

**University of Cambridge
CAPSA Action Plan (Annex A)
Council 28 January 2002**

Shattock recommendations	Programme	Responsibility	Comments	Proposed timetable (all dates 2002 unless otherwise stated)
<p>(1) The University needs to consider a substantial further investment in administrative support in the centre and in departments to enable the Oracle Financials system to be effective and in order to be able to extend and upgrade it. This support must include the recruitment of a significant additional number of qualified accountants with good professional backgrounds (§2.1–2.5).</p> <p>Also Finkelstein: <i>[ix] The University devotes additional resources to the staffing of the Finance Division and in particular to the recruitment of professionally qualified accounting staff. Urgent steps are taken to put in place a programme that upgrades the skills of the Departmental staff concerned with finance.</i></p>	<p>Establish directors' posts</p>	<p>Registrary</p>	<p>First steps now complete</p>	<p>Report to Council 28 January. No further statutory provision required (except for clarification of respective responsibilities of Treasurer and Director of Finance <i>vis-à-vis</i> preparation of accounts, secretaryship of Finance Committee and cheque signing etc.)</p>

Shattock recommendations	Programme	Responsibility	Comments	Proposed timetable (all dates 2002 unless otherwise stated)
	Investment in administrative support Appoint more qualified accountants	Registrary Director Finance; Registrary	General strategy for strengthening of the UAS to be developed and brought to Council meeting on 25 March. To include also matters raised in Shattock (5) (manpower resources), (6) (measures for recruitment and retention of senior administrative staff) and (9) (budget for staff development for administrative staff)	To Council 25 March for consideration of strategy and resources
	Establish necessary authority, controls, and mechanisms (including tendering procedures: see Shattock (2))	Director Finance	Strategy and implementation plan to Audit Committee	To Council 25 March
	Strategy to upgrade skills of Departmental finance staff	Director Finance	Long-term programme	
(2) In any future projects of the CAPSA type the University must ensure that there is someone clearly identified as the project leader and that the project manager is a member of the University's staff. Where consultants are required they should only be appointed after a proper tendering procedure against a clear specification from the University (§2.6–2.11, §2.25(c), §3.1–3.10, §4.3). Also Finkelstein: <i>[vii] Guidelines are laid down for the hiring of external consultants ensuring proper tendering, a detailed brief and arrangements for management control from within the University.</i>	Project management	Director MISD Director UCS (IT Syndicate; Information Strategy Group)		Precondition to commencement of future projects; to be secured in connection with work on Cambridge Student Information System (CamSIS) which is currently in project definition stage (for report to Council prior to commencement of main project); and 11i Oracle upgrade for CUFS
	Tendering good practice	Finance Director: see under Shattock (1)		To Council 25 March
(3) The University Computing Service and MISD should be merged and the Director of the new IT service, who should report to the Registrary, should be required as a priority to produce a University IT Strategy, which should include an administrative IT strategy, for the approval of the Council via a University IT Committee to be chaired by a Pro-Vice-Chancellor (§2.24, §2.25(g), §5.9, §5.11). Also Finkelstein: <i>[i] MISD be merged with the University Computing Service to ensure an integrated IT service with the technical strength in-depth sufficient to manage and deliver on major information systems development projects. Such a merged service would be able to offer posts with sufficient variety, opportunities for skill development, prestige and pay that might attract high calibre staff with a technology background to work on management information systems projects.</i> <i>[ii] The University appoint a senior engineer, with appropriate formal qualifications, and substantial experience in delivering on complex IT projects to lead the development of its management information systems.</i> <i>[iii] The University prepare an 'Information Systems Strategy' covering the development of management information systems within the University. That this strategy, signed-off by the Principal Officers of the University, is used as the primary vehicle for strategic management of IT.</i>	Review case for merger alongside other options	PVC (Grant); (Information Strategy Group; IT Syndicate in first instance; possibly special Working Party in due course)	Propose staged process, which may or may not lead to merger: 1. Closer collaborative working 2. Secure strengthening of UAS and the proper functioning of MISD within it 3. Urgent consideration of co-location possibilities 4. Council to decide whether to set up working party to consider merger	Already under way Initial report to Resource Management Committee 23 January See below

Shattock recommendations	Programme	Responsibility	Comments	Proposed timetable (all dates 2002 unless otherwise stated)
	Prepare University IT strategy, including administrative IT strategy (Shattock); Information Systems Strategy for development of management information systems (Finkelstein)	Director MISD; Director UCS; Information Strategy Group; IT Syndicate	Consideration also to be given to an information strategy	To Council by end 2002; to agree interim progress reporting dates with incoming Director MISD when appointed
<p>(4) The University should not embark on any substantial administrative IT project until it can be assured that the implementation of Oracle Financials is reasonably complete. No new project should be undertaken without a business strategy, without an assessment of the staffing implications and how they can be met, and without a budget being approved in advance and included in the University's forward estimates (§2.10, §4.4, §6.5).</p> <p>Also Finkelstein: <i>[iv] The University establish, within the unified Computing Service, a project office that can monitor major IT projects. That this office is responsible for setting processes, methods and standards for such projects, for ensuring compliance to these standards and for quality assurance. The office can act as an independent advisor to committees set up for the purpose of oversight.</i> <i>[v] In any future IT projects the proposal is accompanied by a clear statement of the responsibilities to be undertaken in the direct technical and management conduct of the project and also on the part of the 'users' of the projected system in engaging with the development of the system. That organisational changes and early retirement programmes are evaluated against the responsibilities agreed in these statements.</i> <i>[vi] Guidelines are laid down for the submission of financial proposals for major IT systems projects. These guidelines should include what costs are to be included and how the expenditure is to be monitored.</i> <i>[xii] The University should not pursue any further substantial management information systems projects until at least recommendations ii, iii, iv, v, vi, vii are in place. Further, in the light of this report other ongoing projects should be subject to a careful internal audit.</i></p>	<p>Implementation of Oracle Financials; business strategy and budget for future projects</p> <p>For further evaluation and report</p>	<p>Director MISD</p> <p>PVC (Grant); Information Strategy Group; IT Syndicate</p>		<p>Preconditions to new substantial administrative IT projects and to be ensured with future development of CamSIS and CUFS</p> <p>For interim report to Council 13 May</p>
<p>(5) The Council should require the Director of Finance as an absolute top priority to produce comprehensive University management accounts for consideration by the Finance Committee on at least a two monthly basis effective from the beginning of 2002-3 and should ensure that he is provided with the manpower resources to achieve this (§6.3-6.4).</p>	<p>Management accounts to Finance Committee every 2 months</p>	<p>Director of Finance</p>		<p>From beginning 2002-3 financial year; currently anticipated to commence with period to end-January 2002; for progress report to Council 25 March</p>
<p>(6) The University should take steps to improve the effectiveness of the recruitment and retention of senior administrative staff. These should include paying salary supplements, at a pre-agreed level, to attract professionally qualified staff to permanent posts in key areas, a streamlining of the interview process so that only one decision-making body is involved, and the provision of college membership to staff of appropriate seniority (§7.2-7.4).</p>	<p>To review salary structures</p>	<p>Personnel Committee; Registry</p>	<p>To incorporate if possible in paper to Council for 25 March on Shattock (1)</p>	<p>See Shattock (1)</p>
	<p>College membership</p>	<p>Colleges' Committee</p>		<p>To Council 28 January to refer to Colleges' Committee</p>
	<p>Streamline decision-making on senior appointments</p>	<p>Registry within UAS</p>		<p>Initial steps now achieved</p>
<p>(7) The roles of the Director of Finance and the Treasurer within the Unified Administrative Service need to be clarified and resolved so as to eliminate ambiguity and future misunderstanding. The Director of Finance should be regarded as responsible for the preparation and presentation of the University Accounts and as having professional responsibility for drawing up the University's forward financial plans, including the annual estimates. He should also be designated as the officer in charge of the financial system (§7.5-7.6).</p>	<p>Redefinition of roles and responsibilities</p> <p>Amendments to Statutes to reallocate responsibility for accounts</p>	<p>V-C; Governance Committee</p> <p>Council</p>		<p>To Council 28 January as additional material in governance consultation paper; Draft Report proposing Statutory changes to Council 25 February</p>

Shattock recommendations	Programme	Responsibility	Comments	Proposed timetable (all dates 2002 unless otherwise stated)
(8) A new professional reporting line should be established between the senior financial administrator in each department or budgetary unit and the Director of Finance. This should not be regarded as undermining the administrator's responsibility to the head of department but as a necessary step to improving the professional linkage between the Director of Finance and the financial management of departments (§7.8).	Each Dept/budget unit Finance Officer to report directly to Director of Finance as well as HoD	Director Finance; Audit Committee	Consultation through Councils of the Schools	For report to Council 13 May
(9) The Council should allocate a budget to the Registry to enhance the existing programme of staff development for administrators in the University (§7.7).	Existing budget to be enhanced	Registry to make proposals to Council/PRC/RMC		To be included in response to Shattock (1)
(10) The Council should review the functions of the Finance Committee with a view to ensuring that the Committee can concentrate on its role of supervising the University's finances and advising the Council on the University's financial position, and should establish a new main committee to deal with all matters of buildings, property and the University estate (§3.6, §6.6–6.8, §8.2).	Review of role to be initiated by Finance Committee, including differentiation from buildings, estates	PVC (Grant); Finance Committee	Working Party now set up by Finance Committee	Initial report to Council 25 March
(11) The Council should review the relationship between the Planning and Resources Committee and the Finance Committee to ensure that overlaps in the business of the two bodies are as far as possible eliminated and that the Finance Committee is fully recognised as being responsible for the financial systems, financial management information, and for monitoring the management accounts of the University (§3.6, §6.6–6.8, §8.2).	Clarification of relationship	Registry	See also Shattock (10) above	To Council 25 March
(12) The Audit Committee should be reconstituted so that it has a lay chair and a majority of lay members appointed by the Council for their professional expertise and experience in similar roles in corporate life (§5.2–5.17, §8.4).	Two stage: immediate reform to introduce lay members; need reform of Council to have lay chair	PVC (Grant); Governance Committee		To Council to sign Report 28 January Fast-track for Statute amendment
(13) The Council should carry out an effectiveness review of its own operations to ensure that it is fully equipped to match the responsibilities placed on it by the Statutes and by the requirements of HEFCE. As part of this review it should consider the need to engage more fully in Discussions of the Regent House (§8.1, §8.8).	Effectiveness review of Council Role of Discussions (see also Shattock (15) below)	PVC (Grant) Governance Committee PVC (Grant)	Changes occurring already: needs external adviser/facilitator	To Council 13 May
(14) The University should consider adding a fifth appointment of Pro-Vice-Chancellor to the four currently proposed by the Joint Committee on Governance, with a portfolio to review the internal functioning of the University and to improve the relationship between the departments, the centre, and the colleges (§8.6).	1. Appointment of fifth Pro-Vice-Chancellor 2. Review of internal functioning of University and improve relations	1. Governance Committee 2. Current PVCs	1. See governance consultation paper 2. To commence with review of communication within the University	1. Governance consultation timetable 2. Paper for Council 25 February
(15) The Regent House should consider establishing standing orders which encourage the discussion of issues and processes but protect individual University officers from personal abuse (§8.7).	Adopt standing orders for Discussions	PVCs in strategy for internal communication; Governance Committee	Lower priority for implementation	Draft strategy for internal communications to Council 25 March
(16) The Council should ask the Audit Committee to prepare a statement on accountability processes within the University (§9.1).	Prepare accountability statement: (not limited to financial accountability)	Director Finance; Audit Committee	Purchasing limits already reviewed by Finance Committee. Remainder linked to issues of financial controls and authority	See Shattock (8)
(17) In addition to his statutory responsibility to the Council there should be a formal statement establishing that the Registry has a reporting relationship to the Vice-Chancellor for the functioning of the University's administration (§9.2).	Prepare formal statement on reporting relationship	Registry; V-C	For inclusion in Report on allocation of functions to Principal Officers	Draft Report to Council 25 February

Finkelstein recommendations	Programme	Responsibility	Comments	Proposed timetable (all dates 2002 unless otherwise stated)
[i] MISD be merged with the University Computing Service to ensure an integrated IT service with the technical strength in-depth sufficient to manage and deliver on major information systems development projects. Such a merged service would be able to offer posts with sufficient variety, opportunities for skill development, prestige and pay that might attract high calibre staff with a technology background to work on management information systems projects.	New structure to give variety of posts, career development, prestige, pay		See comments on Shattock (1) above	
[ii] The University appoint a senior engineer, with appropriate formal qualifications, and substantial experience in delivering on complex IT projects to lead the development of its management information systems.			See Shattock (2), (3) and (4) above. Arrangements for appointment of Director MISD now in hand	
[iii] The University prepare an 'Information Systems Strategy' covering the development of management information systems within the University. That this strategy, signed-off by the Principal Officers of the University, is used as the primary vehicle for strategic management of IT.			See Shattock (2), (3) and (4) above	
[iv] The University establish, within the unified Computing Service, a project office that can monitor major IT projects. That this office is responsible for setting processes, methods and standards for such projects, for ensuring compliance to these standards and for quality assurance. The office can act as an independent advisor to committees set up for the purpose of oversight.	Full evaluation of this option	Information Strategy Group	See Shattock (2), (3) and (4) above	
[v] In any future IT projects the proposal is accompanied by a clear statement of the responsibilities to be undertaken in the direct technical and management conduct of the project and also on the part of the 'users' of the projected system in engaging with the development of the system. That organisational changes and early retirement programmes are evaluated against the responsibilities agreed in these statements.	Secure clarity on individuals' responsibilities	Information Strategy Group	See Shattock (2), (3) and (4) above	
[vi] Guidelines are laid down for the submission of financial proposals for major IT systems projects. These guidelines should include what costs are to be included and how the expenditure is to be monitored.			See Shattock (2), (3) and (4) above	
[vii] Guidelines are laid down for the hiring of external consultants ensuring proper tendering, a detailed brief and arrangements for management control from within the University.			See Shattock (2) above	
[viii] The University establishes and maintains a complete and up-to-date Accounting Policy Manual documenting its policies and procedures.	Establish Manual	Finance Director; Finance Committee; Audit Committee		To Council 15 May
[ix] The University devotes additional resources to the staffing of the Finance Division and in particular to the recruitment of professionally qualified accounting staff. Urgent steps are taken to put in place a programme that upgrades the skills of the Departmental staff concerned with finance.	Prepare and submit staffing strategy	Registrary; Director of Finance	Part of strategy for UAS: see Shattock (1) above	To Council 25 March
[x] A training audit covering the Principal Officers of the University and those senior academics likely to be engaged in oversight committees should be undertaken. In particular skills in the strategic management of information systems and finance should be carefully examined.	Prepare training strategy: needs, programmes for Principal Officers and senior academics		See Shattock (1) above	
[xi] Immediate and forceful steps should be taken to establish if the University can obtain recompense from the external consultants it engaged.	Take professional advice	Registrary	Referred to in Notice for Council 28 January	Considered by Council 14 January and the commissioning of further advice authorized
[xii] The University should not pursue any further substantial management information systems projects until at least recommendations ii, iii, iv, v, vi, vii are in place. Further, in the light of this report other ongoing projects should be subject to a careful internal audit.			See Shattock (2), (3) and (4) above	
[xiii] The University as a whole considers how best to improve relationships and build trust between its administration and academics.	Prepare strategy	PVCs; Chairs of Councils of Schools; Registrary	Combine with review of communications within University: see Shattock (1), (14) and (15) above	Draft strategy to Council 25 March