to be notified and where necessary meet with the Mayor before they make any binding decision, including in both cases, a failure to take a decision where one should have been taken)
 - in carrying out any investigation have unqualified access to any information held by the Mayor and/or the Combined Authority and to any Officer who can assist in the discharge of these functions.
 - ensure the other statutory Officers are kept up to date with relevant information regarding any legal, ethical standards, probity, propriety, procedural or other constitutional issues that are likely to arise.
 - report to the Combined Authority, from time to time, on the Constitution and any necessary or desirable changes.



- as per the statutory requirements, make a report to the Combined Authority, as necessary on the staff, accommodation, and resources they require to discharge their statutory functions
 - have a special relationship of respect and trust with the Mayor, and chairs of the Combined Authority's committees, sub-committees and working groups with a view to ensuring the effective and efficient discharge of Mayoral and/or Combined Authority business
 - develop effective working liaison and relationship with the Internal and External Auditor, BEIS, DLHUC and the Local Government Ombudsman (including having the authority, on behalf of the Mayor or the Combined Authority, to complain to the same, refer any breaches to the same or give and receive any relevant information, whether confidential or otherwise, through appropriate protocols, if necessary)
 - maintain and keep up-to-date relevant statutory registers for the declaration of Members' interests, gifts and hospitality.
 - give informal advice and undertake relevant enquiries into allegations of misconduct; defer the making of a formal report under s5 Local Government and Housing Act 1989 where another investigative body is involved
 - have sufficient resources to enable them to address any matters concerning their Monitoring Officer functions
 - be responsible for preparing any training programme for Members on ethical standards, Code of Conduct issues, data protection, confidentiality, and general governance of the Combined Authority.
 - ensure that the Mayor and Members and Officers of the Combined Authority are fully aware of their obligations in relation to probity.
- 2.10 To ensure the effective and efficient discharge of these arrangements, the Mayor, Members and officers will report any breaches of statutory duty or Combined Authority policies or procedures and other vices or constitutional concerns to the Monitoring Officer, as soon as practicable.
- 2.11 The Monitoring Officer is also available for the Mayor, Members and Officers to consult on any issues in respect of possible maladministration, impropriety and probity issues, or general advice on the constitutional arrangements.
- 3. Monitoring the Protocol**
- 3.1 The Monitoring Officer will report to the Combined Authority as to whether the arrangements set out in this protocol have been complied with and will include any proposals for amendments in the light of issues which have arisen.
- 4. Conflicts and Interpretation**
- 4.1 Where the Monitoring Officer has received a complaint or is aware of an event which may lead to them issuing a statutory report relating to a matter upon which they have previously advised the Mayor and/or the Combined Authority, they shall consult the Head of Paid Service who may then either:
- i. refer the matter to another Officer for investigation and report to the Head of Paid Service; or
 - ii. ask another authority to make their Monitoring Officer available to investigate the matter and report to the Head of Paid Service and/or the Combined Authority as appropriate; or
 - iii. instruct another qualified person to undertake the investigation and report to the Head of Paid Service and / or the Combined Authority as appropriate.
- 4.2 Questions of interpretation of this guidance will be determined by the Monitoring Officer.



**CAMBRIDGESHIRE
& PETERBOROUGH**
COMBINED AUTHORITY

PAUL BRISTOW
MAYOR OF
CAMBRIDGESHIRE
& PETERBOROUGH

CAMBRIDGESHIRE & PETERBOROUGH COMBINED AUTHORITY PROCUREMENT STRATEGY

Part 1 - Background

1. Introduction to CPCA

The Cambridgeshire and Peterborough Combined Authority is a mayoral authority and as a body governed by public law are required to carry out their procurements in accordance with the Public Contracts Regulations 2015 (as amended).

The Authority, in addition to complying with its statutory obligations, is committed to delivering against best practice, government policy guidance and in response to feedback provided by any third-party individual or organisation.

2. Document purpose

The Authority is updating this document to take into account the recommendations from a recent procurement review.

The document has been aligned to the National Procurement Strategy as best practice.

The document sets out the procurement function vision, aims within the broader context of the authority's corporate objectives

3. Document Structure

The document is split into 4 parts

- **Part 1:** Background
- **Part 2:** Overview of the:
 - vision, values, and principles
 - aims and objectives
- **Part 3:** Action Plan setting out the specific areas of improvement and target outcomes for each of the next two years of the strategy.
- **Part 4** Monitoring and Reporting

Part 2 - Procurement Strategy for 2023-2025

1. Introduction

This Part sets out the Cambridgeshire & Peterborough Combined Authority broader considerations

a) Vision, Values & Principles

Visions

A Procurement function that delivers on compliance whilst also being efficient and effective is achieving both the contract and the Authority's broader goals

Values

The Authority strives to serve its community by working cooperatively with partner authorities, local businesses, local groups, and residents, whilst also leading with compassion; this to feed into the design of all procurements and through to their contract management and reporting.

Principles

In delivering the procurement function and strategy, the authority is committed to their processes being transparent in their requirements, creating a fair and open competition, with the goals of delivering value for money and maximising public benefit as a driving factor in defining a desirable outcome.

b) Specific Aims and Objectives

In addition to considering the behaviours listed in the National Procurement Strategy, the Authority has included their own, more specific aims and objectives which came out of the external procurement review.

Aims (purpose / goals/ What)

An appropriately resourced procurement and contract management function delivering an efficient and effective service using a standardised set of templates with supporting guidance all managed through a clear and simple governance and approvals process.

Objectives/ Improvements (short term outcomes)

- Increased level of appropriately skilled resource
- Updated Policy and Social Value Commitments
- Clearly defined Roles & Responsibilities
- Updated suite of procurement and legal templates
- An efficient and effective governance and approvals process
- Improved Data Collection & Usage

Timescales

This strategy is designed to be delivered over a two-year period with an annual review scheduled for the end of 2024.

c) Strategy Goals (Against NPS)

As of the date of this document, the authority's current maturity assessment against the National Procurement Strategy was calculated to be 1.8.

As part of the authority's improvement process, a number of behavioural goals have been identified and included within an Action Plan as detailed in Part 3. These goals have been tailored to the Authority's specific aims and objectives and reflect the recommendations from the external review feedback.

The goals (where relevant) include references to the recommendations from the procurement review in brackets against the relevant area)

Over the next two years the aim is to increase the authority's maturity level to between Developing to Mature (2-3)

Progress to be assessed at the end of 2024 using the National Procurement Strategy metrics and this document refined as appropriate.

Part 3 - Action Plan

Introduction

This plan is aligned to the behaviours detailed in the National Procurement Strategy 2022; it considers each of the identified behaviours within the context of the Authority’s current level of maturity.

Plan Structure

The Plan is split into, enablers, showing leadership, behaving commercially, and achieving community benefits.

Within each of those section, a number of areas for improvement have been identified, with the goals being Authority specific and details the specific improvements to be achieved (although not always quantified)

Procurement Capability & Talent			
Developing talent includes professionalisation of Authority procurement talent, addressing recruitment and retention of procurement talent and developing agile procurement talent that can address commercial challenges and innovation in the procurement role.			
Areas	Current	Target Year 2024	Target 2025
Resourcing levels (Procurement operating model)	<u>Current team</u> 1 no FTE Procurement & Contracts Manager 1 no FTE Procurement Officer 1 no FTE Procurement Assistant	<u>Proposed team</u> Addition to the team of 1 no FTE Contracts Manager An additional 2 no FTE Procurement Officer Access to external support to facilitate delivery against the 2024	<u>Proposed team</u> Team structure review in consideration of progress against the below action plan activities and overall strategy Identify outstanding or newly identified activities against team capacity and capability and then address the resourcing requirement in consideration of the tasks
Training	<u>Currently team training</u> The Procurement Manager is working towards ILM qualification	<u>Propose Team Upskilling</u> Carry out a team skills review/ create skills matrix and training plan Course on Contract Law Basics Training on new Procurement Bill	<u>Skills review</u> Update skills and training matrices, identify at least two courses for each individual to continue with upskilling commitment

<p>Delivery Considerations:</p> <p>The achievement of these goals will be dependent on:</p> <ul style="list-style-type: none"> • funding and approval to recruit • a budget for staff training and upskilling 			
Digital Technology			
Why is it Important - Rapid use of data is critical for understanding how to manage procurements and contracts. Increasing data and transparency date is available, along with artificial intelligence, and making good use of this will be key to managing the pressures on Local and Combined Authorities			
Areas	Current	Target Year 2024	Target 2025
Electronic Tendering	<u>Developing</u> Use of electronic tendering and quotations system for some tenders or quotes (either as a dedicated system or tender box rental)	<u>Mature</u> Use of electronic tendering and quotations system for all tenders or quotes (either as a dedicated system or tender box rental)	N/A
Contract Management	<u>Minimum</u> Limited procurement and contract management information available via static sources.	<u>Developing</u> Some procurement and contract management Information available online to all stakeholders with appropriate search and filtering.	<u>Developing</u> Working towards Comprehensive procurement and contract management information available online to all stakeholders with appropriate search and filtering
Spend Data	<u>Minimum</u> Only basic information available regarding contracts awarded and spend both on and off contract and this is controlled by finance. Available data not classified to facilitate strategic procurement planning	<u>Developing</u> Update technology to provide more detailed breakdown of spend both against contracts and standard reporting classifications. Usage limited to finance	<u>Developing</u> Technology can be used to provide spend dash boards and can be used by procurement and senior managers to aid if planning and cost management of contracts.

Delivery Considerations

The achievement of these goals will be dependent on:

- Resourcing to enable all procurements to be managed centrally
- budget for the additional module and training in its use
- Finance systems being able to link to the procurement system and export data in a useful format and which can be manipulated to produce dashboards and other reports

Stakeholder Engagement

What it is: Councillors set the Authority's vision and strategic priorities and must be satisfied that the procurement and commercial arrangements for their delivery are robust. Councillors make key decisions, particularly in major projects, and maintain oversight of the performance of key contracts, agreeing corrective action where necessary. Councillor engagement needs to be supported through training, good procurement and commercial advice and reporting arrangements.

Why it is important: When councillors are fully engaged with procurement and commercial matters, the quality of decision-making is better, and oversight and accountability are improved. Councillor engagement leads to better project delivery and better outcomes for the local community.

Areas	Current	Target Year 2024	Target 2025
Engaging Councillors	<p><u>Developing</u></p> <p>Councillor engagement is varied depending on the nature of the procurement, the value, and the political sensitivity</p>	<p><u>Mature</u></p> <p>Establish a set protocol for engaging with councillors with the aim of their input adding value/ improving the outcome of the procurement</p>	<p><u>Leader</u></p> <p>Increase engagement levels across all procurements based on an objective criterion and include a post award mechanism for monitoring the benefits of engagement</p>
Engaging Senior Management	<p><u>Developing</u></p> <p>Senior managers acknowledge the role of procurement but there is limited engagement throughout the process and decision making</p>	<p><u>Mature</u></p> <p>Establish a Gateway Process which is managed through a procurement committee made up of senior managers across various considerations, e.g., financial, legal</p>	<p><u>Leader</u></p> <p>Review Gateway process and introduce a lesson's learned protocol that links back to the Gateway process so as to measure the benefits of the process and allow process improvements</p>

Process	<u>Developing</u> Although there is a structured approach to how procurements are managed (as set out in the Contract Procurement Rules) it is still not clear what the role of procurement is or exactly how all procurements are to be managed	<u>Mature</u> Establish a clear set of guidance that includes clear roles and responsibilities of all individuals involved in a procurement and procedures to be followed in different situations and ensure they are effectively communicated to all officers, managers, and stakeholders	<u>Leader</u> Review guidance document, including gathering feedback from across the Authority on how clear the processes are and whether the roles and responsibilities as defined are delivering effective / improved outcomes
Training & Development	<u>Minimum</u> Currently there is no formal training programme for officers and managers; but rather, training is delivered on an <i>ad hoc</i> basis	<u>Mature</u> Establish a clear set of training requirement for officers, senior managers, and stakeholders; including, the updated CPRs, the procurement Bill, contract management, procurement templates and the Gateway Process. Create an attendance/ training register	<u>Leader</u> Review training matrix and current skill level in consideration of procurement outcomes, through the use of lessons learned processes and feed this into the training programme for the year
Working With Partners – Culture	<u>Minimum</u> Currently there is silo working with some individuals carrying out procurements without input from procurement or considering involvement from other teams (including partner Authorities)	<u>Developing</u> Communicate the Authority's commitment to a shift from silo working and a culture of 'one team' both within the Authority and where appropriate, working with partner Authorities	<u>Mature</u> Establish a centralised 'one team' approach to procurement whereby all procurements consider the needs/ enable input from the whole Authority and are delivered in a consistent
<p>Delivery Considerations</p> <p>The achievement of these goals will be dependent on:</p> <ul style="list-style-type: none"> • External support to aid in developing a Stakeholder Engagement Strategy • A commitment from Stakeholders to work with procurement and external advisors to agree the required processes and subsequent training for relevant individuals. 			

Behaving Commercially			
<p>What it is: There are many ways in which commercial opportunities can be created through the strategic management of the commercial cycle and the services and assets delivered through the contracts it creates. Commercialisation is a broad and important subject to the sector. This key area is confined to how officers, working with the procurement team, should work to identify and create commercial opportunities.</p> <p>Why it is important: As funding and revenue is reduced, organisations are required to look at other means of reducing funding deficits. Commercial opportunities can be created in many ways, including procurement design, and collaborative and innovative procurements.</p>			
Areas	Current	Target Year 2024	Target 2025
Forward Planning	<p><u>Developing</u></p> <p>Forward planning is limited to governance/ reporting requirements rather than for strategic procurement purposes</p>	<p><u>Mature</u></p> <p>Forward planning is undertaken on all strategic and cyclical contracts to enable input from procurement/ commercial, adoption of lessons learned and opportunity to discuss any shared contracting opportunities with partner Authorities. The Gateway process and lessons learned process to link into this.</p>	<p><u>Leader</u></p> <p>Forward planning for contracts has developed to form an integral part of the organisation's budget setting and expenditure forecasting process</p> <p>Procurement procedures, including the gateway process, are updating accordingly to reflect any practical changes to process</p>
Option Appraisals	<p><u>Developing</u></p> <p>Currently these are undertaken on high value/ high risk procurements only with the option appraisal focussing on the route to market</p>	<p><u>Mature</u></p> <p>Establish a policy/ guidance and embed this requirement within the Gateway process, a requirement for all relevant procurements to undertake an option appraisal that considers commercial, social and risk factors</p>	<p><u>Leader</u></p> <p>Review the option appraisal process and seek to extend it out to include a broader range of contracts and working collaboratively with partner authorities in conducting the options appraisal.</p> <p>Include reviewing the recommendation from the options appraisal in the lessons learned activities.</p>
Market & Supplier Engagement	<p><u>Minimum</u></p> <p>Sometimes undertaken if time permits, the procurement is novel, or there is a political imperative</p>	<p><u>Mature</u></p> <p>Establish a policy/ guidance and embed this requirement within the earliest stage of the forward planning/ Gateway process, for all relevant procurements.</p>	<p><u>Leader</u></p> <p>Outcomes from market and supplier research are used to shape and determine the content and timing of the procurement process used.</p>

		This to also include guidance on how the gathered information is to be used and managing potential supplier advantage.	Outcomes are also used to contribute to the risk management process and options appraisal process. Procurement input is viewed as an integral aspect of market and supplier research and analysis
Tendering	<u>Developing</u> Focus still on compliance and standard cost and quality ratios but innovation sometimes considered. Tenders are mainly viewed as legal documents but written in plain language. Procurement team is sometimes invited to contribute to the planning phase.	<u>Mature</u> Focus is on balancing costs, quality, social value, and innovation. Tenders are considered a collaborative effort by the project team, procurement and legal The tendering process, including the planning phase of the procurement are embedded into the procurement guidance	<u>Leader</u> Tendering is seen as an essential, important, and commercial process with all parties to be involved from early planning, through the conduct of a procurement up to award, and being appropriately resourced to do so. The strategy for tendering is reviewed and update (and potentially embedded into the Gateway process) where relevant
Performance Reporting	<u>Minimum</u> Performance reporting is minimal and predominately relates to grant funding conditions	<u>Mature</u> Performance reporting is carried out for both commercial and social value commitments and this information is collated and reported quarterly for all strategic contracts	<u>Leader</u> Performance reporting is seen as an integral part of the organisation's culture with reports on commercial and social benefits achieved are included in each contract's performance dashboard This information is used to update the authority's procurement policy and strategy
Post Contract Review	<u>Minimum</u> These are uncommon and tend to focus on poor contract performance	<u>Developing</u> Post contract reviews are to be undertaken on all high risk/ high value procurements with the aim of improving outcomes and identifying commercial opportunities	<u>Mature</u> Post contract reviews are undertaken as a general process on all contracts. Procurement is part of the team that participate in these reviews so that learning can be utilised in future procurements

Delivery Considerations:

1. Internal resource to manage and monitor delivery against these actions
2. External support to aid in developing a processes and templates
3. A commitment from stakeholders to feed into the design of these processes

Establishing a Procurement Hub *(Not based on the NPS behaviour/ areas)*

What it is: There are many ways in which commercial opportunities can be created through the strategic management of the commercial cycle and the services and assets delivered through the contracts it creates. Commercialisation is a broad and important subject to the sector. This key area is confined to how officers, working with the procurement team, should work to identify and create commercial opportunities.

Why it is important: As funding and revenue is reduced, organisations are required to look at other means of reducing funding deficits. Commercial opportunities can be created in many ways, including procurement design, and collaborative and innovative procurements

Areas	Current	Target Year 2024	Target 2025
Procurement Operating Model <i>(Including, Procurement Policy, Roles & Responsibilities, Procurement Guidance, Contract management, & Delegated Authority)</i>	This information is included in the Contract Procedure Rules and a separate procurement policy document	Create separate documents that detail: <ul style="list-style-type: none"> • Procurement Guidance (including roles and responsibilities, delegated authority) • Procurement Policy • Contract Management 	Carry out a staff survey to identify areas of improvements, relating to process and usability of the templates, and implement accordingly
Procurement Templates <i>(Improve Procurement scrutiny)</i>	There is a current suite of procurement templates including instruction documents, response templates etc, held by procurement in a local drive.	Update the suite of procurement documents to work with the new strategy, in consideration of the Procurement Bill and to cover various procurement scenarios Update business case and programme templates Make the templates available centrally Provide training on usage	Carry out a staff survey to identify areas of improvements, relating to process and usability of the templates, and implement accordingly

Legal Templates (Contracts and Grant Agreements)	Currently officers are 'recycling contracts' without input from Legal	Create an updated suite of documents that are owned and managed by legal, but which can be accessed but not issued without appropriate approvals in place.	Carry out a staff survey to identify areas of improvements relating to process and usability of the templates, and implement accordingly
Gateway Process (Improve procurement scrutiny)	No current process in place	Design and implement a gateway process that covers the various stages of a procurement with the application being based on value, risk, political interest, or another identified requirement. Consult stakeholders and senior managers on the process Set up a Gateway approval committee	Carry out a staff survey to identify areas of improvements relating to process and benefits/ issues identified, and implement accordingly
Lessons Learned	<u>Minimum</u> Currently the use of a formal lessons learned process is <i>ad hoc</i> and limited	<u>Developing</u> Lesson learned activities to be carried out following the award of a contract all strategic procurements; this to be embedded in the gateway process and finding used to refresh procurement documents and guidance	<u>Mature</u> Lesson learned activities to be extended to include other stages (gateways) for strategic procurements and training to be delivered off the back of the findings.
Staff Programme of Training			
<p>Delivery Considerations</p> <p>The achievement</p> <ol style="list-style-type: none"> 1. Internal resource to manage and monitor delivery against these actions 2. External support to aid in developing processes and templates 3. A commitment from stakeholders to feed into the design of these processes 			

Managing Contracts			
<p>What it is: Contract and relationship management is the process by which all contracts and variations are managed effectively to control costs, secure the quality and timeliness of agreed outcomes and performance levels, and minimise the occurrence of risks.</p> <p>Why it is important: Poor contractor performance or commercial failure can increase delivery costs, seriously damage an Authority's reputation and its ability to deliver effective services and support to local communities. Lack of contract management can result in commitments made during the procurement period not being realised.</p>			
Area	Current	Target Year 2024	Target 2025
Information Storage and Accessibility <i>(Including the contract register) (Implement a contract management tool)</i>	<u>Developing</u> Contracts register exists via the e-tendering portal. Data held is generally limited to contracts awarded through the portal so many not be up to date, but efforts are being made to increase data quality and the percentage of third party spend listed on the register.	<u>Mature</u> Purchase of contract management module Contracts register is dynamic and provided through the e-tendering portal. Fully visible to the whole Authority with read, write, edit, and search capabilities for all contract owners and managers.	<u>Leader</u> Contract register is fully accessible and includes all Authority spend Information is always up to date with comprehensive, complete, and accurate records on all contracts. Contracts register has action or renewal alerting capabilities for contract owners and managers
Change Control <i>(Contract management process)</i>	<u>Minimum</u> No change control policy in place except for isolated contracts	<u>Developing/ Mature</u> A change control process/ guidance exists and is used to capturing all contract changes for all strategic contracts	<u>Leader</u> All contract changes and variations processed through change control stored on the contracts register. Details shared online with contract managers, owners, and contractors.
Supplier Financial Distress <i>(Refresh legal templates)</i>	<u>Minimum/ Developing</u> Recognition of a need for early engagement with suppliers and some strategic contracts do include a financial distress clause	<u>Developing/ Mature</u> The Authority has a structured approach, as part of the contract management process, for engaging with suppliers in financial difficulties All standard form contracts to include an appropriate financial distress clause	<u>Leader</u> Financial distress clause included in all contracts and reviewed in consideration of the contract nature and risk levels.

Savings & Benefits Delivery (Contract management process)	<u>Minimum</u> Savings and benefits are delivered from some contracts but not a part of any formal process.	<u>Developing</u> Create a formal process for capturing savings and reporting benefits committed and subsequently delivered from all strategic contracts	<u>Mature</u> Savings capture from contracts and benefits realisation is applied uniformly across the organisation and reported quarterly to councillors/ CA Board.
Recognition & Cultural Acceptance	<u>Minimum</u> There is no recognition by the organisation of contract and relationship management. Only job roles which are fully designated to managing contracts are designated as contract manager in their title	<u>Developing</u> There is recognition by the organisation of the importance of contract and relationship management Job roles are designated as contract manager or contain specific contract and management activity in their content description in some departments	<u>Mature</u> Contract and relationship management is recognised by the organisation as being essential to its overall performance. Job roles are designated as contract and relationship manager or contain contract and relationship management activity in their content description as a formal policy. Performance is reviewed with job holders in their annual appraisals
Skill & Knowledge	<u>Minimum</u> Staff have limited access to any contract and relationship management skills (since COVID) and knowledge programmes.	<u>Developing</u> Staff have access to general contract management training given as a one-off exercise rather than an ongoing skills enhancement programme	<u>Mature</u> Contract and relationship management is acknowledged as a core competency across the organisation. Briefings on contract and relationship management are given in all induction and management programmes. Refresher programmes are available to all staff involved in contract and relationship management
<p>Delivery Considerations</p> <p>The achievement</p> <ul style="list-style-type: none"> • Internal resource to manage and monitor delivery against these actions • External support to aid in developing processes and templates • A commitment from stakeholders to feed into the design of these processes 			

Managing Strategic Risk			
<p>What it is: A series of actions and policies designed to reduce or even eliminate the probability of a perceived risk occurring and minimising the detrimental effects that may occur should it materialise.</p> <p>Why it is important: The occurrence of any risk, particularly when it could be foreseen, can have a devastating impact on the organisation's reputation and the lives of the people it serves, the quality of the services that it provides, and even its financial viability.</p>			
Area	Current	Target Year 2024	Target 2025
Strategic Risk	<p><u>Minimum</u></p> <p>Currently strategic risk is not the focus of procurement.</p>	<p><u>Developing</u></p> <p>To extend the procurement strategy to cover</p> <ul style="list-style-type: none"> • Modern Slavery • Supply Chain & contractor Failure • GDPR • Fraud & Financial Loss • External Events <p>At the level of developing</p>	<p><u>Developing</u></p> <p>Embed the additional strategic activities into all authority procurements at the level of Mature</p>
This area is to be updated as part of the 2024 refresh			

Creating Social Value			
<p>What it is: Social value is about improving economic, social, and environmental wellbeing from public sector contracts over and above the delivery of the services directly required and at no extra cost.</p> <p>Why it is important: Experience from procurements let by councils that have fully integrated social value requirements has shown that a minimum of +5 per cent to +20 per cent social value (according to sector) can be obtained on contract value by way of direct community benefits</p>			
Consideration	Current	Target Year 2024	Target 2025
Social Value Policy	<p><u>Minimum</u></p> <p>No specific corporate-wide policy in place. Although procurements do, on an adhoc basis, seek to achieve social value from the procurement</p>	<p><u>Developing</u></p> <p>Social value is recognised as a core principle supported by a published social value policy and implementation strategy.</p> <p>Requirements are tailored to reflect size and scope of contracts</p> <p>Training for officers on social value to be provided</p>	<p><u>Developing/ Mature</u></p> <p>Social value implementation is underpinned by an overarching social value statement which is reviewed annually.</p> <p>Process and policy are in place to identify which contracts should include social value.</p>
Measuring Social Value	<p><u>Minimum</u></p> <p>Measuring social value in a very limited way</p>	<p><u>Developing</u></p> <p>The Authority's chosen way of measuring social value has been mapped to meet their specific policies.</p> <p>Outcomes are weighted where appropriate to council and local priorities.</p>	<p><u>Developing/ Mature</u></p> <p>The 'golden thread' is maintained between the measurement standard, corporate strategy, and the Authority's social value policy</p> <p>Measurement of social value is generated across all procurements above a threshold.</p>
Procurement	<p><u>Minimum</u></p> <p>Social value is considered in contracts. Social value is included in quality assessments as part of the quality and price matrix.</p>	<p><u>Developing</u></p> <p>Social value is included in all tenders over an agreed threshold.</p> <p>The Authority's measurement standard is adopted for all relevant tenders and consideration is given to contract size and scope to determine the measures to be applied.</p>	<p><u>Developing/ Mature</u></p> <p>Social value is included within procurement policies, and these are made available to all potential suppliers.</p> <p>The Authority's relevant standards are published to allow bidders to prepare their approach to social value in advance of tenders being published</p>

Contract Management Reporting	<u>Minimum</u> Contracts are not monitored in any coherent way for social value post award. Limited or informal social value reporting and feedback only.	<u>Developing</u> Specific, targeted social value is included within the procurement stage. These are bound into the contract and performance monitored	<u>Developing / Mature</u> Annual feedback to the Combined Authority Board and Overview & Scrutiny committee on social value creation. Robust reporting is in place on progress and delivery and published annually. Processes are in place to ensure lessons learnt and feedback is incorporated for continuous practice improvement including benchmarking. Meetings are regularly held with contractors to discuss delivery of social value
Supporting SMEs	<u>Minimum</u> Although there is a desire to support local SMEs, there is minimal commitment/ methodology to deliver this	<u>Developing</u> To extend the procurement strategy to cover <ul style="list-style-type: none"> • Policy • Relationships • Engagement • Procurement • Contract Management 	<u>Developing</u> Embed the additional strategic activities into all Authority procurements at the level of Mature
Delivery Considerations The achievement <ol style="list-style-type: none"> 1. Internal resource to manage and monitor delivery against these actions 2. External support to aid in developing processes and templates 3. A commitment from stakeholders to feed into the design of these processes 			

Part 4 - Monitoring and Reporting

1. Monitoring

Monitoring against the goals within the strategy will be an annual review process.

This will include consulting with various stakeholders and an assessment against the National Procurement Strategy behaviours

2. Reporting

Following each review, a report on progress will be shared with the board and updates to the strategy recommended.

3. Updating

This document will be updated following either an annual review or if updated guidance is issued by government such that it makes any of the goals no longer appropriate.

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**CAMBRIDGESHIRE & PETERBOROUGH COMBINED
AUTHORITY**

PROCUREMENT POLICY

1. Introduction

The Cambridgeshire and Peterborough Combined Authority recognises its responsibility for procuring the delivery of its corporate objectives in an economically, environmentally, and socially responsible Manner.

The Authority's procurement approach is supported by the Public Services (Social Value) Act 2012, this both requires and enables authorities to consider the wider impacts of a contract and to the community in which serve.

This policy sets out a number of key topics across the social, economic & environmental considerations and then details how these will be considered across the whole life of a contract.

This procurement policy is governed by all relevant Statutes pertaining to the Combined Authority, including the Best Value Duty. To demonstrate this Duty procurements will need to focus on price and quality as well as the wider areas noted below

2. Policy Focus 2023/ 2024

Key topics on which our sustainable procurement approach is focused is set out below

Topic Area	Social	Economic	Environmental
Stakeholder Engagement	✓	✓	✓
Equality, Diversity & Wellbeing	✓		
Ethical Supply	✓	✓	✓
Supporting SMEs and Local Businesses	✓	✓	✓
Supporting Third Sector & Social Enterprise	✓	✓	✓
Training, education, and employment opportunities (including for individuals with protected characteristics)	✓	✓	
Commitment to pay the Living Wage	✓	✓	
Carbon Emissions & Energy Usage reductions (including Net Zero)	✓	✓	✓
Protection of Wildlife	✓		✓
Supporting Community Projects	✓	✓	✓
Waste Reduction, re-use & recycle	✓	✓	✓
Improved reporting	✓	✓	

3. Embedding Social Value into Procurement

The above topics will be addressed through the following levers

Procurement Instruction Document – asking what the social, environmental, and economic impacts of the contract are and ensuring appropriate impact assessments are carried out and a sustainable procurement strategy agreed before a procurement is launched

Selection Questionnaire – asking targeted questions which seek identify suppliers with an appropriate track record in considerations of the agreed sustainable procurement strategy

Invitation to Tender – including requirements within the method statement questions and award criteria that will ensure that the successful supplier will deliver against the agreed sustainable procurement strategy

Specification – embedding all of agreed policy topics within the specification to ensure all bidders understand the authority's and project expectations; against which tender submission can be transparently assessed.

Accessibility – taking steps to remove unnecessary barriers to supplier participation

- Removing or reducing financial turnover thresholds, where financial risk is not high, to enable small firms or start-ups are not excluded
- Dividing larger contracts into **lots** so that small organisations with limited capacity can bid for part of the contract
- Ensuring the procurement process is accessible to bids from **consortia** or partnerships
- Engaging in **supplier engagement** with the market, prior to major tender exercises, to ensure local bidders understand the process.

4. Specific Policy Commitments

We will

Stakeholder Engagement

- ❖ Consult with stakeholders, partner authorities, the supply chain and service users to ensure the procurement is designed and managed to optimise delivery outcomes and facilitate efficient governance.

Equality, Diversity & Wellbeing

- ❖ Embed our commitment to equality, diversity, and wellbeing into all of our procurements and contracts
- ❖ Reward suppliers who are active in promoting inclusivity and supporting wellbeing within their own organisation's processes and throughout their supply chain

Ethical Supply

- ❖ Encourage suppliers who provide goods or services (including from overseas) to be aware of the impact of these sourcing decisions (including Modern Slavery (PPN 02/23), fairtrade or other relevant accreditations).

Supporting SMEs and Local Businesses

- ❖ Recognise the benefit of sourcing locally where possible
- ❖ Design the procurement/ contract structure to be accessible to SMEs, e.g., use of lots, reducing turnover requirements, application of PPN 11/20 reserving below threshold procurements, etc.

- ❖ Encourage tier one suppliers appointed by the authority to work with SMEs/ local suppliers where practicable to support a sustainable local economy

Supporting Third Sector & Social Enterprise

- ❖ Take steps to ensure our procurement process is as accessible as possible to third sector and social enterprise bidders, by identifying and removing barriers to their participation, and by recognising alternative bidding models, including partnership and consortium bids.
- ❖ Encourage suppliers to take steps to make supply chain opportunities accessible to relevant local third sector organisations and social enterprises.
- ❖ Provide regular engagement and information sessions to ensure local third sector organisations and social enterprises understand the procurement process, and to receive their feedback.

Training, education, and employment opportunities (including for individuals with protected characteristics)

- ❖ Encourage suppliers to support employment opportunities for people from disadvantaged categories – such as those not in education, employment or training (NEET), long term unemployed, people with physical disabilities, learning disabilities or mental health problems, ex-offenders, and ex-armed forces personnel.
- ❖ Encourage suppliers to engage with local training providers to support developing the local workforce and creating local opportunities; e.g., work experience, career events, apprenticeships, placements.

Commitment to pay the Living Wage

- ❖ Include in all in scope contracts, the requirement to pay the living wage in accordance with the Living Wage Foundation accreditation rules.

Carbon Emissions & Energy Usage reductions (including Net Zero)

- ❖ Encourage suppliers to have Carbon Reduction Plans and to commit to achieving Net Zero by 2050

Protection of Wildlife

- ❖ Encourage suppliers, as part of their environmental impact assessments for relevant projects, to demonstrate how they will seek to preserve, and potentially enhance local wildlife as part of delivering the contract.

Supporting Community Projects

- ❖ Encourage suppliers, as part of their social value considerations, to identify how they can support community projects

Waste Reduction, re-use & recycle

- ❖ Seek to reduce the impact of goods, services and works through waste minimisation - including packaging waste, construction waste, the disposal of any consumables, and the disposal of assets at end of life
- ❖ Encourage suppliers to take action to reduce waste and promote re-use, remanufacture and recycling at every level of the supply chain

Improved reporting

- ❖ Encourage suppliers to agreed and regularly report on both their organisation achievements and what they have specifically delivered for the authority against their tendered/ contracted commitments.

Contact Us

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Annex 9:

Member Access to Information Protocol

Scope

1. This protocol applies to all formal meetings of the Cambridgeshire and Peterborough Combined Authority. References to meetings of the Combined Authority include meetings of the Combined Authority Board, Business Panel, and any committee or sub-committee appointed by the Combined Authority. These provisions do not affect any other rights to information arising under any standing orders of the Combined Authority, or by law.

Summary

2. The CPCA will adopt a default position of sharing information held on request, with overview and scrutiny committee members. However, there may exceptionally be instances where confidential and exempt documents cannot be provided to members for example because this may result in legal proceedings against the CPCA, if confidentiality is breached. In those instances, where it is determined that a copy of a document or part of any such document cannot be shared with overview and scrutiny committee members, officers should provide the overview and scrutiny committee with a written statement setting out its reasons for that decision.

Members' Rights to Information

3. Members are free to request from the Cambridgeshire and Peterborough Combined such information as they may reasonably need in order to assist them in discharging their role as members, having regard to any special responsibility, e.g. chair of the Cambridgeshire and Peterborough Combined Board or committee.
4. The legal rights of members to inspect Cambridgeshire and Peterborough Combined Authority documents arise partly from statute and partly from the common law (judicial decisions).
5. Members have the ability to ask for information in accordance with their legal rights. This right extends to such information, explanation and advice as they may reasonably need in order to assist them in discharging their role as a member of the Cambridgeshire and Peterborough Combined Authority. This can range from a request for general information about some aspects of the Cambridgeshire and Peterborough Combined Authority's activities to a request for specific information on behalf of a constituent. Such approaches should normally be directed to the Head of Paid Service or the Monitoring Officer or Statutory Scrutiny Officer.
6. In case of doubt, Members should approach the Monitoring Officer for assistance.
7. As regards the legal rights of members to inspect Cambridgeshire and Peterborough Combined Authority documents, these are covered partly by statute and partly by common law.
8. Members have a statutory right to inspect any Cambridgeshire and Peterborough Combined Authority document which contains material relating to any business which is to be transacted by the Cambridgeshire and Peterborough Combined Authority. This right applies irrespective of whether the member is a member of the Committee or Subcommittee concerned and extends not only to reports which are to be submitted to the meeting, but also to any relevant background papers. This right does not, however, apply to documents relating to certain items which may appear as a confidential item on the agenda for a meeting.
9. The much broader common law rights of members remain intact and are based on the principle that any member has a right to inspect Cambridgeshire and Peterborough Combined Authority documents so far as his/her access to the document is reasonably necessary to enable the members properly to perform his/her duties as a member of the Cambridgeshire and Peterborough Combined Authority. This principle is commonly referred to as the 'need to know' principle.
10. The exercise of this common law right depends therefore, upon an individual member being able to demonstrate that she/he has the necessary 'need to know'. In this respect a member has no right to 'a roving commission' to go and examine documents of the Cambridgeshire

and Peterborough Combined Authority. Mere curiosity is not sufficient. The crucial question is the determination of the 'need to know'. This question must initially be determined by the Head of Paid Service (with advice from the Monitoring Officer). In the event of dispute, the question fails to be determined by the Monitoring Officer in association with the Head of Paid Service.

11. Members' need to know' will normally be presumed where the information clearly relates to the discharge of a function of Cambridgeshire and Peterborough Combined Authority.
12. Whilst the term 'Cambridgeshire and Peterborough Combined Authority document' is very broad and includes for example, any document produced with Cambridgeshire and Peterborough Combined Authority resources, it is accepted by convention that a member of one party group will not have a 'need to know' and therefore, a right to inspect, a document which forms part of the internal workings of another party group.
13. Further and more detailed advice regarding members' rights to inspect Cambridgeshire and Peterborough Combined Authority documents may be obtained from the Monitoring Officer.
14. Finally, any Cambridgeshire and Peterborough Combined Authority information provided to a member must only be used by the member for the purpose for which it was provided, i.e. in connection with the proper performance of the member's duties as a member of the Cambridgeshire and Peterborough Combined Authority. Therefore, for example, early drafts of Committee reports/briefing papers are not suitable for public disclosure and should not be used other than for the purpose for which they were supplied.

Correspondence

15. Correspondence between an individual member and an officer should not normally be copied (by the officer) to any other member without the consent of that member and vice versa. Correspondence includes both hard copy memoranda or letters and email.
16. Most official letters on behalf of the Cambridgeshire and Peterborough Combined Authority will normally be sent in the name of the appropriate officer rather in the name of a member, particularly when dealing with operational or service delivery matters.
17. However, it will be appropriate in certain circumstances (e.g. representations to Government) for correspondence to be sent in the name of member(s) or the Mayor of Cambridgeshire and Peterborough Combined Authority. Letters which create legal obligations or give instructions on behalf of the Cambridgeshire and Peterborough Combined Authority, and which are sent out in the name of a member should always be agreed in consultation with the Head of Paid Service, and on legal matters on advice from the Monitoring Officer.

Publicity and Press Release

18. Cambridgeshire and Peterborough Combined Authority is accountable to the residents of the Cambridgeshire and Peterborough area. Accountability requires local understanding. This will be promoted by the Authority, explaining its objectives and policies to the electors and ratepayers.
19. Publicity is, however, a sensitive matter in any political environment because of the impact it can have. Expenditure on publicity can be significant. It is essential, therefore, to ensure that decisions on publicity are properly made in accordance with clear principles of good practice. The Government has issued a code of Recommended Practice on Local Authority Publicity. The purpose of the Code is to set out such principles. The Code affects the conventions that should apply to all publicity at public expense, and which traditionally have applied in both central and local government. The Code requires that all local authorities should have regard to its provisions in coming to any decision on publicity.
20. Officers and members of the Cambridgeshire and Peterborough Combined Authority will, therefore, in making decisions on publicity, take account of the provisions of this Code. If in doubt, officers and/or members should initially seek advice from the Corporate Communications Manager who will refer the matter to the Head of Paid Service. Particular care should be paid to any publicity used by the Cambridgeshire and Peterborough

Combined Authority around the time of an election. Particular advice will be given on this by the Monitoring Officer as appropriate.

21. For the sake of clarity, the Code does not apply to press releases and publicity that members may arrange and distribute in their individual political capacity rather than through the Cambridgeshire and Peterborough Combined. Members should not use Cambridgeshire and Peterborough Combined resources for party political purposes.

The Statutory Position

22. Section 100F of the Local Government Act 1972 (as amended) (the Act) provides that any document that is in the possession or under the control of a principal council(which includes a Combined Authority), and contains material relating to any business to be transacted at a meeting of the Council or a committee or sub-committee of the Council, shall be open to inspection by any member of the Council.
23. This does not require the document to be disclosed if it appears to the Proper Officer that it contains exempt information under Schedule 12A of the Act. However, under the Local Government (Access to Information) (Variation) Order 2006, the document will still be open to inspection by members if it contains the following:
 - a) Information relating to the financial or business affairs of any particular person (including the Council holding that information), except to the extent that the information relates to any terms proposed or to be proposed by or to the Council in the course of negotiations for a contract; or
 - b) Information which reveals that the Council proposes:
 - i) to give under any enactment a notice under or by virtue of which requirements are imposed on a person; or
 - ii) to make an order or direction under any enactment.

All agendas, reports and other documents and proceedings of committees and sub-committees shall be treated as confidential and shall not be disclosed unless and until they become public in the ordinary course of the Council's business.

The Combined Authorities (Overview and Scrutiny Committees, Access to Information and Audit Committees) Order 2017

24. Section 10 of the 2017 Order provides additional rights of access to documents for members of overview and scrutiny committees.
 - 1) Subject to paragraph (3), a member of an overview and scrutiny committee or a sub-committee of such a committee is entitled to a copy of any document which—
 - a) is in the possession or under the control of the combined authority or the mayor; and
 - b) contains material relating to—
 - i. any business that has been transacted at a meeting of a decision- making body of that authority; or
 - ii. any decision that has been made by an individual member of that combined authority.
 - 2) Subject to paragraph (3), where a member of an overview and scrutiny committee or a sub-committee of such a committee requests a document which falls within paragraph (1), the combined authority or the mayor must provide that document as soon as reasonably practicable and in any case no later than 10 clear days after the combined authority receives the request.
 - 3) No member of an overview and scrutiny committee is entitled to a copy—
 - a) of any such document or part of a document as contains exempt or

confidential information unless that information is relevant to—

- i. an action or decision that that member is reviewing or scrutinising; or
 - ii. any review contained in any programme of work of such a committee or sub-committee of such a committee; or
- b) of a document or part of a document containing advice provided by a political adviser.
- i. Where the combined authority or the mayor determines that a member of an overview and scrutiny committee is not entitled to a copy of a document or part of any such document for a reason set out in paragraph (3), it must provide the overview and scrutiny committee with a written statement setting out its reasons for that decision.
 - ii. In this article, references to an overview and scrutiny committee include references to a sub-committee of such a committee.
25. Where the Executive determines to refuse such a request it must provide the Overview & Scrutiny committee with a written statement setting out its reasons for that decision.

FOIA and EIR

26. Members can, like a member of the general public, also request information from the Cambridgeshire and Peterborough Combined Authority under the Freedom of Information Act 2000 (FOIA) and the Environmental Information Regulations 2004 (EIR). The Information Commissioner's Office publishes guidance on access rights and the exemptions that may be applicable under FOIA and EIR.

Local Authority Accounts

27. The Local Audit and Accountability Act 2014, and the Accounts and Audit Regulations 2015 provide a right to inspect, question and make objections to the Cambridgeshire and Peterborough Combined Authority's auditor, take copies of statements of accounts and auditors' reports. These rights are explained fully in the National Audit Office guidance but are restricted to prevent access to documents containing personal information about staff.
28. In addition, s.228(3) of the Act provides that: "The accounts of a local authority and of any proper officer of a local authority shall be open to the inspection of any member of the authority, and any such member may make a copy of or extract from the accounts".

The common law 'need to know'

29. Under common law principles, all members have the right to access information held by their authority where it is reasonably necessary to enable them to properly perform their duties as a member.
30. However, there will be instances in which members may not be allowed access to information if the information is not needed as part of fulfilling their role.
31. If a member is a member of a particular committee or sub-committee, then they have the right to inspect documents relating to the business of that committee or sub-committee. If not a member of that committee or sub-committee, the member would have to show good cause why sight of them is necessary to perform their duties.

Notice of Meetings

32. The Cambridgeshire and Peterborough Combined Authority will give at least five clear days' notice of any meeting by posting details of the meeting at offices and on its website. Where exceptionally this period of notice cannot be given, notice will be given as soon as the meeting is convened.

Access to agendas and reports before meetings

33. The Cambridgeshire and Peterborough Combined Authority will publish the agenda and reports (that are not exempt from publication) on its website at least five clear days before the meeting, or if a meeting is convened at less than five clear days' notice as soon as it is convened.

Papers

34. The report author will set out in every report a list of those documents (called background papers) relating to the subject matter of the report which in their opinion:
- a) discloses any facts or matters on which the report or an important part of the report is based; and
 - b) have been relied on to a material extent in preparing the report; and
 - c) do not include:
 - i. published works or
 - ii. exempt or confidential information
35. Background papers are published on the Cambridgeshire and Peterborough Combined Authority's website and available for public inspection at Cambridgeshire and Peterborough Combined Authority offices.
36. The Cambridgeshire and Peterborough Combined Authority will make background papers available for public inspection for four years after the date of the meeting/decision.

Supply of copies

37. The Cambridgeshire and Peterborough Combined Authority will supply copies of any agenda, reports and background papers that are open to public inspection to any person, electronically (wherever possible) or, on payment of a charge for copying and postage, in hard copy.

Access to minutes etc. after meetings

38. The Cambridgeshire and Peterborough Combined Authority will retain and make available copies of the following for six years after a meeting or the taking of a decision:
- a) the minutes of the meeting and/or records of decision taken, together with the reasons, excluding any part of the minutes that discloses exempt or confidential information and also excluding, if appropriate in the opinion of the Monitoring Officer any part of the minutes of proceedings when the meeting was not open to the public
 - b) a summary of any proceedings not open to the public where the minutes open to inspection would not provide a reasonably fair and coherent record
 - c) the agenda for the meeting; and
 - d) reports relating to items when the meeting was open to the public.

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Annex 10: Complaints Procedure

HOW YOU CAN MAKE A COMPLAINT TO THE COMBINED AUTHORITY

The Combined Authority has a two-stage policy:

1. Stage One – Informal Complaint

We always wish to deal with your complaint as quickly and as efficiently as possible, so we will always try to deal with your complaint informally. This means that you should phone or take your complaint to the office or person who dealt with your enquiry.

Our staff will do their absolute best to settle your complaint without you needing to do anything else.

2. Stage Two – Formal Complaint

If you have spoken to our staff about your complaint but they have not been able to put things right, or you are not happy with the result, the next step is for you to make a formal complaint in writing to the Monitoring Officer.

By law, every Combined Authority must designate one of its senior officers as the Monitoring Officer. The Monitoring Officer is responsible for ensuring that the Combined Authority acts and operates within the law.

You can make a complaint in a number of ways:

- [submit your complaint via our Contact Us form](#)
- write to Complaints, Cambridgeshire & Peterborough Combined Authority, 2nd Floor, Pathfinder House, St Mary's Street, Huntingdon, PE29 3TN

When you contact us, please detail your name and address (including your postcode) and your phone number.

If you prefer, you can ask a friend or relative to speak or write to us for you. **We will need your written consent if you would like someone to act on your behalf.**

WHAT HAPPENS NEXT?

The Monitoring Officer will ask a Director who has not been involved in your original complaint to look into your complaint.

If we cannot resolve your complaint immediately, we will write to you within three working days to let you know we have received your complaint. We will give you a reference number and let you know that we are investigating your complaint. This information will make it easier for you to contact the person dealing with your complaint if you need to.

The Director will investigate your complaint, take any necessary action and make sure they send a written reply within 15 working days.

If your complaint needs more investigation, and we cannot send you a written reply within 15 working days, we will write to you and let you know when you will receive a written reply.

If you wish to make an appointment to discuss a complaint, please contact the Monitoring Officer.

AIMS OF THE COMPLAINTS POLICY

Our complaints policy aims to ensure that customers:

- know where and how to complain to us
- receive an acknowledgement and information on the progress of their complaint
- receive an appropriate response and action is taken where we have failed to provide a satisfactory service.

We are committed to treating all our customers fairly and equally.

We will use complaints to review and improve the way we provide services.

WHAT IS A COMPLAINT?

A complaint is an expression of dissatisfaction about the standard of service the Combined Authority provides.

There are some complaints that will not be dealt with under this policy such as:

- Where legal processes are involved – where a legal challenge is being made regarding whether a decision or action is lawful
- Where there is a more appropriate individual or organisation to deal with your complaint, such as a tribunal, Ombudsman or another local organisation or council
- We would not normally deal with complaints about something that happened more than a year ago
- Complaints about members of the Combined Authority – elected councillors have a separate complaints process and the Monitoring Officer can advise you about this.
- **Whistleblowing policy – there is a separate policy relating to whistleblowing**
- Complaints about Freedom of Information (FOI) requests. We have a separate policy for these types of complaints.
- The full Complaints Policy can be found [here](#).

CHOOSING THE CORRECT ORGANISATION

Before raising a complaint to the Cambridgeshire and Peterborough Combined Authority (the Combined Authority), it's important to ensure that you have raised the complaint with the correct organisation.

- The Combined Authority has not replaced existing local authorities; there are seven individual councils in the Cambridgeshire and Peterborough area who deliver the vast majority of services for your community
- The Combined Authority is separate from the Greater Cambridgeshire Greater Peterborough Local Enterprise Partnership and the Greater Cambridge Partnership (formerly called the "City Deal")
- The Combined Authority has not replaced companies and organisations providing public transport in Cambridgeshire and Peterborough area.

If you have a complaint about any transport services or street related matter, please contact your local authority for your area:

- Peterborough City Council
- Cambridgeshire County Council

If you have a complaint about the Greater Cambridge Partnership, visit their [contact us](#) page for more details.

WHAT IF I STILL DO NOT FEEL HAPPY WITH THE RESPONSE?

If you have been through stages one and two of the complaints procedure and you are still not happy with the results of the investigations, you can write to the Local Government and Social Care Ombudsman.

Local Government Ombudsman

You can contact the Local Government and Social Care Ombudsman about your complaint at any time. However, the Ombudsman usually gives the Combined Authority the opportunity to investigate first.

You can contact the Local Government and Social Care Ombudsman in a number of ways:

- Local Government & Social Care Ombudsman, PO Box 4771, Coventry CV4 0EH
- Phone: 0300 061 0614
- Text: 'call back' to 0762 480 3014
- Website: www.lgo.org.uk

Leaflets about how to complain to the Local Government and Social Care Ombudsman can be found in our partner council's offices or any library.

[Complaints policy - Cambridgeshire & Peterborough Combined Authority \(cambridgeshirepeterborough-ca.gov.uk\)](http://cambridgeshirepeterborough-ca.gov.uk)

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Annex 11:

Protocol on Appointments to the Office of the Mayor

1. General

- 1.1. There are three posts within the Mayoral Office which are appointed on a different basis to other Combined Authority posts. In particular:
- a) The contracts of employment for these posts automatically end on the expiry of the Mayor's term of office
 - b) The individuals are accountable for their performance of their duties to the Mayor
 - c) The individuals are subject to additional requirements as to their conduct, as set out below, which do not apply to other Combined Authority officers.

2. The Legal Basis of Mayoral Appointments

- 2.1. Political assistants are an established part of the local government landscape and are provided for in legislation including:
- a) Section 9 of the Local Government and Housing Act 1989
 - b) The Local Authorities (Elected Mayor and Mayor's Assistant) (England) Regulations 2002; and
 - c) The West of England Combined Authority Order 2017
- 2.2. There is no specific statutory authority for the appointment of political assistants in the Combined Authority. These posts within the Mayoral Office are appointed by the Mayor using the general power of competence conferred on him by Article 12 of the Cambridgeshire and Peterborough Combined Authority Order 2017.
- 2.3. The posts are subject to political restriction on the basis that the duties of the postholders consist in or involve giving advice on a regular basis to the Mayor themselves. The statutory provision at section 2(3) of the Local Government and Housing Act 1989 refers to giving advice to the "authority" and does not refer to advising a Mayor, but in the context of a Mayoral Combined Authority the reference to the "authority" can be taken to include the Mayor.
- 2.4. These posts are subject to additional restrictions as to the conduct of the postholders over and above those which apply to officers of the Combined Authority whose posts are politically restricted. The purpose of these additional restrictions is to ensure that any potential conflict between the postholders being paid from public funds and having access to public resources and with their participation in party politics is managed.
- 2.5. Provided appropriate safeguards are in place the appointment of these officers is a legitimate and lawful use of the general power. These officers perform a valuable role in allowing the Mayor to obtain political advice without compromising the impartiality of other officers.

3. Duties

- 3.1. These postholders' duties include the following:
- a) Reviewing papers going to the Mayor, drawing attention to any aspect which they think has particular implications for the Mayoralty
 - b) Ensuring that sensitive political points are handled properly
 - c) Giving policy guidance on behalf of the Mayor on any aspect of the Combined

Authority's business relating to their job description and give advice to the Mayor accordingly

- d) Asking questions of relevant officers, probing, checking facts and research findings.
- e) Preparing policy papers which can generate long-term policy thinking within the Combined Authority.
- f) Contributing to policy planning within the Combined Authority, including ideas which extend the existing range of options available to the Mayor with a political viewpoint in mind.
- g) Helping to brief Members of the Board, MPs and external officials on issues of Mayoral policy; liaising with outside interest groups; representing the Mayor at meetings and elsewhere.
- h) Speechwriting and related research, including adding a greater degree of political content to material prepared by other Combined Authority officers.
- i) Representing the views of the Mayor to the media, only where they have been authorised by the Mayor to do so (NB for the sake of clarity this means that these officers may not speak on behalf of the authority or the Mayor to journalists or broadcasters, except in exceptional circumstances).
- j) Managing other mayoral appointees and Combined Authority staff appointed by the Chief Executive who provide administrative or clerical support to the Mayoral Office but the dismissal of staff, determining grievances raised by them or altering their terms and conditions of employment are the responsibility of the Chief Executive.
- k) Attending interview panels for senior Combined Authority staff, as observers, but decisions to appoint rest with the Chief Executive or the Director for that employee. Such attendance to be with the consent of the Chair of the Employment Committee.

4. Additional Requirements as to Conduct

4.1. These postholders are subject to all codes, protocols, guidance and agreements which apply to the conduct of officers of the Combined Authority and the restrictions which apply to politically restricted posts. In addition, they are subject to the following requirements:

- a) Officers appointed directly by the Mayor should conduct themselves with integrity and honesty. They should not deceive or knowingly mislead the Mayor, the Board, other officers or the public. They should not misuse their official position or information acquired in the course of their official duties to further their private interests or the private interests of others. They should not receive benefits of any kind which others might reasonably see as compromising their personal judgement or integrity. They should not without authority disclose official information which has been communicated in confidence or received in confidence from others.
- b) All officers appointed directly by the Mayor should not use Combined Authority resources for party political activity. They are employed to serve the objectives of the Authority; it is this which justifies their being paid from public funds and being able to use public resources and explains why their participation in party politics is carefully limited. They should act in a way which upholds the political impartiality of public servants. They should avoid anything which might reasonably lead to the criticism that people paid from public funds are being used for party political purposes.
- c) In order to provide effective assistance to the Mayor, officers appointed directly

by the Mayor should work closely with the senior managers in the Authority and establish relationships of confidence and trust, and should develop effective professional relationships with Members of the Combined Authority Board.

- d) Any individual terms and conditions agreed as part of the interview process cannot amend or preclude these terms and conditions but additional terms and conditions may be agreed between the Mayor and the prospective employee, subject to consultation and agreement with the Chief Executive.
- e) Following receipt of any item or hospitality of a value of £25 or more, all Mayoral appointees should, within 28 days, update the register of gifts and hospitality accordingly. The register will be placed on the CPCA website. The Audit & Governance Committee is responsible for monitoring and reviewing the register through the Annual Governance Statement.
- f) In advising the Mayor on issues in relation to a particular functional body, Mayoral appointees should be mindful of potential conflicts of interest and the need to register and declare any and all relevant interests.

5. Process for Mayoral appointments

5.1. The following sets out the process which will be applied to the appointment of officers within the Mayoral team:

- a) Appointments must be made on merit. Recruitment to these posts must be by way of public advertisement and interview.
- b) The process for selection of suitable candidates must be clear and test that an individual's knowledge, skills, experience and attributes meet the requirements of the role. In order to do this, a job description and person specification will be prepared for each role. An interview process to assess candidates' suitability for the role is required and each candidate must be assessed against the job description and person specification.
- c) The Mayor should be satisfied that the individual is competent to perform the required role, based on the contents of the job description and on an assessment of candidates' skills and experience.
- d) All job descriptions will be evaluated to independently assess the salary level for the role.
- e) Guidance will be given to candidates during the recruitment and appointment process, and to appointees following their appointment, explaining the implications of these political restrictions.
- f) Offers of employment will be subject to the standard employment checks.
- g) The Mayor must report the appointments to the Board at the next scheduled meeting (this has historically been done through a Mayoral announcement at the beginning of the meeting).
- h) In all other regards, appointees will have the same basic terms and conditions of employment as CPCA staff appointed by the Head of Paid Service.
- i) In the event that any grievance or disciplinary issue arises in respect of Mayoral appointees this will be considered and, as necessary, investigated through arrangements decided by the Chief Executive, who is responsible for taking any further action as he / she deems necessary.

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ANNEX 12: APPOINTMENTS TO OUTSIDE BODIES PROTOCOL

Initial appointments to outside bodies will be made at the Annual General meeting or a Board meeting when required. Thereafter the Monitoring Officer is authorised to make new appointments following written confirmation from the Board, in order to fill vacancies, approve variations to existing appointments and delete organisations from the approved list.

Each year the Board will review the list of notified Outside Bodies and will determine whether to make or continue to make an appointment to those bodies.

Determination will be based on one or more of the following criteria being met:

- a) the proposed appointment is a statutory requirement
- b) the proposed appointment would be consistent with the Authority's policy or strategic objectives; and/or
- c) the proposed appointment would add value to the Authority's activities.
- d) requests to make an appointment received after such an annual review will be similarly referred to the Board for determination by reference to the same criteria.

The members appointed to outside bodies will report back to the Combined Authority Board on decisions made at the Bodies they have been appointed to, at regular intervals.

The members appointed to outside bodies will provide regular update to the Combined Authority Board on any matters either the member, the Mayor, the Combined Authority or statutory officers consider to be of importance.

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**CAMBRIDGESHIRE
& PETERBOROUGH**
COMBINED AUTHORITY

Single Assurance Framework

Cambridgeshire & Peterborough Combined Authority

November 2025

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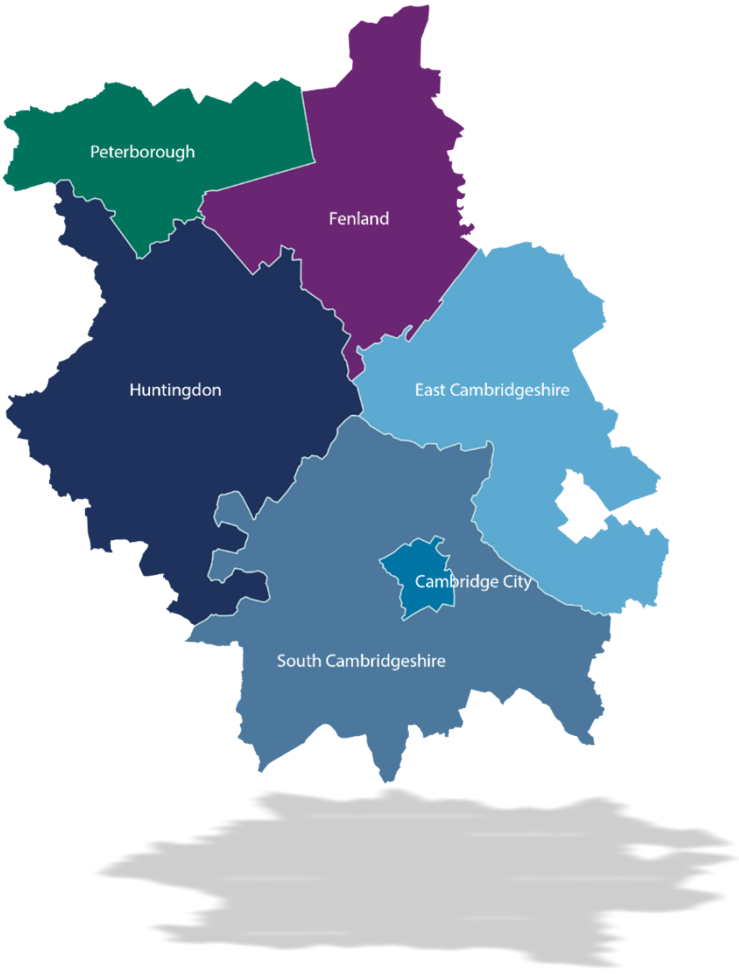
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1 Introduction

Cambridgeshire and Peterborough Combined Authority is committed to the delivery of good governance and accountability in everything that it does, striving to ensure that decision-making is effective, proportionate, open to test and challenge and taken to deliver benefits to the region in alignment with its agreed strategic objectives.

Having an effective, clear, and implemented Local Assurance Framework is key to successful delivery of the Combined Authority's overall Accountability Framework. It will enable open and transparent decision making in the use of public funds and help to achieve best value for money.

HM Treasury define Assurance Frameworks as 'An objective examination of evidence for the purpose of providing an independent assessment on governance, risk management, and control processes for the organisation.' It will sit alongside other key corporate governance and policy documents including the Devolution Agreement, Corporate Plan, Constitution and Monitoring and Evaluation Framework.

This document is the Assurance Framework for Cambridgeshire and Peterborough Combined Authority.

The aim of this document is to set out how the Combined Authority (CPCA) will spend or invest public money responsibly, both openly and transparently, and achieve Value for Money (VFM). It provides a proportionate and consistent approach to the application and approval of all funding opportunities and the initiation, development and delivery of projects, programmes and activity that places a financial liability onto the CPCA that is not classed as Business as Usual (BAU).

The document sets out the robust assurance, project appraisal and value for money processes that the Combined Authority has put in place for programme and project development and delivery in alignment with the requirements set out in the English Devolution Accountability Framework (EDAF) (March 2023) and the HM Treasury Green Book (May 2024). It is subject to approval by the Ministry of Housing, Communities and Local Government.

1.1 The purpose of the Single Assurance Framework - The Single Assurance Framework (SAF) Is a set of systems, processes and protocols designed to provide an evidence base and independent assessment of the governance, risk management and funding processes of a funding or grant application. It enables the Combined Authority to monitor measure and scrutinise how well policy aims are being met and risks managed. It also implements processes to ensure an adequate response if risks or performance go into exception.

1.1.1 The aim of this document is to set out how the Cambridgeshire and Peterborough Combined Authority (CPCA) will use public money responsibly, both openly and transparently, and achieve best value for money. This document outlines:

- The respective roles and responsibilities of the Mayoral Combined Authority Board, the Combined Authority Mayor and other elements of the decision-making and delivery structure;
- The key processes for ensuring accountability, probity, transparency, legal compliance, and value for money;
- How potential investments will be prioritised, appraised, approved, and delivered; and
- How the progress and impacts of these investments will be monitored and evaluated.

1.1.2 The SAF has been developed in compliance with the English Devolution Accountability Framework. It applies to all existing and new funding, and projects that place a financial liability onto the Combined Authority. It provides consistency of approach, standards, assurance, appraisal, and decision making. It allows for proportionality within the development of concepts and business cases.

- 1.1.3 The SAF operates alongside the following Combined Authority governance and key policy documents:
- The CPCA Constitution [\[CA Board Constitution August 2024\]](#)
 - The CPCA Corporate Plan [\[Corporate Plan 2025-2029\]](#)
 - The Performance Management Framework [\[Performance Management Framework 2025-2029\]](#)
 - The Risk Management Framework [\[Risk Management Framework\]](#)
 - Cambridgeshire and Peterborough Devolution Deal [\[Cambridgeshire-and-Peterborough-CA-Devolution-Deal \(cambridgeshirepeterborough-ca.gov.uk\)\]](#)
 - CPCA Order 2017 [\[The Cambridgeshire and Peterborough Combined Authority Order 2017\]](#)
 - Local Growth Plan [\[Local Growth Plan\]](#)
 - CPCA Medium Term Financial Plan [\[Medium-Term Financial Plan 2025/2029\]](#)
- 1.1.4 The CPCA operates in line with the Local Government Accountability Framework and the English Devolution Accountability Framework. It also operates according to:
- Local Government Financial Framework, as set out in the MHCLG Local Government System Statement. [\[MHCLG Accounting Officer System Statement 2025\]](#)
 - HM Treasury Guide to developing the project business case [\[Guide to developing the Project Business Case \(publishing.service.gov.uk\)\]](#)
 - HM Treasury Guide to Assuring and Appraising Projects: Green Book [\[The Green Book \(2022\) - GOV.UK \(www.gov.uk\)\]](#)
 - Orange Book (Strategic Risk) [\[Orange Book - GOV.UK \(www.gov.uk\)\]](#)
 - Magenta Book (Evaluation) [\[The Magenta Book - GOV.UK \(www.gov.uk\)\]](#)
- 1.1.5 The Assurance Framework provides assurance to the Departmental Accounting Officer by explaining how funding is granted or devolved to the Combined Authority is allocated, and that there are robust local systems in place which ensure resources are spent with regularity, propriety, and value for money.
- 1.1.6 Within the Combined Authority, the SAF is a valuable tool that enables the CPCA to develop and deliver successful programmes and projects and explain the clear rationale through concept papers and business cases on how its strategic objectives will be delivered.
- 1.1.7 The Assurance Framework will be reviewed at least annually by the CPCA Audit and Governance Committee to ensure that it is kept up to date, reflecting changes in the Combined Authority's operating environment and changes to Government policy. Where any potential changes and updates result in a potential divergence from the approved Assurance Framework, adjustments will be discussed and agreed with MHCLG.
- 1.2 English Devolution Accountability Framework** - The Single Assurance Framework (SAF) has been developed in alignment with the first edition of the English Devolution Accountability Framework (EDAF) (2023). EDAF sets out how Mayoral Combined Authorities (MCAs) will be scrutinised and held to account by government, local politicians, and business leaders, and by residents and voters within the Cambridgeshire and Peterborough region.
- 1.2.1 The English Devolution and Community Empowerment Bill is at its second reading subject to final parliamentary approval (at the time of this review). It will deliver on the government's commitment to widen and deepen devolution across England, providing Mayors with unprecedented powers to deliver growth. The Bill will support the government's plan to rebuild and reform local government, as the foundation for devolution, and give communities stronger tools to shape their local areas.
- 1.2.2 The Combined Authority meets all requirements set out in EDAF and seeks to align itself with emerging EDAF content such as the Scrutiny Protocol.
- 1.2.3 The Combined Authority recognises that in providing areas with more power and funding flexibility through devolution it becomes even more essential to strengthen governance and accountability arrangements to ensure that they are used appropriately to support regional and national priorities. Further details on its compliance with EDAF are set out in section 4.

2 Cambridgeshire and Peterborough

2.1 The Mayoral Combined Authority - Cambridgeshire and Peterborough Combined Authority (CPCA) is a Mayoral Combined Authority and is an accountable public body established under Section 103 of the Local Democracy, Economic Development and Construction Act 2009.

2.1.1 CPCA was created in 2017 through the Cambridgeshire and Peterborough Combined Authority Order 2017 [[The Cambridgeshire and Peterborough Combined Authority Order 2017 \(legislation.gov.uk\)](#)] to further the sustainable and inclusive growth of the economy of Cambridgeshire and Peterborough.

2.1.2 The functions of the Combined Authority are set out in the Order referred to above.

2.1.3 As and when the Government officially devolves further powers to the Combined Authority, to deliver against its policy agenda, this will be reflected in revisions to the SAF at the appropriate review period.

2.1.4 The Combined Authority is its own accountable body for funding received from government through the 2017 Devolution Deal and provides the accountable body role for the Greater Southeast Net Zero Hub and employs the officers that support them.

2.2 Regional and Local Leadership - The Combined Authority Board is the principal decision-maker and provides leadership of the Combined Authority.

2.2.1 The regionally elected Mayor of the Combined Authority is the Chair of the Combined Authority Board. The leadership of the Combined Authority comes from the Mayor and Combined Authority Board which is comprised of seven constituent authorities who have the voting rights set out in the 2017 Order and Constitution [[Constitution - Cambridgeshire & Peterborough Combined Authority \(cambridgeshirepeterborough-ca.gov.uk\)](#)]

2.2.2 The seven constituent authorities are represented on the Combined Authority Board through their elected Council Leader and are as follows:



- 2.2.3 The Business Board is represented on the Combined Authority Board and also has full voting rights. The Business Board determines who to nominate as its Combined Authority Board representative for consideration, this role is normally filled by the Chair of the Business Board.
- 2.2.4 The Combined Authority Board works closely with other key public sector partners who are represented on the Board in a non-voting capacity as non-constituent members, representation is provided by the Police and Crime Commissioner for Cambridgeshire, Cambridgeshire and Peterborough Fire Authority, and the Cambridgeshire and Peterborough Integrated Care System.
- 2.3 The Strategic Framework** - The Combined Authority has a robust process in place to develop its strategic objectives that aligns with its long-term vision. The devolution deal 2017 set out powers and funding afforded by devolution, and our performance target of doubling the size of the economy and creating more good jobs. The Corporate Plan builds upon this and identifies six objectives. These objectives are the golden thread that is to be driven through programmes and projects.
- 2.3.1 The SAF phases set out in section 5 ensure that investment decisions align with the Combined Authority objectives set out in the Corporate Plan.
- 2.3.2 The strategic framework ensures that the objectives reflect priorities identified by Government policy agenda through devolution requirements, Constituent Council agendas, Mayoral agenda, and a regional evidence base. It also ensures that the strategic planning process is evidence based through a regularly updated state of the region assessment and considers the existing and future project pipeline to ensure focus is on the appropriate priorities for the region.

3 Governance, Accountability and Decision-Making

- 3.1 Introduction** - As a local authority the Combined Authority is subject to the requirements of the English Devolution Accountability Framework. It adheres to this framework and is supported by its governance framework, internal and external audit arrangements, existing assurance framework and annual reporting of its accounts and the Annual Governance Statement.
- 3.1.1 The Combined Authority recognises and supports the English Devolution Accountability Framework and commits to building a culture of effective scrutiny and accountability through adherence to the framework.
- 3.1.2 In compliance with the English Devolution Accountability Framework the Combined Authority has put in place this Assurance Framework to ensure appropriate safeguards and standards are in place in the development and delivery of projects and ensure appropriate stewardship of devolved funds.
- 3.1.3 The Combined Authority meets all the requirements set out in Chapter 7 of the Localism Act 2011 and has a robust Member-Officer Protocol in support of its Code of Conduct arrangements. All Members are expected to demonstrate the Nolan Principles of behaviour and the adopted Combined Authority CIVIL Values.
- 3.1.4 Members of the Combined Authority are expected to act in the interests of the Cambridgeshire and Peterborough area when making investment decisions. A variety of controls are in place to ensure that decisions are appropriate and free from bias and/or the perception of bias.
- 3.1.5 The Combined Authority is the accountable body for the Business Board and the Greater Southeast Net Zero Hub.
- 3.2 The Mayor** - The CPCA Mayor has a manifesto of commitments on which they were directly elected by the electorate across Cambridgeshire and Peterborough constituent areas. The Mayor executes certain powers and functions that are devolved to CPCA by the UK Government, to deliver their manifesto commitments and to enact functions reserved for the Mayor as detailed in the Combined Authority Constitution.
- 3.2.1 The Mayor is the Chair of the Combined Authority and the Combined Authority Board. The Mayor provides leadership in terms of proposing a Mayoral budget as part of the Board in agreeing revenue and capital budgets for the Combined Authority and ensuring the appropriate use of these budgets.
- 3.2.2 As Chair of the Board the Mayor has a lead role in the allocation of Gainshare funding through the Board approval of the Corporate Plan. The Mayoral budget ensures that they have appropriate support and advice to take their priorities forward as well as to support delivery of the Corporate Plan and Devolution commitments.
- 3.2.3 The Mayor has general powers as set out in Chapter 3 of the Constitution, this includes the power to pay a grant to Cambridgeshire County Council and Peterborough City Council to meet expenditure incurred by them as highways authorities.
- 3.2.4 Elections for the position of Mayor of the Combined Authority are held every 4 years.
- 3.2.5 The Mayor can nominate Board Members for Portfolio Lead positions, nominations must be considered and approved by the Combined Authority Board.
- 3.3 The Combined Authority Board** - The Combined Authority Board is the legal and accountable body for funding devolved to the CPCA. It is responsible for a range of functions including transport, skills, and economic development.

- 3.3.1 The Combined Authority Board exercises all its powers and functions in accordance with the law and the Combined Authority Constitution; it agrees all strategy and frameworks and agrees all delegated responsibilities to conduct its business.
- 3.3.2 The Constituent Authority Leaders represent the views of their Constituent Authority at the Combined Authority Board, ensuring that they take a regional strategic perspective to decision-making and put the needs and opportunities to the region at the forefront of all decisions taken.
- 3.3.3 The Combined Authority, through its Board, has set clear roles and responsibilities within its governance framework when it comes to decision-making regarding strategy and budgets. It will:
- Set the strategic objectives, vision, and Corporate Plan
 - Approve strategy, key policy, and frameworks
 - Set the budgetary framework and the Medium-Term Financial Plan

This is supported through the following roles and responsibilities across its governance framework:

Strategic Role	Body
Develop strategy, framework, and policy proposals	Thematic Committees
Implement Board approved strategy	Thematic Committees
Deliver operational and delivery oversight and provide operational decision-making	Thematic Committees
Undertakes strategic level scrutiny	Overview and Scrutiny Committee
Undertakes Mayor and Board accountability	Overview and Scrutiny Committee
Provides oversight and assurance of standards and the Constitution	Audit and Governance Committee
Provides oversight and assurance of governance, assurance and supporting frameworks	Audit and Governance Committee
Make investment decisions and/or make recommendations to the Board on investment decisions	Executive Director / CEX / Funding Committee (depending on value)
Advise and make decisions in line with delegated authority for the Combined Authority's functions as corporate shareholder of a company	Funding Committee
Provides a key part in the overall assurance arrangements of the Combined Authority through the delivery of its functions.	Funding Committee

- 3.3.4 The Combined Authority Constitution details the Committees that sit within its Governance Framework which have either decision-making powers or are advisory. Those that have decision-making powers or have been delegated decision-making powers have terms of reference which can be found in the Constitution.
- 3.3.5 The Combined Authority operates under the principle of approval in Investment decision-making. This ensures that concepts are approved by either the Board or Funding Committee for inclusion in the Corporate Plan and Medium-Term Financial Plan before the relevant business case is developed.
- 3.3.6 The principle of approval ensures delivery of the golden thread of the Combined Authority agreed strategic objectives and the requirements set out in devolution agreements into the development of programmes and projects.
- 3.3.7 **Recruitment of Members of the Board** – The majority of Members of the Combined Authority Board are appointed by the Constituent Authorities, whilst some members are representatives of co-opted partners/ authorities. The Chair of the Business Board is designated as a member of the Board within the CPCA 2017 Order which established the Combined Authority and is therefore able to vote. Constituent Authority appointed Members must be elected members of their appointing authority and must be replaced by elected members of the same Constituent Authority if they are no longer elected members.

- 3.3.8 Co-opted Member status confers no legal status and no entitlement to vote; it is an informal arrangement to promote a strategic approach to joint working on significant regional policy issues.
- 3.3.9 Members of other Committees of CPCA are nominated by their Constituent Authority and appointed to Committees by the Combined Authority Board.
- 3.3.10 Induction - New members of the Combined Authority Board will be supported through induction training that will cover the senior management structure and their roles, the governance structures including the SAF, how the Combined Authority is funded, its risks, the role of the Mayor and its annual aims and objectives.
- 3.3.11 Code of Conduct - The Code of Conduct for members is set out in Annex 1 of Chapter 16 of the Combined Authority Constitution and reminds Members that they act on behalf of the whole region's interest not just their area of the region. The Nolan Principles of Public Life provide a framework for the members and the officers of the CPCA. The CPCA adopted CIVIL values also provide a framework for behaviour at all levels of the organisation.
- 3.3.12 Diversity - The Combined Authority Board is comprised of elected representatives appointed to the Board by the Constituent Authorities, Chair of the Business Board and members representing co-opted Partners/ Authorities and so the composition of the Board is outside of the control of the Combined Authority.
- 3.3.13 Remuneration - CPCA does not pay any allowances to the Combined Authority Board Membership other than to the Mayor whose allowance is agreed by the Board following the recommendation and a report from the Independent Remuneration Panel. The CPCA has recently introduced the payment of allowances to members and substitute members of its Overview and Scrutiny and Audit and Governance Committees.
- 3.3.14 Remuneration considerations for the Business Board and Committees of the Combined Authority are considered in line with the English Devolution Accountability Framework and are agreed by Board following the recommendation and a report from the Independent Remuneration Panel.

3.4 Audit and Governance Committee Arrangements - The Combined Authority has established an Audit and Governance Committee in accordance with the requirements of the Combined Authorities (Overview and Scrutiny, Access to Information and Audit) Regulations 2017 and in alignment with the English Devolution Accountability Framework.

- 3.4.1 The Combined Authority has delegated to the Audit and Governance Committee the following powers:
- review and scrutinise the combined authority's financial affairs;
 - review and assess the combined authority's risk management, internal control, and corporate governance arrangements;
 - review and assess the economy, efficiency, and effectiveness with which resources have been used in discharging the combined authority's functions; and
 - make reports and recommendations to the Combined Authority in relation to reviews conducted under paragraphs (a) (b) and (c);
 - Implement the obligation to ensure high standards of conduct amongst Members.
- 3.4.2 The Terms of Reference for the Audit and Governance Committee are available in Chapter 13 of the Constitution and set out its role in regard to:
- Approval of the annual statement of accounts
 - Corporate Governance Arrangements
 - Assurance Framework
 - Risk and Performance Management Arrangements
 - Anti-fraud, whistleblowing, and complaints
 - Internal Audit
 - External Audit
 - Financial Reporting

- 3.4.3 The Chair of the Audit and Governance Committee is an independent person who is not an elected member, appointed through a recruitment process and confirmed by the Combined Authority Board. Rule 13.5.2 of the Constitution set out in Chapter 13 sets out the independent designation requirement of the Committee Chair.
- 3.4.4 The membership of the Committee is nominated by the Constituent Authorities that form the Combined Authority and appointed by the Combined Authority Board. The Committee is politically proportionate so that the members of the committee taken as a whole reflect as far as reasonably practicable the balance of political parties prevailing among members of the constituent councils when taken together.
- 3.5 Overview and Scrutiny Arrangements** - The Combined Authority has established an Overview and Scrutiny Committee (OSC) in accordance with the requirements of the Combined Authorities (Overview and Scrutiny, Access to Information and Audit) Regulations 2017 and in alignment with the English Devolution Accountability Framework.
- 3.5.1 The Overview and Scrutiny Committee have the power to:
- review or scrutinise decisions made, or other action taken, in connection with the discharge of any functions which are the responsibility of the Mayor and/or the Combined Authority
 - make reports or recommendations to the Mayor and/or the Combined Authority on matters that affect the Combined Authority area or the inhabitants of the area
 - make reports or recommendations to the Mayor and/or the Combined Authority with respect to the discharge of any functions which are the responsibility of the Mayor and/or the Combined Authority.
 - Where a decision has been made by the Mayor, the Combined Authority, or an Officer and was not treated as being a key decision and a relevant overview and scrutiny committee is of the opinion that the decision should have been treated as a key decision, that overview and scrutiny committee may require the decision maker to submit a report to the Combined Authority within such reasonable period as the committee may specify
- 3.5.2 The Terms of Reference for the Overview and Scrutiny Committee are available in Chapter 14 of the Constitution and set out its core roles regarding:
- Strategic Performance Review of Corporate Plan KPIs
 - Holding Mayor and Portfolio Holders to account for the delivery of priority area objectives set out in the Corporate Plan and Directorate Plans
 - Pre-Scrutiny of Board decision-making (*utilising extended Forward Plan to identify upcoming decisions to examine in advance of decision being developed and taken*)
 - Utilising Call-In power if decisions have not been taken in accordance with the new principles of decision-making set out in the Constitution
 - Policy review when approached to undertake or if gap/ issue identified through performance review and decision-making accountability
 - Focused meetings on cross- cutting matters and/or issues of significant concern
 - Focused budget scrutiny on MTFP alignment/ delivery and consultation (*although this could be undertaken by commissioned deep dive review*)
- 3.5.3 The membership of the Committee is nominated by the Constituent Authorities that form the Combined Authority and appointed by the Combined Authority Board. The Committee is politically proportionate so that the members of the committee taken as a whole reflect as far as reasonably practicable the balance of political parties prevailing among members of the constituent councils when taken together.
- 3.5.4 The Audit and Governance Committee and the Overview and Scrutiny Committee are key parts of the overall accountability framework of the Combined Authority, ensuring key elements of the English Devolution Accountability Framework are complied with.
- 3.6 The Funding Committee** - The Combined Authority has established a Funding Committee that is Chaired by the Mayor. The Committee has the delegated authority to make business case investment decisions in relation to proposals which are above the level of financial delegation to officers which is set at over £2million and up to £5million, above which requires all decisions to be made by the Combined Authority Board. The Committee also has authority to approve change requests in line with conditions set out in section 6.

- 3.6.1 The Committee has delegated authority to take decisions in relation to funding proposals and change requests as set out in its Terms of Reference. The Terms of Reference can be found [here: Funding Committee Terms of Reference](#).
- 3.6.2 The Terms of Reference for the Funding Committee which include the full details of its functions are set out in the Constitution, the Committees core roles are:
- in accordance with the Single Assurance Framework and the Constitution of the Combined Authority, make investment decisions and/or make recommendations to the Board on investment decisions
 - play a key part in the overall assurance arrangements of the Combined Authority through the delivery of its functions.
 - advise and make decisions in line with delegated authority on behalf of the Mayor and the Combined Authority Board in the exercise of responsibilities for the Combined Authority's functions as corporate shareholder of a company or group of companies and in their role in representing the Combined Authority as a Shareholder Representative at meetings of a company
 - provide the necessary oversight, from a shareholder's perspective, that the parameters, policies, and boundaries that the Combined Authority has established are being adhered to; Including a regular review of whether the Subsidiary provides the most effective vehicle to deliver the outcomes the Combined Authority requires and whether there are viable alternative models which might offer a more effective means of delivering its priorities
- 3.7 The Business Board** - The Business Board acted as the Local Enterprise Partnership for the region. It was fully integrated into the Combined Authority Governance Arrangements (from March 2023) as a strategic business advisory and partnership body that represents the business voice for the region. In 2025 the Government confirmed that it would no longer support Business Boards, but the Combined Authority has decided to continue to maintain a Business Board subject to a review being undertaken in Autumn 2025 and formal consideration of its new iteration by the Combined Authority Board. Accordingly, this section of the document may be subject to change in the near future. Under the current arrangements the Business Board provides:
- strategic business advice to the Combined Authority Board, Mayor, Committees, and officers across all policy areas
 - advice on the development and shaping of economic strategy and day to day oversight of progress on implementation, on behalf of the Combined Authority Board who decide on and own the strategy
 - representation of businesses across the region
- 3.7.1 The membership requirements and appointment process along with the terms of reference for the Business Board are set out in the Combined Authority's Constitution.
- 3.7.2 The Mayor and the Portfolio Leads for Skills and Employment, and for Investment and Economic Growth are Business Board members as set out in the Constitution. They are non-voting members of the Business Board.
- 3.7.3 The Business Board itself appoints up to 2 co-opted members to sit on each Thematic Committee as co-opted members of those Committees where they represent the Business Board and seek to ensure alignment between discussions and the Economic Strategy.
- 3.7.4 The membership of the Business Board and the Chair, Vice-Chair and membership roles and responsibilities are reviewed as appropriate to ensure they reflect the requirements of the Combined Authority and represent the business voice of the region.
- 3.7.5 The Chair of the Business Board is a voting member of the Combined Authority Board.

3.8 Other Committees - The Combined Authority also has three Thematic Committees, these are:

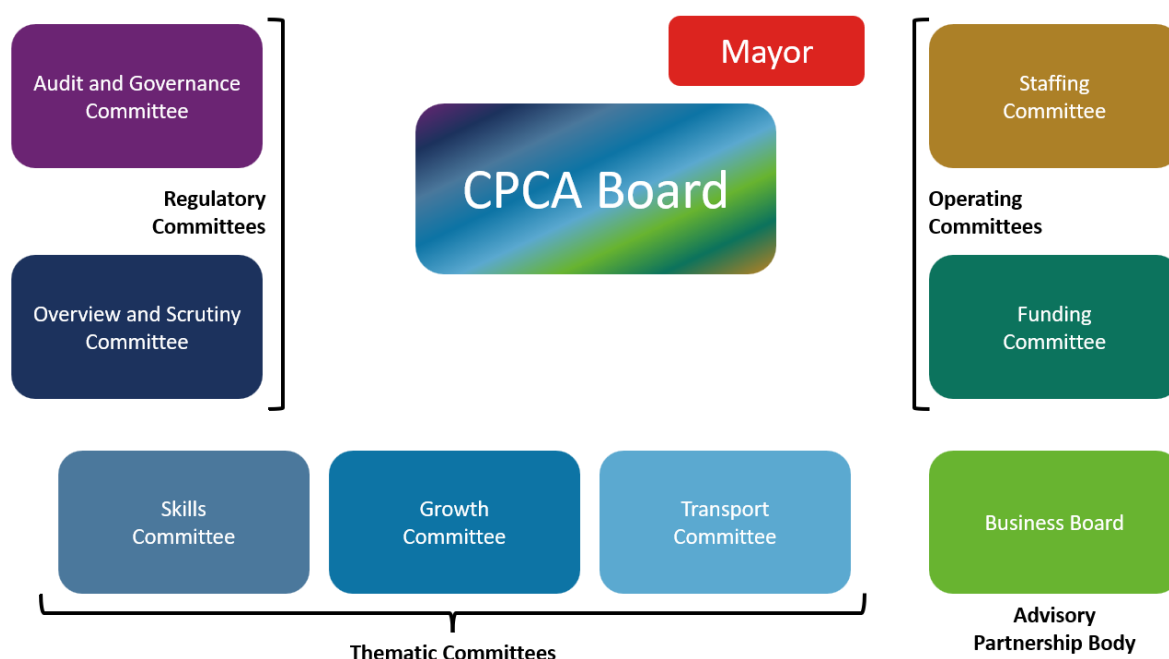
- Transport Committee
- Skills Committee
- Growth Committee

3.8.1 These Thematic Committees take decisions within the strategic and budgetary framework agreed by the Combined Authority Board. The Terms of Reference for these Committees can be viewed in the Constitution.

3.8.2 There is embedded membership within the Thematic Committees from the Business Board as well Combined Authority Board chairing of Thematic Committees through Portfolio Lead Positions to ensure a cross thematic approach to Combined Authority strategy and activity and tackle silo considerations.

3.8.3 These Committees alongside those identified above create the following governance arrangements for the Combined Authority:

Illustration B – Combined Authority Governance Arrangements



3.9 Statutory Officers

3.9.1 **Head of Paid Service** - It is the role of the Head of Paid Service, also referred to as the Chief Executive, to ensure that all the Combined Authority functions are properly co-ordinated as well as organising staff and appointing appropriate management.

3.9.2 At the Combined Authority, the Chief Executive fulfils the role of the Head of Paid Service. The Head of Paid Service discharges the functions in relation to the Combined Authority as set out in section 4, Local Government and Housing Act 1989 and acts as the principal advisor to the Business Board.

3.9.3 The duties and responsibilities of the post include but are not limited to:

- the statutory responsibilities of the Head of Paid Service to manage the budgets and funding allocations available to the Combined Authority, in partnership with the s73 officer
- leading the Corporate Management Team to deliver the strategic direction for the Combined Authority as outlined by the Combined Authority Board
- co-ordinate strategy, development, and delivery ensuring a joined-up partnership approach to deliver the aspirations of the Combined Authority

- ensure to champion the delivery of the strategic priorities of the Combined Authority and its Corporate Plan and put in place the resources necessary to achieve the efficient and effective implementation of CPCA's programmes and policies across all services and the effective deployment of the authority's resources to those ends
- advise the Combined Authority, its Board meetings on all matters of general policy and all other matters upon which their advice is necessary, with the right of attendance at all Board meetings and other meetings as appropriate
- advising the elected Mayor on the delivery of strategic priorities
- represent the Combined Authority at local, regional, and national level in partnership with the Mayor
- act on advice given by the Monitoring Officer on any situations that could put the Combined Authority in jeopardy of unlawfulness or maladministration
- Exercise the power of general competence
- Exercise urgency powers to make decisions in emergency situations.
- Exercise any function of the Authority which is not expressly: -
 - reserved to the Authority
 - within the terms of reference of any committee of the Authority; or
 - otherwise delegated to another Director under this Scheme, provided always that in relation to economic development loans, this delegated authority is subject to the conditions set out below.
 - To make final decisions in redundancy matters in accordance with all government guidance and statute.

3.9.4 **Section 73 Officer** - At the Combined Authority, the Executive Director of Resources fulfils the role of Section 73 Officer in accordance with the Local Government Act 1985, to administer the financial affairs of the Combined Authority and Business Board.

3.9.5 The Section 73 Officer is responsible for providing the final sign off for funding decisions, including decisions to bid to government for funding. The Section 73 Officer will provide a letter of assurance to government by 28th February each year regarding the appropriate administration of government funds for which the Cambridgeshire and Peterborough Combined Authority are responsible.

3.9.6 To provide an independent secretariat to the Business Board the Combined Authority's Section 73 Officer delegates responsibilities in relation to the Business Board to their deputy, referred to as the Business Board Section 73.

3.9.7 The responsibilities of the Executive Director of Resources and Performance reflect those documented in the CIPFA published document 'the roles of the Chief Finance Officer in Local Government' which details 5 key principles:

1. The Chief Financial Officer (CFO) in a local authority is a key member of the leadership team, helping it to develop and implement strategy and to resource and deliver the authority's Policy Aims sustainably and in the public interest.
2. The CFO in a local authority must be actively involved in, and able to bring influence to bear on, all material business decisions to ensure immediate and longer-term implications, opportunities and risks are fully considered, and alignment with the authority's overall financial strategy.
3. The CFO in a local authority must lead the promotion and delivery by the whole authority of good financial management so that public money is always safeguarded and used appropriately, economically, efficiently, and effectively.
4. The CFO in a local authority must lead and direct a finance function that is resourced to be fit for purpose.
5. The CFO in a local authority must be professionally qualified and suitably experienced.

3.9.8 The Executive Director of Resources is a member of the Combined Authority Corporate Management Team and has oversight of and an ability to influence all major decisions of the Combined Authority.

- 3.9.9 The Executive Director of Resources has ensured that the Combined Authority has robust systems of internal controls and appropriate separation of duties to ensure the legality and probity of financial transactions.
- 3.9.10 These processes are set out in the Combined Authority Constitution in the Financial Regulations (Chapter 8) and the Contract Standing Orders (Chapter 5), other policies such as the Anti-Fraud and Corruption Policy are also included in the Constitution on detailed on the Transparency pages of the Combined Authority website [\[Document Library - Cambridgeshire & Peterborough Combined Authority \(cambridgeshirepeterborough-ca.gov.uk\)\]](http://cambridgeshirepeterborough-ca.gov.uk)
- 3.9.11 **Monitoring Officer** - At the Combined Authority, the Director of Legal and Governance has been appointed as the Combined Authority Monitoring Officer and discharges the functions in relation to CPCA as set out in section 5 of the Local Government and Housing Act 1989.
- 3.9.12 The Monitoring Officer fulfils their role in accordance with the Local Government Act 1972 to administer the legal duties of the Combined Authority.
- 3.9.13 The responsibilities of the Monitoring Officer regarding the Assurance Framework are:
- Providing advice on, and maintaining an up-to-date version of the Constitution and ensuring that it is widely available for consultation by members, employees, and the public
 - After consulting with the Head of Paid Service and Chief Finance Officer, report to the Combined Authority if they consider that any proposal, decision, or omission would give rise to unlawfulness or maladministration or if any decision or omission has given rise to unlawfulness or maladministration. Such a report will have the effect of stopping the proposed decisions being implemented until the report has been formally considered by the Combined Authority Board
 - Ensuring that decisions, together with the reasons for those decisions and relevant officer reports and background papers are made publicly available as soon as possible
 - Advising whether decisions are within budget and policy framework and whether any decisions or proposed decision constitutes a key decision
 - Providing advice on the scope of powers and authority to take decisions, maladministration, financial impropriety, probity and budget and policy framework issues to the Mayor, members and officers, and support and advise members and officers in their roles
- 3.9.14 Contributing to the promotion and maintenance of high standards of conduct, the Combined Authority has delegated to the Monitoring Officer powers to deal with matters of conduct and ethical standards in accordance with the requirements of the Localism Act 2011:
- Discharging the functions under any enactment (whenever passed) of a Monitoring Officer, proper officer, or responsible officer, concerning the Authority's legal affairs and arrangements, including compliance with the law.
- 3.9.15 The Monitoring Officer and their legal team review all reports to ensure that legal implications are correctly identified before they are presented to the Combined Authority Board and its Committees.

3.10 Processes and Procedures

- 3.10.1 **Whistleblowing** - The Combined Authority has a Whistleblowing Policy to enable and encourage employees to raise concerns about wrongdoing by the Combined Authority, the Mayor's Office, and/or contractors without fear of reprisal or detriment. The Whistleblowing Policy can be found on the Combined Authority website at [Whistleblowing Policy](#)
- 3.10.2 **Complaints Process** - A procedure is in place to ensure that any complaints relating to the arrangements, processes or decision making associated with a project is dealt with fairly and effectively. The policy can be found via the Combined Authority website [Complaints Policy](#)
- 3.10.3 **Equality, Diversity, and Inclusion Policy** - The Combined Authority has an Equality, Diversity and Inclusion Policy that applies to all employees and anyone who works with the Combined Authority. The policy outlines the Combined Authority commitment through the employment lifecycle to equality, diversity and inclusion and sets out this is put into practice. The policy can be accessed via the website [Equality, Diversity and Inclusion Policy](#)

- 3.10.4 **Gifts and Hospitality** - A Gifts and Hospitality policy and a procedure is in place to ensure that no CPCA Member or officer receives remuneration or expenses in relation to its activities, other than their salary and in accordance with policy. It specifies that no gifts or hospitality shall be accepted by Members or Officers other than insignificant and appropriate gifts and hospitality during their day-to-day business. The Gifts and Hospitality Protocol is in the Combined Authority Constitution at Chapter 19 [GiftsandHospitalityProtocol](#)
- 3.10.5 **Registration and Declaration of Interests** - Combined Authority Board and Committee Members are required to make a declaration of any interest they have in an item of business at Meetings of the Board. Officers are required to declare any interests they have in contracts. The completed registration of Members' interest forms are accessible via the Combined Authority website at [Members Interest Forms](#)
- 3.10.6 In addition, elected Local Authority members will have completed their Local Authority's Register of Interest. Where Members have a prejudicial interest in an item of business the Combined Authority Code of Conduct requires that they should leave the meeting while the item is considered. The Code of Conduct can be found in Annex 1 to Chapter 16 of the Combined Authority Constitution.
- 3.10.7 **Freedom of Information** - The Combined Authority is subject to the Freedom of Information Act 2000 and the Environmental Information Regulations 2004. As Accountable Body for the Business Board, the Combined Authority will also fulfil these functions on behalf of the Business Board.
- 3.10.8 The Combined Authority will hold records and will be the focal point for statutory information requests. Applicants are made aware of their right to access information through the Combined Authority, which will deal with the request in accordance with the relevant legislation. As set out in this section, the Combined Authority aims to publish as much information as possible so that Freedom of Information requests are less necessary. A publication scheme is on the website and answers to previous requests are also published on the website at [\[Freedom Of Information Requests | The Combined Authority \(cambridgeshirepeterborough-ca.gov.uk\)\]](#)
- 3.10.9 **Transparency Code** - The Combined Authority is subject to a robust transparency and local engagement regime. The Combined Authority's Constitution includes how agendas, minutes and papers will be made available to the public and when.
- 3.10.10 The combined Authority is subject to and complies with the Transparency Code applied to all Local Authorities. The Transparency webpages of the Combined Authority can be accessed at [\[Governance and Transparency Library | CPCA | The Combined Authority \(cambridgeshirepeterborough-ca.gov.uk\)\]](#)
- 3.10.11 A Mayoral update is distributed to stakeholders throughout Cambridgeshire and Peterborough informing them of current and planned Combined Authority activity and how they can get involved. CPCA has a continuous communications strategy, including using social media to provide the public and stakeholders with updates on activity. Stakeholders and the public can contact the CPCA via the website [\[Contact us - Cambridgeshire & Peterborough Combined Authority \(cambridgeshirepeterborough-ca.gov.uk\)\]](#) and by responding to social media posts.
- 3.10.12 The meeting schedule is available on the Combined Authority website detailing the dates of all key meetings. Where there is a requirement as a condition of funding, the Combined Authority will ensure that Government (and other funders) branding is used in any publicity material.
- 3.10.13 **Treatment of Risk** - A key role of the SAF is to ensure that risk is identified, monitored, and managed appropriately, in accordance with HM Treasury Orange Book, both at a strategic level (the risks facing the Combined Authority as an organisation) and at a programme and project level.
- 3.10.14 A Risk Management Framework was approved in 2023 and provides visibility of risk at strategic, operational, and Programme levels and to ensure consistency across Combined Authority Business Areas in how risks are identified, managed, monitored, and escalated.
- 3.10.15 **English Devolution Accountability Arrangements** - The English Devolution Accountability Framework has been considered in the development of the SAF and more widely in the Combined

Authority through the Governance Framework and the Accountability Framework. Section 4 of this document refers specifically to EDAF.

- 3.10.16 The Combined Authority has developed an Accountability Framework to support devolution that seeks to ensure that CPCA complies with all EDAF requirements and creates a sustained culture of scrutiny and accountability. This includes application of the Scrutiny Protocol within EDAF once it has been agreed and published by the Ministry of Housing, Communities and Local Government.
- 3.10.17 **Decision-Making Principles** - The Combined Authority has adopted decision-making principles to ensure that all decision-making is taken in alignment with key considerations. These principles can be found in Chapter 6 of the Constitution.
- 3.10.18 **Publishing Meeting Minutes** - The schedule of meetings for the calendar year is published on the Combined Authority website. The notice of meetings, the agenda and the accompanying papers for formal Board and Committee Meetings are published five clear working days in the advance of the meeting.
- 3.10.19 The Combined Authority includes its Forward Plan in the Agenda of the Board, the thematic committees and Overview and Scrutiny Committee Meetings.
- 3.10.20 Where papers contain commercially sensitive information or are subject to one of the exemptions under the Local Government act 1972 Schedule 12A or the Freedom of Information Act 2000, they are categorised as a private item and are not published. The Monitoring Officer will give advice regarding whether the item should be classified as private, but Members must decide to go into private session unless a confidential item has been declared confidential by the Government in which case it must be taken in private.
- 3.10.21 Decisions of meetings are published within five working days, in practice this is as soon as practicable within the five-day period. Draft minutes of meetings are published as soon as is possible after the meetings on the Combined Authority website. All Combined Authority Board minutes are signed at the next suitable meeting.
- 3.10.22 **Publishing Decisions** - In the interests of increasing transparency and accountability the Combined Authority has committed to publish a Forward Plan of key decisions that will be taken by the Combined Authority at least 28 days before the decision is made, and up to 12 months in advance, to enable members of the public the opportunity to view and comment upon them.
- 3.10.23 All decisions will be published in accordance with the transparency arrangements set out in the constitution.

4 English Devolution Accountability Framework

- 4.1 Introduction** - The Single Assurance Frameworks must demonstrate robust assurance, project appraisal and value for money processes that satisfy the requirements set out in the English Devolution Accountability Framework.
- 4.1.1 As set out in 2.1.4 and 3.3 the Combined Authority is the accountable body for funding received from Government through devolution.
- 4.1.2 The Combined Authority is a local authority for the purposes of the Local Government Act 1972 (and the Local Democracy, Economic Development and Construction Act 2009) and is the Accountable Body for public expenditure that supports the CPCA Vision and Corporate Plan, facilitating collective decision making between constituent council partners.
- 4.1.3 The Audit Committee arrangements for the Combined Authority are set out in 3.4 and the Overview and Scrutiny arrangements are set out in 3.5.
- 4.1.4 As set out in 3.9 the Combined Authority has appointed statutory officers, and the Section 73 Officer will ensure that resources are used legally and appropriately and that they will be subject to the usual checks and balances by making sure there is a sound system in place for financial management. The Monitoring Officer will ensure that all legal responsibilities are adhered to by the Combined Authority.
- 4.1.5 Section 3 sets out the detail of the governance framework arrangements along with details of accountability and decision-making arrangements that enable and support the effective engagement of constituent authorities, local partners, and the public to help inform key decisions, budget proposals, and strategy development.
- 4.1.6 Section 3 also sets out the roles and responsibilities within decision-making at the Combined Authority.
- 4.1.7 The Single Assurance Framework is part of the overall Accountability Framework for the Combined Authority.
- 4.2 Ensuring Value for Money** - The Combined Authority has appropriate arrangements to independently verify its accounts through external audit to ensure it is compliant with the Local Audit and Accountability Act 2014. These arrangements are supported through the Audit and Governance Committee that will review and scrutinise the Combined Authority financial affairs (including consideration of any devolved funds), ensure appropriate corporate governance, risk management, and assess whether it is delivering value for money.
- 4.2.1 These arrangements are further supported through this Single Assurance Framework which sets out the framework for the Combined Authority in making value for money judgements of potential investments and projects. All business cases seeking approval are assessed through the Single Assurance Framework process and are evaluated against HMTs five-case business model set out in HMTs Green Book [\[The Green Book \(publishing.service.gov.uk\)\]](https://www.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/671912/the-green-book.pdf)
- 4.2.2 Arrangements regarding Value for Money and accountability for Department for Transport projects and Transport Analysis Guidance (TAG) compliance are set out in the Annex in 7.1.
- 4.2.3 The arrangements for the accountability for devolved skills funding are set out in the Annex in 7.2.
- 4.2.4 The arrangements for the accountability for the Greater Southeast Net Zero Hub are set out in the Annex in 7.3.
- 4.3 Enabling the Business Voice** - The Combined Authority already has a Business Board that is integrated into its governance arrangements. The recent changes to the governance framework involved

recasting the role of the Business Board to transition from being an executive programme board to one that provides:

- strategic business advice to CPCA's Board, Mayor, Committees, and officers across all policy areas, representing the business voice of the region on a wide range of thematic areas
- advice on the development and shaping of economic strategy and day to day oversight of progress on implementation, on behalf of the CPCA Board who decide on and own the strategy
- a business voice for Cambridgeshire and Peterborough.

4.3.1 Arrangements for the Business Board are set out in 3.7 and in more detail in the Combined Authority Constitution.

4.4 Local Scrutiny and Checks and Balances - The Combined Authority has significant arrangements in place to maintain standards in public life. In addition to meeting all requirements set out in Chapter 7 of the Localism Act 2011 the Combined Authority has recently strengthened its Code of Conduct arrangements through the introduction of a Member/ Officer Protocol and introduced new organisational values and behaviours that the Mayor and Councillors have agreed to demonstrate and promote in their behaviours.

4.4.1 The Combined Authority meets the requirements set out in the Local Audit and Accountability Act 2014 and has recently taken steps to improve the content of its Annual Governance Statement having consulted other MCAs to identify best practice and opportunities for improvement.

4.4.2 Training and development are provided to the Audit and Governance Committee and the Overview and Scrutiny Committee to support them in the application of their core roles.

4.4.3 The arrangements for the Audit and Governance Committee and the Overview and Scrutiny Committee are set out in sections 3.4 and 3.5.

4.4.4 The Combined Authority approach to Overview and Scrutiny builds upon the statutory guidance for Overview and Scrutiny, guidance from the Centre for Governance and Scrutiny, best practice from other MCAs and includes adaptations specifically tailored for the Cambridgeshire and Peterborough scrutiny approach.

4.5 Accountability to Government - This Single Assurance Framework sets out the Combined Authority approach to ensuring appropriate safeguards and standards are in place in the development and delivery of programmes and projects and to ensure the appropriate stewardship of devolved funding.

4.6 Accountability to the Public - The governance framework of the Combined Authority has been designed with clear roles and responsibilities to enable transparency and understanding of Board and Committee activity. Multiple levels of accountability exist to enable and support strategic objective setting accountability, performance accountability, decision-making accountability and operational delivery and oversight.

4.6.1 Section 3 sets out details on governance, accountability, and decision-making, with further detail set out in the Combined Authority Constitution.

4.6.2 The Combined Authority has an active social media presence and engagement with the local press to promote its activity, the meeting of its Board and Committees and opportunities for public involvement.

4.6.3 The Combined Authority invites the public to put questions to the Mayor, its Board and Committees via public question time arrangements, additionally it invites questions to the Mayor via Mayoral question Time arrangements as part of its Overview and Scrutiny approach.

4.6.4 In order to ensure positive engagement and communication between the Combined Authority and Constituent Authorities, and to strengthen public accountability through Constituent Council elected members, the Combined Authority will inform Constituent Authorities when a project that will be delivered in their constituency area is progressed into SAF Phase 2 (development phase) and when it enters SAF phase 3 (approvals phase). This will ensure Constituent Council awareness of project development and approval decisions.

- 4.6.5 Where a concept is proposed that is specific to a single Constituent Council area, that Constituent Council is formally consulted with their view being provided to the Board when considering that concept. This principle shall also exist when final business cases are put forward for approval, with the relevant approver being provided with the Constituent Council view (after being formally consulted) when deciding.

4.7

Commitment to continual enhancement of Accountability Arrangements - The Combined Authority will set out how it will further strengthen its accountability arrangements for future devolved funding and powers in direct engagement with the Ministry of Housing, Communities and Local Government.

5 Single Assurance Framework (Lifecycle Process)

- 5.1 Introduction** - The Single Assurance Framework sets out the framework to be applied throughout the lifecycle of programmes and projects, it sets out a set of systems, processes and protocols designed to provide the Combined Authority with a consistent approach for appraisal, assurance, risk management, and performance.
- 5.1.2 The SAF sets out key processes for ensuring accountability, probity, transparency, and legal compliance and for ensuring value for money is achieved across its investments.
- 5.1.3 The SAF will be applied across the lifecycle of all projects and programmes that will incur a financial liability on the Combined Authority.
- 5.1.4 The SAF is designed to be used as guidance to project developers and sponsors to understand the processes associated with the application and the route to approval of all external funding opportunities.
- 5.1.5 Where financial liability is placed onto the Combined Authority, the SAF is applicable throughout all stages of the project or programme lifecycle: initiation, development, approvals, and delivery.
- 5.1.6 The SAF provides consistency of approach for Assurance, independent appraisal, and informed decision-making across all funding pots. Furthermore, it allows proportionality to be applied for the development of business cases via defined development routes. The SAF does not apply to projects or programmes that are defined as corporate, continuous improvement or Business as Usual (BAU) activity.
- 5.1.7 The SAF works to the following definition of programmes and projects:
- A SAF Programme/ Project** - Projects and Programmes which follow the SAF are focused on achieving positive outcomes for the local community. They are typically funded by external sources such as devolution deals and bid applications/grant awards from Central Government. The SAF is applied flexibly and proportionately, dependent upon the level of risk associated with a Project or Programme. It ensures Programmes and Projects have a strong strategic fit to the CPCA Corporate Plan.
- 5.1.8 SAF does not apply to Corporate Projects.
- 5.1.9 **A Corporate Project** - A corporate project is created to address an internal business need, benefitting the organisation, for example, a change to the operating systems of the organisation. Risk Management should be considered with risks reviewed as part of activity. Once a corporate project is completed, it may become 'Business as Usual' (BAU). A Corporate project can go through the PMO (if required) where support can also be sourced from specialists in Finance, Projects, Digital and Data and Human Resources where applicable who will review and support the strengthening of the business case and the identified benefits including whether the resources, both financial and people, are in place to deliver.
- 5.1.10 The SAF has been developed to a key set of design principles agreed by the Combined Authority Board, these are:
- ensure that significant financial and governance protections exist for the stewardship of public funds
 - deliver improvement that will lead to high standards of project development, approval, delivery, and oversight
 - deliver consistency, controls and clarity that are embedded to deliver confidence in the Combined Authority, its decision-making, and its ability to deliver
 - enable the management of political and reputational risk

- Provide appropriate and proportionate levels assurance
- Ensure alignment to HMTs Green Book
- Deliver appropriate approval delegations
- Create clear and consistent golden thread from the Corporate Plan to project development

5.1.11 The SAF sets out the rising scale of assurance that is required against an increasing scale of value in business case approvals, alongside appropriate processes for risk profiling of a project, guidance on business case development and the documentation required for approval consideration.

5.1.12 Out of Business Area second line of defence assurance and appraisal is incorporated into the SAF alongside guidance, templates, and criteria to ensure a consistency of approach, development, and consideration through the lifecycle.

5.1.13 The Combined Authority ensures that funding decisions are based on impartial expert advice as appropriate .

5.1.14 This section details the SAF processes and procedures that are in place to ensure robust decision-making on investments with funds devolved to the Combined Authority.

5.2 Value for Money - As an investor of public funds, the Combined Authority has a responsibility to ensure that its decisions deliver best value for the taxpayer, and therefore all investment opportunities and Business Cases must include an assessment of Value for Money.

5.2.1 The Assurance Framework has been developed in line with HMTs Green Book guidelines, which require project managers to build in Value for Money processes throughout the development and approval stages. In addition, the Combined Authority requires all Business Cases be developed in line with HMTs Five Case Model.

5.2.2 The range of toolkits (HMT Green Book, DfT TAG, MHCLG, Appraisal Guidance etc) are used to demonstrate the economic, social, and environmental benefits and cost over an appropriate appraisal period to assess the VFM of a scheme.

5.2.3 The delivery, and costs, of outputs must be quantified within all applications for funding. Assessing Value for Money will be done in accordance with Government guidance.

5.2.4 The use of options consideration for value for money is key, to assist a do minimum option will always be included in business cases to provide an essential benchmark that can help reveal the real value of additional changes.

5.2.5 The Executive Director proposing the project must document that they are satisfied with the Value for Money assessments within a business case, similarly the Funding Panel, chaired by the Section 73 Officer, is required to consider the Value for Money demonstrated from each business case prior to recommending it for formal approval..

5.2.6 A key objective of the Single Assurance Framework is to support the Combined Authority in making judgements about the Value for Money (VFM) of potential investment and projects etc. All business cases seeking approval are assessed through the SAF process and evaluated against the HM Treasury's five-case business model highlighted within The Green Book (2022).

5.2.7 For transport infrastructure schemes, the Combined Authority will ensure that modelling and appraisal is sufficiently robust and fit for purpose for the scheme under consideration, and that modelling, and appraisal meets the guidance set out in TAG.

5.3 Single Assurance Framework Entry Points - There are two entry points into the SAF through:

- The Annual Business Plan (and supporting Medium Term Financial Plan)
- In Year proposals

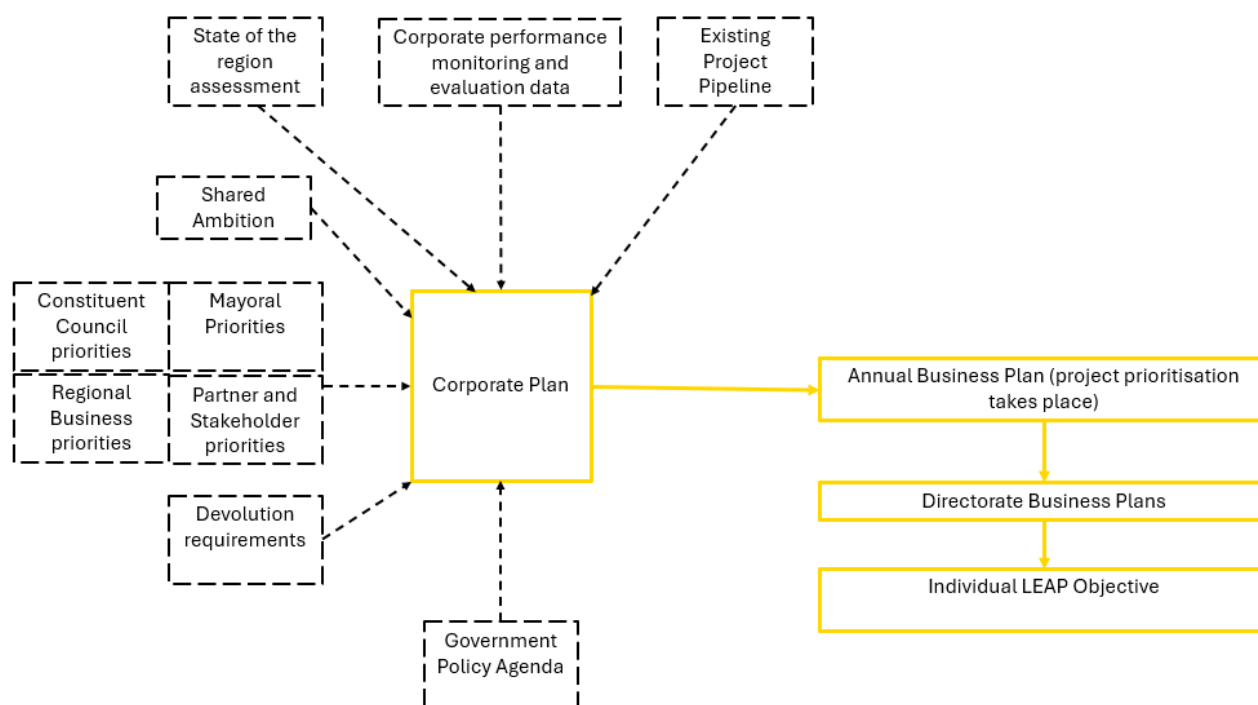
5.3.1 The development of concepts, and external funding opportunities are Business Area led and coordinated and managed with support from the Combined Authority Programme Management

Office (PMO). Constituent Authority and other partners can submit proposals (referred to as concepts) to the Combined Authority through the relevant Combined Authority Business Area.

5.3.2 **The Corporate Plan and Annual Business Plan** – The Combined Authority Corporate Plan is developed through an extensive corporate planning process, these robust processes that are in place to develop the objectives (that aligns with the long-term Shared Ambition) and are referenced in section 2.3.

5.3.3 The Corporate Plan sets out the ‘golden thread’ from the strategic objectives and Mayoral priorities, through its overarching strategies and organisational objectives. This feeds into the Annual Business Plan that sets out the detail on the services and projects we will deliver and their prioritisation. This is a key influence on the work of the the SAF. Illustration C demonstrates the golden thread, from the Corporate Plan through to the Annual Business Plan, into Directorate Business Plans and finally to individual LEAP objectives.

Illustration C: Cambridgeshire and Peterborough Combined Authority Corporate Planning process (to be further developed)



5.3.4 The purpose of the Corporate Plan is to:

- ☐ articulate the Combined Authority priorities so that partners and stakeholders understand the key areas of focus
- ☐ provide a strategic context for the Combined Authority as an organisation so its plans and operational activity are aligned to the overall vision and priorities agreed by its Board
- ☐ enable oversight and review performance against priorities. To support this the Corporate Plan seeks to demonstrate how deliverables contribute towards delivering the overarching Combined Authority policy aims

5.3.5 **In Year Proposals** - Constituent Authorities, Partners and the Combined Authority can submit in-year Concept proposals that are not included within the existing Corporate Plan. These in-year proposals require the completion of a Concept Paper in alignment with the requirements set out in Phase 1 of the SAF.

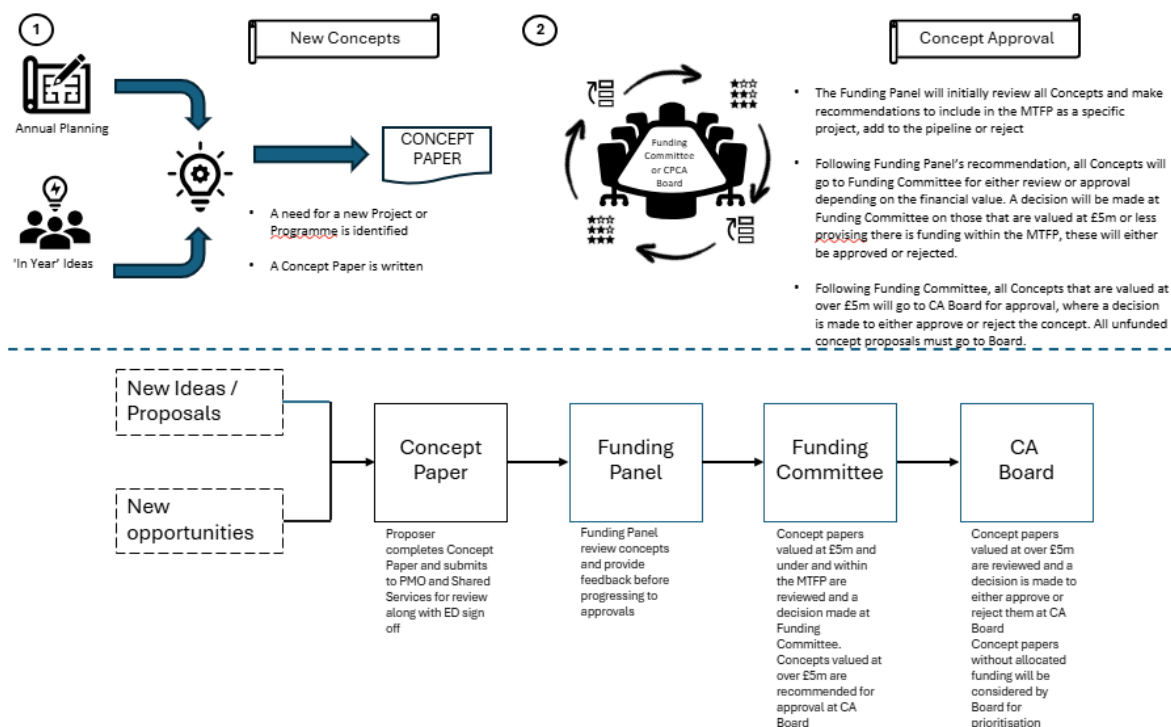
5.3.6 **New Funding Opportunities** - It is possible that in-year there may be further unexpected funding opportunities that need to be pursued because of new or changes to existing Government initiatives and priorities or where there is a need to address emerging priorities. Initially, these opportunities will be discussed at the Corporate Management Team and may involve engagement with the Cambridgeshire and Peterborough Public Service Board which contains all the Constituent Council Chief Executives, or the various informal officer governance groups that exist containing key Constituent Council Officers.

- 5.3.7 Where such opportunities arise, the proposer must attain sign off from the S73 Officer prior to bidding for the funding. If the bid is successful, the project or programme will be included within the MTFP as subject to approval and if it is ringfenced funding it will move straight to Business Case stage to draw down the funds.

5.4 SAF Phase 1: Concept to Pipeline Approval (the Initiation Phase)

- 5.4.1 Phase 1 of the SAF is the first step towards developing a business case. This is where ideas, proposals or ambitions are developed into concepts for consideration. Proposals are required to complete a Concept Paper which must go through Concept consideration before they can progress to the project development phase.
- 5.4.2 The Concept Paper provides a consistent entry point into the Single Assurance Framework that intends to provide the required information to enable early assessment, prioritisation and consideration by the Corporate Management Team, the Funding Panel and by CPCA Board or Funding Committee.
- 5.4.3 There are two exceptions to developing a concept. The first is if the project is ringfenced and cannot be spent on anything else. The second is if the project is already in the MTFP as subject to approval, as the Board through budget setting has already agreed for its inclusion within the budget confirming it as a strategic fit.
- 5.4.4 Items that have gone through the strategic planning process and have been identified for inclusion within the Corporate Plan are added to the pipeline, and as per in year ideas they would need to complete concept papers and then added to the MTFP.
- 5.4.5 The Concept Paper process operates as follows:

Illustration D: Concept Proposal Process



- 5.4.6 The information required for the Concept Paper is deliberately not onerous in order to support submission of Concepts from partners, it requires key information to be provided that includes a stand-alone summary of the concept which includes a brief description, detailed description, impact of not proceeding, timelines, financials, benefits and risks, assumptions, issues and dependencies.
- 5.4.7 The process for the Concept ensures that it engages core areas of the Combined Authority to enable subject matter expert engagement from an early stage from the relevant CPCA Business Area, Legal and Finance.
- 5.4.8 Once completed the Concept Paper must be supported by the directorate ED to progress into the SAF, and if it is then it is considered by the Funding Panel.
- 5.4.9 The Funding Panel will consider Concepts within the context of Corporate Priorities and the Medium-Term Financial Plan (MTFP) to make recommendations to the relevant approver.
- 5.4.10 The relevant approver will then consider the Funding Panel recommendations and decide on what should be approved to be included in the MTFP for development, be added to the pipeline for future development or should be rejected.
- 5.4.11 **The Principle of Approval** - Key to the end of SAF Phase 1 is the principle of approval which applies to both SAF entry points. The principle of approval refers to the Combined Authority provided approval of concepts and the Corporate Plan for item to enter the business case development phase.
- 5.4.12 This ensures that all items on the Combined Authority pipeline or in the Corporate Plan have both political support through the Board principle of approval of concepts over £5million, and Funding Committee approval of concepts £5million and below, and Funding Panel support when they enter the business case development phase.
- 5.4.13 The Combined Authority Pipeline records all project activity where projects are in a stage of development and delivery. The pipeline will set out details of the project along with the stage it is at, whether external funding is being bid for or being offered by the sponsoring Government department.
- 5.4.14 If an unfunded concept is submitted, then it will go to the Board regardless of value to approve funding options.
- 5.4.15 These approval processes also involve an option of escalated progression to support decision-makers if they have any concerns regarding a concept, business case or change request approval that has a significant reputational and/or political risk. In such circumstances approvals can be escalated to Chief Executive, Funding committee or the Combined Authority Board for final approval as appropriate.

5.5 SAF Phase 2: Business Case Development

The development phase comes after phase 1. This is the phase where the relevant business case(s) is/are developed, and where out of Business Area assurance activity takes place prior to the business case progressing onto the approvals stage.

- 5.5.1 This stage needs to be repeated whenever a business case is developed and requires approval. Support and guidance through this stage is provided by the PMO who include assurance and appraisal expertise.
- 5.5.2 The business case is developed (or managed where development is led outside the Combined Authority) by the sponsoring Business Area, ensuring that its content, meets the required standard defined within the Combined Authority guidance in addition to meeting the requirements of the SAF, HMTs five case model Green Book compliance and meeting Combined Authority specific requirements on GVA. It also should seek alignment to Policy Aims and Objectives, whilst meeting any funding requirements and/or other milestone dates/requirements.
- 5.5.3 Where the delivery partners are external to the Combined Authority, they will be supported through the process by the lead Business Area within the Combined Authority. The delivery partner will use the appropriate business case guidance and templates provided and engage the Subject Matter Experts (SMEs) and technical appraisers. The SMEs to be engaged in the development stage include the PMO for

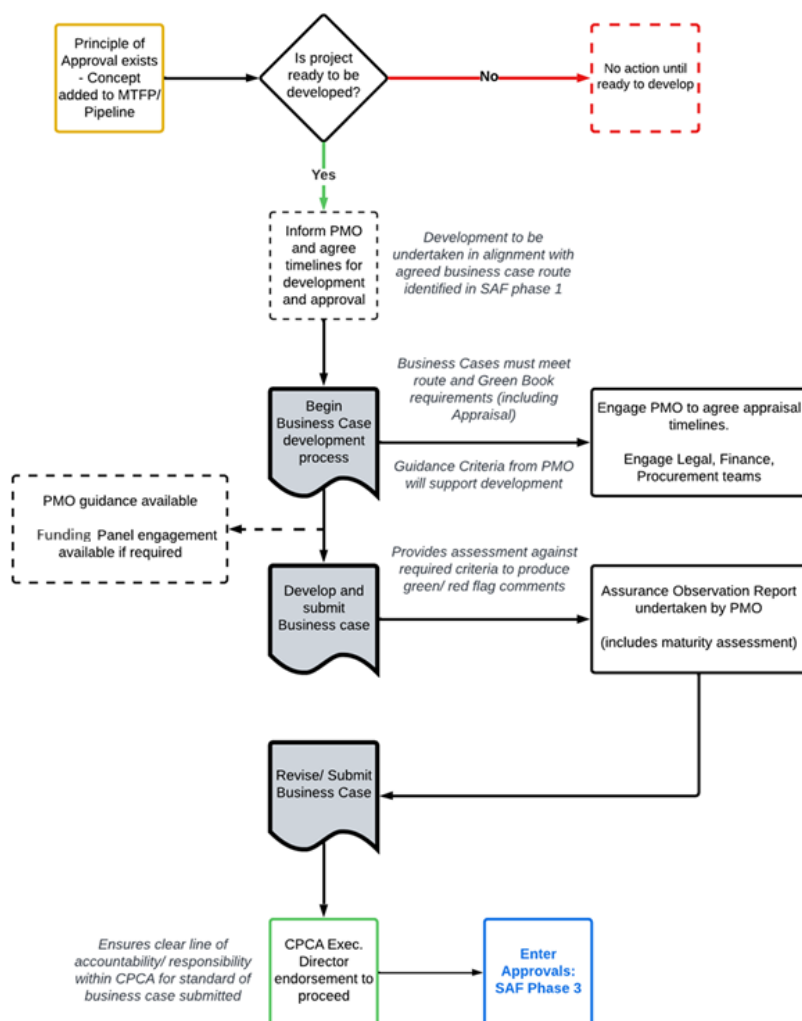
Assurance and Appraisal, Finance, Legal, Procurement, HR, Policy, and Comms who should all input into the business case, and it is review prior to approval.

- 5.5.4 The lead Business Area is responsible for ensuring they, any partners, or the sponsor meet deadlines, engage the appropriate subject matter experts and technical appraisers, and adhere to required formats when developing a business case.
- 5.5.5 The PMO team can provide advice on the requirements of the SAF if needed, at the start of and during the Business Case development stage. Sponsors must ensure their business case is developed and is aligned with any external development and assurance requirements (driven by Government Departments), with the aim to eliminate duplication of effort.
- 5.5.6 Early engagement with the PMO will ensure required assurance and appraisal is undertaken and ensure that any recommendations can be addressed and business cases updated within the timescales agreed.
- 5.5.7 **Business Cases** - The business case templates and criteria are designed to ensure necessary compliance, drive standards of project development and better enable delivery. They are important as projects will only deliver intended benefits if they have been developed appropriately, proportionately and to a high standard with appropriate scoping, planning and costs justified from the outset. These Business Cases will require detailed evidence on the options, designs, delivery, and outcomes of the project, along with strategic fit and value for money information to enable informed decision making.
- 5.5.8 As stated above, business cases will set out the options available. This will be done in line with Green Book and will include appraisal of shortlisted options including a do minimum option.
- 5.5.9 An option that only meets the core “Business Needs,” is known as the “Do Minimum” option. The do minimum does not take advantage of any opportunities for additional changes that may occur. It may or may not be the option eventually chosen, but it is essential because it provides a second important benchmark that can reveal the real value of additional changes.
- 5.5.10 Business case development expertise can be provided by the PMO or procured externally to ensure HMTs five case model is adhered to, all business cases must be prepared using CPCA templates and according to the following elements:

Five Case Model	Description
Strategic Case	The strategic case sets out the rationale for the proposal; it makes the case for change at a strategic level. It should set out the background to the proposal and explain the objective that is to be achieved.
Economic Case	The economic case is the essential core of the business case and should be prepared according to Treasury’s Green Book guidance. This section of the business case assesses the economic costs and benefits of the proposal to society, and spans the entire period covered by the proposal.
Commercial Case	The commercial case is concerned with issues of commercial feasibility and sets out to answer the question “can the proposed solution be effectively delivered through a workable commercial deal or deals?” The first question, therefore, is what procurement does the proposal require, is it crucial to delivery and what is the procurement strategy?
Financial Case	The financial case is 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 and is sometimes referred to as programme management or project management case. The management case must clearly set out management responsibilities, governance, and reporting arrangements, if it does not then the business case is not yet complete. The Senior Responsible Owner should be identified.

- 5.5.11 The business case development process operates as follows:

Illustration E: Business Case Development Process



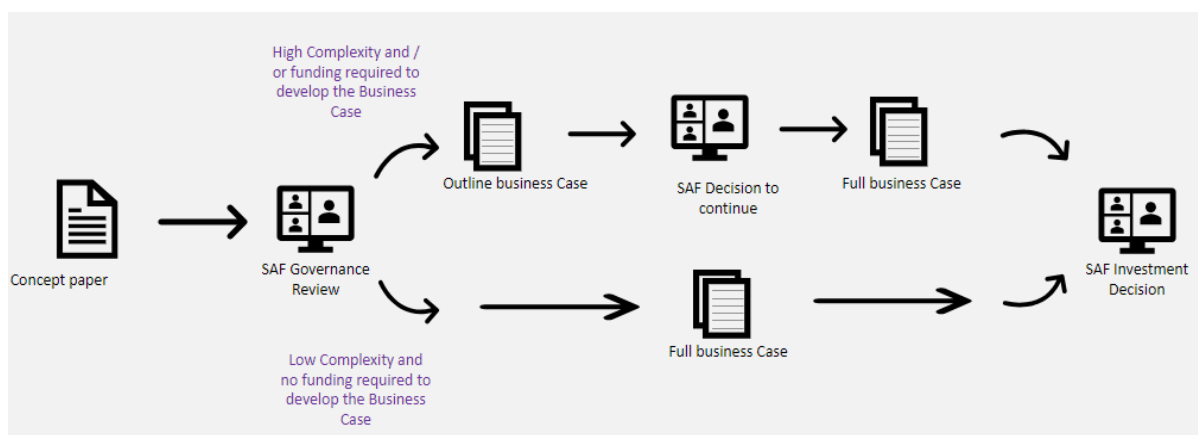
- 5.5.12 The increasing levels of assurance required to assist approval of a business case are set out in the Approvals: SAF phase 3 section.
- 5.5.13 Business cases will be appraised in line with external requirements and in line with HMT Green Book guidelines covering the assessment of costs, benefits, risks, and alternative ways to deliver objectives, and the Combined Authority strategic objectives.
- 5.5.14 The key appraisal steps are as follows:
- Preparing the strategic case which includes the strategic assessment and making the case for change, quantifies the present situation and Business as Usual (the BAU) and identifies the SMART objectives. This rationale is the vital first step in defining what is to be appraised. Delivery of the SMART objectives must drive the rest of the process across all dimensions of the Five Case Model as explained throughout the Green Book guidance
 - Longlist analysis using the options framework filter considers how best to achieve the SMART objectives. Alternative options are viewed through the lens of public service provision to avoid bias towards preconceived solutions that have not been rigorously tested. A wide range of possibilities are considered, and a viable shortlist is selected including a preferred way forward. These are carried forward for further detailed appraisal. This process is where all complex issues are considered and is the key to development of optimum Value for Money proposals likely to deliver close to expectations
 - Shortlist appraisal follows and is at the heart of detailed appraisal, where expected costs and benefits are estimated, and trade-offs are considered. This analysis is intimately interconnected to the, Strategic, Commercial, Financial, and Management dimensions of the five-case model, none of which can be developed or appraised in isolation.

- Identification of the preferred option is based on the detailed analysis at the shortlist appraisal stage. It involves determining which option provides the best balance of costs, benefits, risks and unmonetisable factors thus optimising value for money
- Monitoring is the collection of data, both during and after implementation to improve current and future decision making
- Evaluation is the systematic assessment of an intervention's design, implementation, and outcomes. Both monitoring and evaluation should be considered before, during and after implementation

5.5.15 A proportionate approach is taken to the overall level of appraisal to reflect the financial ask.

5.5.16 There is a requirement for an Outline Business Case prior to a Full Business Case if there is high complexity and/or funding is required to develop the full business case. If the project is low complexity and no funding is required to develop the Business Case, then only a Full Business Case is required. The PMO, submitting Executive Director and Funding Panel will advise on the route.

Illustration F: Business Case Development Route



5.5.17 A proportionate approach is also taken to projects that meet external funding requirements. In the case where projects develop business cases for government departments, within a template specified by them or a TAG compliant template, then we will not ask for the SAF business case template to also be developed. The requirement will be to complete a cover page that is added to the front of the document, this will cover any details not found in an external business case such as what the CPCA shared services requirements to deliver the project. Where a detailed bid has been submitted to government then as long as it meets the principles of the 5-case model then this may be viewed as an equivalent of an FBC and submitted with a cover page.

5.6 SAF Phase 3: Approvals

Phase 3 of the SAF is the business case approvals phase, this focuses on approval of the business case that has been developed following the principle of approval provided at the beginning of the process by the Combined Authority Board.

5.6.1 The approvals phase has been designed to ensure a level of assurance can be provided to the Combined Authority relevant to the level of financial commitment. To support this and achieve better informed decision-making the SAF has been developed to enable:

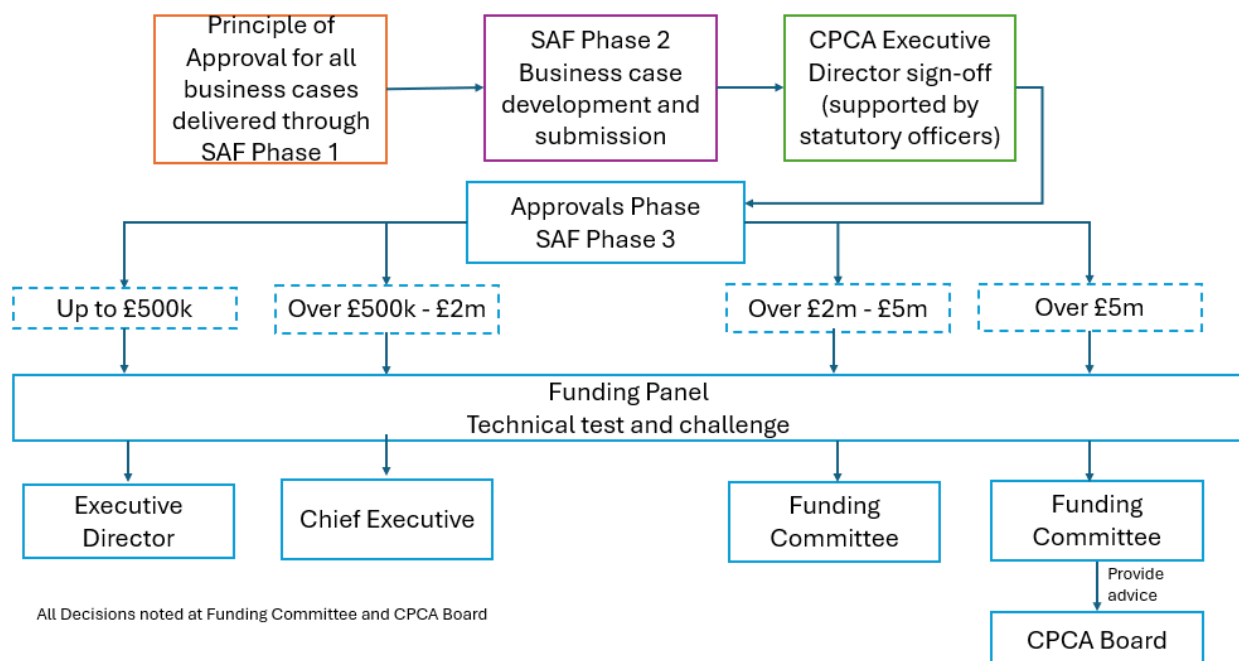
- appropriate front end initiation process through concept development that drives strategic fit
- proportionate business case development process that meets national and Combined Authority standards of best practice development
- appropriate use of expertise within Business Areas to help develop required business cases
- an upskilled PMO offer to provide support and guidance throughout the SAF
- Use of out of Business Area/second line of defence assurance principles and processes to assess the maturity of business cases and undertake proportionate appraisal
- Technical Officer support through an Investment Panel to focus Funding Committee and Board considerations and inform the decision-making process.

- 5.6.2 The approvals process is therefore supported through delivery of the following elements of assurance prior to entering the approvals phase:
- Front end Concept development process that seeks Corporate Management Team support, ensures Combined Authority core area involvement from an early stage, and delivers technical officer assessment via Funding Panel consideration and recommendation on Concept progression.
 - Executive Director signs off on papers prior to Funding Panel, in consultation with the Mayoral team.
 - Delivers a Principle of Approval by ensuring the Combined Authority Board or Funding Committee provides an approval for a concept to enter the business case development phase either through inclusion within the Corporate Plan or via approval of in-year concept proposals
 - Delivers business cases that must be developed in alignment with HMTs Green Book and Combined Authority standards regarding strategic fit that drive value for money considerations and quality of content within business cases
 - Delivers second line of defence appraisal of business cases in line with HMTs Green Book
 - Delivers an objective Assurance Observation report from the PMO on all business cases to inform Executive Directors in progressing them to the approvals phase and assuming responsibility for their content.
- 5.6.3 This approach is designed to enable:
- decision-makers at all levels to base their decisions upon objective, evidence-based out of Business Area findings and recommendations- in turn driving better decision-making
 - increased Executive Director ownership and accountability
 - increased Statutory Officer involvement and accountability
 - increased levels of assurance and appraisal support and guidance
 - the time taken to reach an approval decision being reflective of the level of the financial ask linked to appropriate due diligence at Panel and that the funding has already been approved within the MTFP.
- 5.6.4 **Approval Routes** - The required approval route for business cases is dependent upon the level of financial approval that is required. The Combined Authority has the following business case approval delegations:
- £0.5 million and below: Executive Director approval (in agreement with the S73 Officer and Monitoring Officer)
 - Over £0.5 million and up to £2 million: Chief Executive approval
 - Over £2 million and up to £5 million: Funding Committee approval
 - Over £5 million: Combined Authority Board approval
- 5.6.5 Note – If an officer considers, for any reason, that they should not or cannot exercise their delegation in the approval route process then they may refer the matter to the next approval level as appropriate. For example, if the Chief Executive decided not to exercise their delegation in a matter they could refer the decision to the Funding Committee.
- 5.6.6 These approval routes are supported by the Funding Panel which is a Technical Officer group who provide technical test and challenge of all business case proposals, and make recommendations to the relevant approver.
- 5.6.7 If an unfunded concept is submitted, then it will go to the Board regardless of value to approve funding options.
- 5.6.8 These approval routes are supported by the Funding Panel which is a Technical Officer group who provide technical test and challenge of all concept and business case proposals to the relevant approver.
- 5.6.9 The Funding Panel review all business case proposals. They do this by:
- reviewing a proposal from a basis of HMTs five case model to ensure that it has been developed to an appropriate standard

- highlight key lines of enquiry to identify the key issues, key questions, and key areas of concern within a business case proposal. This will determine what the key lines of enquiry should be for the Funding Committee to consider from a technical perspective
- provide observations and recommendations to the Funding Committee on business case approvals. The Funding Panel will draw conclusions on the level of risk that it believes applies to approving a proposal and make observations and recommendations on that level of risk and how it can be improved.

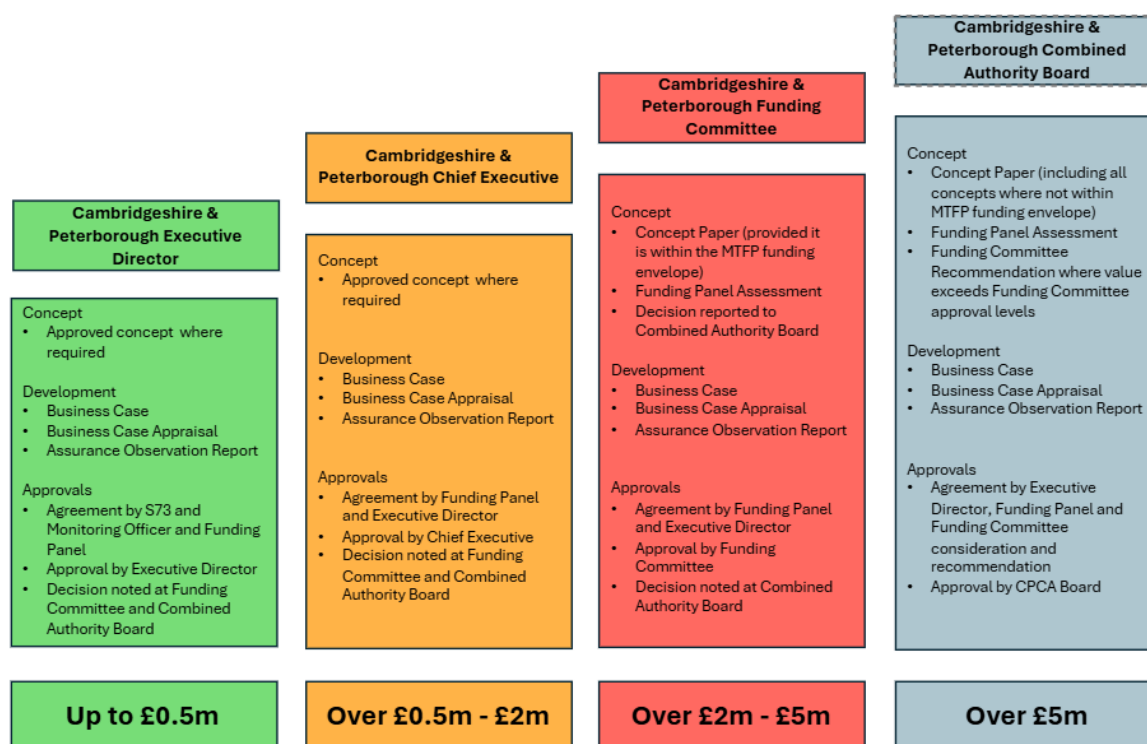
- 5.6.10 Funding Panel members will be expected to not only push the key lines of enquiry relevant to producing a quality business case but also in ensuring that agreed priorities of the CPCA have been adequately addressed.
- 5.6.11 The Funding Committee will take on board the advice provided by the Funding Panel in coming to a decision on approval for business cases.
- 5.6.12 All decisions will be either approved or noted at Funding Committee and Board depending on delegated levels of approval.
- 5.6.13 The purpose of this tolerance is to ensure that the Combined Authority Board has the final say on approvals for projects where there is not a high value for money score, allowing them to consider if non-monetised benefits that impact the strategic objective deliverables outweigh the value for money score and therefore should be approved.
- 5.6.14 In such circumstances the Combined Authority Board would receive a recommendation to assist them in their deliberations in line with the approval delegations.
- 5.6.15 These approval processes also involve an option of escalated progression to support decision-makers if they have any concerns regarding a business case approval that has a significant reputational and/or political risk. In such circumstances approvals can be escalated to the Combined Authority Board for final approval in line with the approval requirements set out in 5.6.

Illustration G: Approval Process



- 5.6.16 **The required SAF documentation**
The process illustrates that the level of approval required is determined by the level of financial commitment, the following diagram provides an overview of the documentation that is needed depending on the approval route that needs to be taken:

Illustration H: Increasing scale of Assurance



5.6.17 **Approvals £0.5 million and below** – Concept papers cannot be approved solely by officers. Therefore, any concepts requiring approval at this level are to be approved by the Funding Committee, or Board if no funding is identified within the MTFP. Business Cases where funding is aligned to the MTFP are approved by the relevant CPCA Executive Director in agreement with the S73 Officer and Monitoring Officer.

5.6.18 **Approvals over £0.5 million and up to £2 million** - Concept papers cannot be approved solely by officers. Therefore, any concepts requiring investment at this level are to be approved by the Funding Committee, or Board if no funding is identified within the MTFP. Business cases where funding is aligned to the MTFP are progressed to the Chief Executive for approval via a sign-off by the relevant CPCA Executive Director.

5.6.19 **Approvals over £2 million and up to £5 million** – Concept papers and Business cases will be taken to Funding Committee for approval provided funding is set out within the approved MTFP.

5.6.20 **Approvals over £5 million** - Both concept papers and business cases over £5 million can be approved by the Board.

5.6.21 **Concepts without MTFP funding approved** must be taken to Board for consideration and prioritisation.

5.6.22 All projects at concept and business case stage, as well as all change requests, will continue to go through the Funding Panel in the first instance as part of the approval process. This ensures that no project or programme can be delivered or changed without CMT, shared services, S73 officer and the Monitoring Officer awareness and feedback. This helps remove siloed working and creates effective and efficient reporting processes.

5.6.23 Business Case routes are based on the CPCA contribution value for the full project, the total expected spend of CPCA funds from inception to completion.

5.6.24 **Programme Business Case** – When a programme is initiated and a programme business case is developed; it goes through the same route as a project business case. A programme may be established when there are strategically linked series of projects with common goals and collective benefits/outcomes, with one overarching project plan and a centrally managed budget.

5.7 Subsidy Control - The Combined Authority will ensure that all projects meet Subsidy Control law. Formerly termed as State Aid is at present primarily governed by the United Kingdom's commitments as set out Chapter 3 of Title XI of Part 2 of the Trade and Co-operation Agreement between the European Union and the European Atomic Energy Community and the United Kingdom as given effect by the European Union (Future Relationship) Act 2020, including commitments on subsidies arising from the UK's membership of the World Trade Organisation (including but not limited to the Agreement on Subsidies and Countervailing Measures, the Agreement on Trade-Related Investment Measures, the General Agreement on Trade in Services and the Agreement on Agriculture).

5.8 Management of Contracts

Following Approval, the Legal Team will send out a Funding Offer Letter, which includes the following: Project Name, Applicant, Maximum Funding Contribution (£), with details regarding when payment was to be issued. (Usually connected to milestones), what is Eligible Expenditure, Commencement and Completion dates.

5.8.1 Contracts are managed within the individual Combined Authority Business Areas to provide a link to the outputs and outcomes of the projects/programmes.

6 Delivery, Monitoring and Evaluation

6.1 Release of Funding - The Combined Authority S73 Officer must sign off Grant Offer Letters and certify that funding can be released under the appropriate conditions.

6.1.1 Funding claims submitted to the Combined Authority are checked against the approved project baseline information, which is included within the original funding agreement/contract. Payments will be released quarterly in arrears unless otherwise agreed.

6.1.2 A mechanism for 'claw-back' provision is to be included within the funding agreements/contracts to ensure funding is spent only on the specified scheme and linked to delivery of outputs and outcomes. Payment milestones are agreed between the project manager and the Combined Authority based upon the complexity, cost, and timescales of the scheme. This forms part of the programme management role of the Combined Authority.

6.2 Performance Reporting - The Combined Authority Performance Management Framework (2025-29) works in close alignment with the Single Assurance Framework (SAF), to ensure that there is a consistent, streamlined and joined-up approach to performance. The Framework sets out our performance management approach, governance, and processes.

6.2.1 Once projects and programmes are approved through the SAF and delivering outputs beyond the development phase they begin highlight reporting. Projects in pre-delivery stages are not required to report but reports may be requested by the Executive or Assistant Director. The full reporting requirements are within the Performance Management Framework.

6.2.2 The SAF principle that all projects are submitted or changed centrally through the Funding Panel regardless of value is key to the Combined Authority effective and efficient reporting. The Programme Management Office coordinates the Funding Panel meetings and logs all work coming through the organisation and any changes. This allows the Programme Management Office to keep the Single Project Register updated without the need to reach out to services ad hoc. It also allows the Programme Management Office to know which projects need to report which will inevitably assist stronger reporting processes, and it also gives the CPCA live data on projects and programmes that are on or off track.

6.2.3 The English Devolution Accountability Framework (EDAF), published in March 2023, provides guidance on how Mayoral Combined Authorities should be accountable to local scrutiny, the public, and the UK government. Our Performance Management Framework supports us to comply with the standards in the EDAF, and how the Combined Authority is seeking to go beyond the spirit of EDAF in delivering good governance and strong measures of accountability.

6.2.4 The document includes how we are accountable to:

- Local Scrutiny – through corporate performance reporting, thematic committee reporting, directorate business plan reporting, and project reporting
- The Public – through Committee Meetings, Mayoral Question Time, Social and Digital Media, Engagement with Partners and the State of the Region Report and Dashboard
- UK Government – through reporting to various UK Government Departments including Ministry of Housing, Communities and Local Government, Department for Education and Department for transport.

6.2.5 The Combined Authority is committed to implementing an organisation-wide performance management culture and driving and embedding a culture of continuous improvement.

6.2.6 The SAF has been developed to simplify and support process including performance reporting, this is reflected in reporting requirements. Where the Combined Authority is the lead funder, reporting on development and delivery must be done through the Combined Authority reporting mechanisms and requirements.

6.2.7 Where the Combined Authority is a part funder the Combined Authority will utilise the primary performance reporting process for the project, i.e. the performance reporting produced by a

Constituent Authority where they are lead funder. Such arrangements will be developed and agreed as part of the business case.

6.3 Risk Management - The Combined Authority Performance Management Framework (2025) forms a part of the Single Assurance Framework (SAF), to ensure that there is a consistent, streamlined and joined-up approach to risk. The Framework sets out our Risk Management approach, governance, and processes.

- 6.3.1 The Risk Management Framework has been based upon the principles of the HMT Orange Book (2023), these are governance, integration, collaboration, processes, and continual improvement. The objective of the framework has been to adapt these principles to the Combined Authority’s ways of working, ensuring compliance with our Single Assurance Framework.
- 6.3.2 The Orange Book states that, in successful organisations, risk management enhances strategic planning and prioritisation, assists in achieving objectives and strengthens the ability to be agile to respond to the challenges faced. Therefore, if we are serious about meeting our objectives successfully, improving service delivery and achieving value for money, risk management must be an essential and integral part of planning and decision-making.
- 6.3.3 The document includes:
 - Our Corporate Risk Appetite
 - Escalation procedure
 - Roles and responsibilities
 - The various levels of risk management at a Corporate, Service and Project/Programme level
 - Our processes and tools within our risk procedure document
- 6.3.4 The CPCA is committed to implementing an organisation-wide risk management culture that exemplifies high levels of risk maturity and best practice in the identification, evaluation, and effective management of risk in respect of current activities and new opportunities.
- 6.3.5 The Chief Executive, in partnership with the wider Corporate Management Team (CMT), is accountable for ensuring that corporate risk management is being completed to the appropriate standard in line with the Risk Management Framework. This includes ensuring risks are captured and updated and that mitigating actions have been completed. CMT review the risks on the register monthly.
- 6.3.6 The Combined Authority’s Programme Management Office (PMO) manage and coordinate risk reviews, as well as collating information to support effective decision making and developing the associated risk reports. The PMO support the Audit and Governance Committee and Board to consider the management of risks, and how the risks are integrated with discussion on other matters.
- 6.3.7 The Audit and Governance Committee is responsible for overseeing the Authority’s Risk Management Framework and Procedures and the Corporate Risk Register, to ensure that risk management is being done to the appropriate standard and in line with the Risk Management Framework.
- 6.3.8 The Combined Authority Board adopt the Risk Framework, receive any recommendations from Audit and Governance, identify and propose new strategic risks and propose amendments to the register.
- 6.3.9 The full roles and responsibilities are set out in the Risk Management Framework.

6.4 Change Requests and Funding Clawback - Change Control is the process through which all requests to change the approved baseline of a project, programme or portfolio are captured, evaluated, and then approved, rejected, or deferred. A Change Request Form is required when the tolerances that were set out in the approved Business Case are or will be breached. These include changes to Time, Cost and Scope

Cost, Time or Scope change	Type of change	Approver
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Time only	<3 months change	Executive Director
	>3 months change	Approval aligned to the value of the re-profiled sum and approval levels for CEX/Committee/Board. Board to approve overall MTFP review and realignment.
Scope only	Scope only - No change to budget	Approval by CEX/Funding Committee/Board at business case approval levels (e.g. CEX £2m) aligned to the value of the project in CPCA programme
Cost*	If funded from aligned programme budget in MTFP	In line with SAF delegation limits (based on value of the cumulative change)
	If unfunded in MTFP	Board to approve funding options

**Any budget virements, outside allocations from thematic budgets, must be approved in line with the Constitution (CFO up to £0.5m, Board - £0.5m and over)*

6.4.1 *Early Warning Notifications should be reported to the Funding Panel at the earliest opportunity.*

Change Request routes are based on the total amount required above the original baseline. This is the cumulative total.

Funding clawback and recovery processes for under-performing projects is clearly addressed in the funding agreement/contract.

6.4.2 If an officer considers, for any reason, that they should not or cannot exercise their delegation in the approval route process then they may refer the matter to the next approval level as appropriate. For example, if the Chief Executive decided not to exercise their delegation in a matter they could refer the decision to the Funding Committee.

6.5 Monitoring and Evaluation - The Combined Authority Monitoring and Evaluation Framework has been developed in accordance with HMTs Magenta (Guidance for Evaluation) and Green (Guidance on Appraisal and Evaluation) Books. The overall approach to monitoring and evaluation is underpinned by the following key principles:

- Alignment to Government best practice guidelines
- Monitoring and evaluation to be a core part of all activities, with all projects, strategies and plans subject to meaningful and proportionate monitoring and evaluation
- At the outset, evaluation requirements will be agreed for new projects through the SAF concept/business case stages
- Partnership / co-design of monitoring and evaluation for projects and programmes, with clearly defined roles and responsibilities
- Continuous improvement / organisational learning from projects and programmes, including lessons learned and disseminating evaluation data and findings
- Data to be collected once and used many times, with baseline information and evidence base to be consistent across key initiatives.

6.5.1 All projects that go through the SAF, will have an effective monitoring and evaluation plan in place which will form a key part of the business case. This will help assess the effectiveness and impact of investing public funds, and the identification of best practice and lessons learnt that can inform decisions about future delivery.

6.5.2 The monitoring and evaluation plan will guide the collection of data from individual projects and will be designed to ensure that it meets the requirements of both the Combined Authority and the Government. This framework aims to ensure that these commitments are delivered by setting out the approach, principles, role and responsibilities for the monitoring and evaluation of projects and programmes both in the Devolution Deal and within any wider Combined Authority activity.

6.5.3 The monitoring plans will be proportionate and in line with the latest government department guidance where relevant. The draft plans are created by the project manager and then consulted upon with the Policy, Insight and Performance team (who own the M&E Framework and ensure consistency and quality of plans). Plans are then signed off as per the governing arrangements for that specific project.

- 6.5.4 The Combined Authority has a varied level of evaluation depending on the nature of each project as per the Monitoring and Evaluation Framework, this will depend on the following questions:
- A1) Is the project funded through devolved Investment Fund funding (our core Gainshare agreement with central government to devolve £20m per year over 30 years)? If so, it is subject to the agreed 'Gateway Review' independent National Evaluation Framework and Local Evaluation Framework processes.
 - A2) Is the project funded through other streams and identified as being 'key' in terms of the expected benefits to be achieved. If so, it is subject to a full independent evaluation commissioned by the CPCA locally.
 - A3) Is the project funded through an external Grant Funding Agreement which includes specific evaluation requirements? If so, the evaluation undertaken must comply with these requirements as a minimum standard.
 - B) Is the project identified as one where significant learning is available that would help to inform future policy making either locally or nationally. This will include projects that are innovative or considered 'pilots'. If so evaluation work in this case would either be commissioned independently or carried out locally within the public sector.
 - C) Other projects not included above would be subject to minimal 'self-evaluation' based on submitted business cases. The funding partner may be responsible for this.

6.6 Importance of Monitoring and Evaluation - The Combined Authority is committed to effective monitoring and evaluation so that it can:

- **Provide local accountability to the public** by demonstrating the impact of locally devolved funding and the associated benefits being achieved.
- **Provide accountability to Government** and comply with external scrutiny requirements i.e. to satisfy conditions of the Devolution Deal. Specifically, the Monitoring and Evaluation Framework will be used to demonstrate local progress and delivery to senior government officials and Ministers who are accountable to parliament for devolved funds.
- **Support the consistent tracking of progress of projects and programmes**, ensuring that intended outputs are being achieved and that potential corrective action is assessed and taken where progress is off track. **Understand the effectiveness of policies or investments** and to justify reinvestment or modify or seek alternatives. The Monitoring and Evaluation Framework provides a feedback loop for the Authority and relevant stakeholders. This includes performance measurement on the impact of outcomes from specific funding programmes which the Combined Authority is the Accountable Body.
- **Develop an evidence base for input into future business cases and for developing future funding submissions.** The Monitoring and Evaluation Framework requires the collection, collation and analysis of data which can inform future work and can be used as benchmarks in relation to the economic impact of particular interventions.

- 6.6.1 Lessons learnt from evaluation will be reported to the Combined Authority Board and across the governance framework as required.
- 6.6.2 The Monitoring and Evaluation Framework itself will undergo annual review by the Audit and Governance Committee to ensure that it is fit for purpose and working effectively. The Combined Authority Board will be asked to approve any significant amendments to the Monitoring and Evaluation Framework.

7 Annex Section –further information for Transport, Adult Skills and Greater South East Net Zero Hub project approval

7.1 Transport Projects

- 7.1.1 Transport business cases will be produced in a format and structure which is appropriate to the individual scheme (often linked to Department for Transport requirements) but should then be used as the basis from which to complete the appropriate Board templates or additional documentation checklists.
- 7.1.2 The SAF ensures a flexible and proportionate approach, enabling transport business cases to retain the benefits of local assurance in terms of proportionate documentation and speed of decision making.
- 7.1.3 For transport infrastructure schemes, the Combined Authority will ensure that modelling and appraisal is sufficiently robust and fit for purpose for the scheme under consideration, and that modelling, and appraisal meets the guidance set out in Transport Analysis Guidance (TAG).
- 7.1.4 TAG is the Department for Transport's web based appraisal guidance and toolkit which can support transport modelling and appraisal methods that are applicable for highways and public transport interventions. These enable analysts to build evidence to support business case development, which in turn can inform investment funding decisions
- 7.1.5 Furthermore, the Combined Authority will ensure value for money and transparency of transport schemes through the following:
- Transport Project Business Case assessments will be based on forecasts which are consistent with the definitive version of the National Trip End Model (Department for Transport's planning dataset). The Authority will also consider alternative planning assumptions, which are in line with its devolution ambition, as sensitivity tests in coming to a decision about whether to approve a scheme
 - The appraisal and modelling will initially be scrutinised by the external Highways Authority delivery partner planning lead to ensure it has been developed in accordance with the TAG. Independent Value for Money (VFM) Assessment and Business Case Assurance, for all Growth Deal funded schemes and Single Pot Transport projects with a project value greater than £5m will be carried out by a contracted business case assurance contractor. Single Pot funded transport projects with a value below £5m will be considered on a case-by-case basis and in cases of strategic impact or project complexity, an independent value for money statement will be undertaken on a proportionate and appropriate basis
 - Options development will utilise previous studies and reports as well as stakeholder engagement. This approach will enable a broad range of measures to be established for consideration when establishing the long list and will include a Do Minimum option.
 - An option that only meets the core "Business Needs" previously identified as the internal changes needed to meet the core requirement of achieving the SMART objectives, is known as the "Do Minimum" option. The do minimum does not take advantage of any opportunities for additional changes that may occur. It may or may not, be the option eventually chosen, but it is essential because it provides a second important benchmark that can reveal the real value of additional changes.
 - The sifting from long list to short list will be based on the criteria used in the Department for Transport Early Assessment Sifting Tool (EAST). At the sifting stage discarding of options will be based on whether those options:

- i) meet the resolution of the issue;
- ii) achieve the strategic and local objectives and
- iii) is deliverable and technically sound.

7.1.6 A scoring mechanism will be used, usually during a workshop environment, where options are appraised and assigned a negative or positive score. This facilitates an initial ranking of options and unfeasible options will be removed. Further engagement with stakeholders will then be undertaken to facilitate further sifting from the initial long list to a shorter list

- The short-listed options will then be considered at a technical level and a recommendation provided within the Business Case and supporting papers presented to the Combined Authority Board who are empowered to make funding decisions
- The Combined Authority will endeavour to always maximise value for money with public funds. This will not always be the same as selecting the shortlisted option with the highest Benefit Cost Ratio (BCR), as there may be unmonetisable benefits and risks that outweigh the lower ratio of monetisable benefits and costs, for example higher contract or delivery risks.
- The appraisal of unmonetisable benefits should be carried out in accordance with the Green Book, DfT's TAG guidance and DfT's value for money framework. The rationale on which a decision is made will be recorded through a combination of the papers presenting the options to the decision maker, and any minutes recording the discussion of the meeting at which the decision was made.
- The Combined Authority acknowledges that there may be cases when the best value way of delivering a project in order to achieve its strategic objectives may have a BCR which is not as strong as the BCR of alternatives which do not align as clearly with the Authority's strategic objectives set out in key policies including the Local Transport Plan. Despite this, it is then for the Combined Authority Board to make a judgement on whether the achievement of those strategic objectives is worth the cost to the Combined Authority
- Decisions will be taken appropriate to scheme phase and greater scrutiny and emphasis on VfM will be undertaken as schemes progress through the process, with greater scrutiny of the Full Business Case VfM.
- Business case publication is notified in advance within the Forward Plan as a minimum, published on the Combined Authority website and then published as part of submission for decision approval at the relevant decision-maker in line with approvals set out in section 5.6, before a decision to approve funding is made so that external comment is possible. Opinions expressed by the public and stakeholders are made available to relevant members or boards of either Business or Combined Authority Boards when decisions are being taken. The Forward Plan is formally approved at each monthly meeting of the Combined Authority Board.
- Business Case publication throughout the lifecycle shall be done in accordance with the transparency arrangements set out in the constitution and this framework.

7.2 Adult Skills Fund (ASF)(formally known as the Adult Education Budget AEB)

7.2.1 A relevant order transfers adult education functions under section 86 to 88 of the Apprenticeships, Skills, Children and Learning Act 2009 ('the 2009 Act') with the exception of such functions relating to apprenticeships training, adult detention or any power to make regulations or orders. The functions under section 86 to 88 are as follows, and will be exercisable by the Authority:

- a) section 86 (education and training for persons aged 19 or over and others subject to adult detention);
- b) section 87 (learning aims for persons aged 19 or over: provision of facilities);
- c) section 88 (learning aims for persons aged 19 or over: payment of tuition fees)

7.2.2

The order also provides for the transfer of the Secretary of State's functions under section 90 of the 2009 Act which relate to the encouragement of education and training for persons aged 19 or over,

- 7.2.3 and section 100(1) of the 2009 Act which relates to the provision of financial resources, to be exercisable by the Authority in relation to its area. These functions are exercisable by the Authority concurrently with the Secretary of State.
- 7.2.4 The order contains conditions on the exercise of the transferred functions, namely that in addition to the requirement to have regard to guidance, that the Authority must adopt rules of eligibility for awards by an institution to which it makes grants, loans or other payments under section 100 of the 2009 Act in accordance with any direction given by the Secretary of State.
- 7.2.5 CPCA has developed the [Adult Skills Commissioning Strategy 2025 – 2028](#) which replaces the existing Adult Education Budget Commissioning Strategy 2020-2025. The Adult Skills Commissioning Strategy 2025 sets out the strategic vision and priorities for all skills funding and programmes. It is informed by the following key documents:
- 7.2.6 The CPCA will publish the Get Cambridgeshire and Peterborough Working Plan in December 2025 which will focus on tackling economic inactivity, specifically due to ill health, and address key labour market challenges. Commissioned Skills delivery partners must use this plan to inform and shape the planning and delivery of skills provision that is focused on supporting the unemployed, the development of transferable skills, provision to support young people NEET (19 +) and those with long term disabilities and health conditions, including mental ill health.
- 7.2.7 The Local Growth Plan, approved in October 2025, sets out regional priorities for deploying devolved powers and funding, including skills investment. It also ensures adult skills funding is aligned with national strategies such as the Industrial Strategy and the English Devolution White Paper.
- 7.2.8 The new Local Skills Improvement Plan, due for publication in June 2026, will further influence commissioning. Forming a key part of the overall strategic planning system in the area, LSIPs provide the local mechanism for bringing employers, skills providers and stakeholders together to develop a clear understanding of local skill needs up to and including level 8 and the actions needed to address them, with the Authority establishing its sector skills priorities (via the Local Growth Plan) and sharing relevant data with the designated Employer Representative (Cambridgeshire Chambers of Commerce), helping to provide the framework for more detailed engagement with employers on their specific skills needs.
- 7.2.9 The CPCA's approach to commissioning will involve a combination of plan-led commissioning through the agreement of delivery plans with grant-funded providers and a procured provision delivered through contracts for services.
- 7.2.10 Annually the CPCA publishes Adult Skills Fund Funding Rules specific for each academic year. These set out the statutory entitlements to education and training for adults (aged 19+) living in the devolved area of Cambridgeshire and Peterborough, including additional policy entitlements – such as fully funded ESOL courses and uplifts to funding for Essential Skills qualifications. The CPCA regularly consults with its key stakeholders, including providers and learners, in order to best inform policy direction and decision making. A copy of the Funding Rules can be found [here](#).
- 7.2.11 All investment decisions made in relation to Adult Skills funding are undertaken having given full consideration to the guidance described in the Adult Skills Funding Rules and Commissioning Strategy 2025, including:
1. statutory duties relating to adult education and training which have been transferred to the mayoral combined authorities under Statutory Instruments
 2. statutory entitlements to education and training of adults living in devolved areas, and policy entitlements where relevant
 3. statutory and non-statutory guidance.
- 7.2.12 The Adult Skills Fund reporting is included within the Combined Authority monitoring and evaluation submissions as required under the devolution agreement. The Combined Authority submitted policies for adult education as part of the readiness conditions and they were published as part of the original commissioning process. These are updated as local needs demand and are approved through the CPCA governance channels.

- 7.2.12 The Combined Authority's Monitoring and Evaluation Framework will be used for the Adult Skills Fund activity. It meets the national requirements as set out in the National Local Growth Assurance Framework, together with locally determined requirements so that it can be used to inform and shape the criteria for future funding awards. The first formal annual evaluation was undertaken and completed in January 2021 and takes place on an annual basis.
- 7.2.13 In addition, the CPCA has developed and published the Adult Skills Fund Performance Monitoring and Intervention Policy which it uses to performance manage commissioned skills providers. This document can be found [here](#).
- 7.2.14 The Combined Authority is responsible for gaining assurance over use of funds over commissioned providers on the Adult Skills Fund and Free Courses for Jobs funding streams. It does so predominantly through a program of compliance checks and external funding audits which are carried out on a risk-based approach by internal or independent audit firms. Wider assurance also includes internal controls such as performance management and monitoring and quality assurance reviews as described in [The Adult Skills Fund Performance Monitoring and Intervention policy](#).
- 7.2.15 The CPCA produces an Annual Assurance Statement and submits to DfE every March. The CPCA also submits the CPC Annual Statutory Return which is a mandatory financial and performance-related report annually in January. All the reports follow the appropriate governance channels before being submitted.

7.3 Greater Southeast Net Zero Hub

- 7.3.1 The Greater Southeast Net Zero Hub (GSENZH) Operating Strategy has been approved by the GSENZH Board, the Department of Energy Security and Net Zero (DESNZ) and the Cambridgeshire and Peterborough Combined Authority Board, which is the Accountable Body for the Hub.
- 7.3.2 The GSENZH approach to prioritisation and the detailing of its strategic fit requirements are set out in the GSENZH Operating Strategy.
- 7.3.3 GSENZH spend proposals are not taken through the CPCA Single Assurance Framework, this is because:
- DESNZ requires the Hub Board to be involved in the decision making for allocation of funding,
 - the Hub has a project assessment framework approved by the Hub Board which sets out the principles for Hub support and the process for the allocation of resources/funding.
 - the funding for GSENZH is ringfenced and does not come from the CPCA funding envelope. Alongside this the spending is outside the Cambridgeshire and Peterborough region.
- 7.3.4 The Accountable Body Agreement for the GSENZH Board is agreed and amended at the Combined Authority Board.
- 7.3.5 Accountable Body reporting arrangements are set out in the GSENZH Operating Strategy and include:
- Monthly CPCA Highlight Report - PMO Reporting (escalating risks)
 - Monthly PMO/finance meeting
 - Attendance at Place and Connectivity Management Board
 - Line management reporting up to SRO (Director of Place and Connectivity)
 - Papers and update reports to CPCA Board (as required)
 - Reports to CPCA Committees (as required) –Overview and Scrutiny Committee, Audit and Governance Committee, Resilience Committee
 - Evaluation and audit (as required)
- 7.3.6 As part of the BEIS evaluation process, BEIS facilitated a steering committee/group which allowed for discussions and agreement around some standardisation across the evaluations being undertaken across Net Zero Hubs and the respective consulting firms. Several important guiding agreements/standardisations emerged from the group, including a focus on a Benefit Cost Ratio (BCR) that will reflect at least the carbon savings values and a social multiplier

on the benefits side, and Hub costs (core Hub expenditure) on the costs side.

- 7.3.7 To reflect the Hubs' activities related to raising awareness and knowledge sharing; a 20% "Social (benefits) multiplier" was suggested as part of the BEIS facilitated steering group to reflect the estimated rate of return from public spending on knowledge investments. The 20% is a conservative value and is based on a 2022 discussion paper by the Centre for Economic Performance; "Knowledge spillovers from clean and emerging technologies in the UK" which provides upper and lower bounds of spillovers from "clean" innovations.
- 7.3.8 As a result, a social benefits multiplier is applied to all investment in projects that are deemed "replicable, scalable, and innovative," as recorded in the Hub project tracker.
- 7.3.9 A cost benefit analysis (CBA) is used to evaluate the discounted costs and benefits associated in the Hub's project pipeline to help determine whether the Hub has delivered value for money. This is reflected as a Carbon Benefit to Hub Costs Ratio (CHCR).
- 7.3.10 The Accountable Body Agreement for the GSENZH Board is agreed and amended at the Combined Authority Board.
- 7.3.11 Accountable Body reporting arrangements are set out in the GSENZH Operating Strategy and include:
- Monthly CPCA Highlight Report - PMO Reporting (escalating risks)
 - Monthly PMO/finance meeting
 - Attendance at Place and Connectivity Management Board
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- 7.3.13 To reflect the Hubs' activities related to raising awareness and knowledge sharing; a 20% "Social (benefits) multiplier" was suggested as part of the BEIS facilitated steering group to reflect the estimated rate of return from public spending on knowledge investments. The 20% is a conservative value and is based on a 2022 discussion paper by the Centre for Economic Performance; "Knowledge spillovers from clean and emerging technologies in the UK" which provides upper and lower bounds of spillovers from "clean" innovations.
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- 7.3.14 A cost benefit analysis (CBA) is used to evaluate the discounted costs and benefits associated in the Hub's project pipeline to help determine whether the Hub has delivered value for money. This is reflected as a Carbon Benefit to Hub Costs Ratio (CHCR).

8 Appendices

8.1 SAF Templates

8.1.1 Concept Paper

The Concept Paper is a high-level planning document that will be completed and approved during SAF Phase 1 to gather outline information which validates the strategic fit of the intended intervention such as alignment to the Combined Authority Corporate Plan, Objectives and Aims, potential risks and target benefits. The document will also be used to agree the Business Case development route and provide assurance that key stakeholders at the Combined Authority have been sighted on the proposal from the outset (Finance, Legal, Procurement, Executive Director, Corporate Management Team, and Funding Panel).

8.1.2 Programme Business Case (PBC)

The PBC is produced when a strategically linked series of projects requires authorisation to progress. A programme is a series of planned measures, related events, and co-ordinated activity in pursuit of an organisations long term goal. The PBC will outline the programme projects dossier including the indicative timeline, costs, and the overarching management strategies. To ensure simplicity, the PBC template is the same as the Outline Business Case and the Full Business Case.

8.1.3 Outline Business Case (OBC)

Based on the HMT Greenbook 5-case model, the OBC is part of the business case development process and is used to identify a preferred option that optimises value for money and ascertains affordability.

It outlines the business needs and benefits of the proposed project, giving the decision maker enough information to decide whether to progress to Full Business Case (FBC). This is required when there the project is of high complexity and/or funding is required to develop the full business case.

A proportionate approach has been taken on the template, and therefore the OBC and FBC templates are the same meaning the author can add to what has been developed with new information as the project progresses, rather than starting from scratch.

Green Book Review 2025: Findings and actions

It is noted that HM Treasury are undertaking a review of the Green Book guidance including updating information regarding placed based objectives, assessment of change, benefit cost ratios, overly long guidance and capacity and capability across the public sector. All business case templates will be updated following the issuing of the new guidance as required.

8.1.4 Full Business Case (FBC)

Based on the HMT Greenbook five-case model, set out by the HM Treasury as best practice, the FBC enables the procurement of the VfM solution, contracting the appropriate deal and planning for successful delivery. At the conclusion of the FBC all dimensions of the five-case model will have been completed and be fully matured including a finalisation of all management arrangements. Key to this is firm fixed and accurate costs, Monitoring and Evaluation arrangements, and delivery capability. It is also written to provide CPCA Shared services with the correct information to inform whether the project can be supported internally.

8.1.5 **Change Request**

The change request template sets out any change to a projects baseline scope, resourcing, timescales, costs or benefits, post Business Case approval. The form once completed is taken through the correct approval route.

8.1.6 **Assurance Observation Report (AOR)**

The Assurance Observation Report is completed by PMO once in receipt of the Business Case to inform Executive Directors in progressing them to the approvals phase and assuming responsibility for their content. This provides second line of defence assurance that all elements of the business case have been completed and to good practice.

8.1.7 **Other templates**

There are other templates to support delivery of projects and programmes within the Combined Authority. Examples of these are Early Warning Notifications and Action Log. These forms are all accessible to officers within the organisation through the PMO Hub.

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