

Local Growth Deal Programme

Roles and Responsibilities



The Programme Office

A dedicated Programme Office has been established within Black Country Consortium Ltd to support all aspects of Black Country Strategic Economic Plan (SEP) programme direction and management. The Programme Office is led by a SEP Delivery Director with responsibility for the timely delivery of an integrated economic growth programme for the Black Country.

The **Programme Office** provides the decision support behind successful programme management. It is responsible for supporting the programme governance, project processes and day to day management of the Programme, informing the oversight and governance of the programme by the Joint Committee and its relevant sub-committees. It provides information to the Black Country LEP Board advising them of the progress of projects against plan, conflicting priorities and programme risks. It will scrutinise and challenge Project submissions against the SEP and recommend accordingly.

Objective

The Programme Office's objective is to ensure that the Black Country LEP has a balanced Local Growth Deal Programme which will support delivery of the SEP.

Responsibilities

- Management of the project evaluation process, ensuring that the relevant gates and assessments are in place during the project lifecycle.
- Ownership and management of the Project development processes, including the Project Management Methodology, ensuring they are fit for purpose, reusable, and auditable. This includes provision of Project documentation, templates etc
- Provision of a structure for selecting the right projects for the Growth Deal, ensuring alignment to the strategic growth objectives.
- Monitor progress of projects against key objectives and ensure ongoing successful delivery.
- Monitor major risks that may affect the delivery of the Programme and escalate any major issues
- Provision of management reporting as appropriate on all project related measurements.
- Updating the Accountable Body on changes and proposals to use delegated authority
- Proactively working with Project Managers to ensure that the right processes are followed, the right documents produced and decisions requested and accurate and timely reporting is provided to the LEP Board, Joint Committee and other appropriate stakeholders on the performance of in-flight projects and to inform decisions on new projects.

The **Programme Analyst** will work within the Programme Office and will provide analysis, planning, reporting and support to the SEP Delivery Director, BCC Chief Executive and the BCLEP Board and assist in the operation of the Programme Office through planning and coordination of the Local Growth Deal Programme.

Responsibilities include:

- Day to day management of Verto, aiding the Project Managers and BCC staff with its usage

- Ensuring the quality and timeliness of the source data within Verto, ensuring for each project tracked that it contains the relevant information, governance documents, risk profiles, financial information and status updates
- Production of the monthly project progress management information required for the BC LEP Board and the Joint Committee and its sub-committees
- Ensuring that reporting is available to enable the review of the ongoing performance of the Growth Deal Programme against the SEP, and the production of ad hoc reports as requested
- Providing Walsall Accountable Body with all Performance Reporting data
- Reviewing of project governance documentation to ensure that the content is accurate and provides all the necessary information required by the various governing bodies, including the BC LEP and the Black Country Executive Joint Committee.

The Project Lifecycle

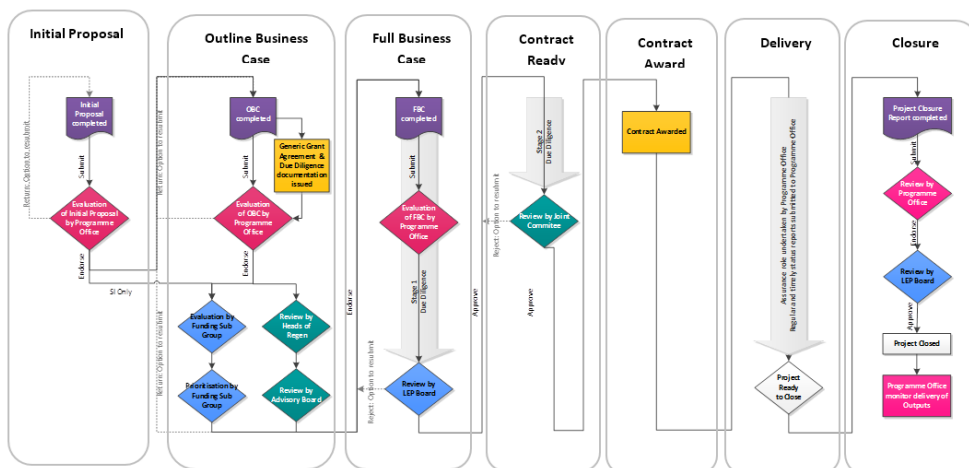
The Business Case develops over time, in 3 distinct stages; Initial Proposal, Outline Business Case and Full Business Case, with more detail being provided at each stage. The Bidder will begin by completing an Initial Proposal which will be submitted to and evaluated by BCC Programme Office against published predefined criteria. Only if successful will the Bidder be invited to progress through the Business Case evaluation process. The full project lifecycle is explained below.

Initial Proposal

The purpose of the Initial Proposal is to provide a high level overview of the project, and the opportunities it presents and the risks it entails. Applicants are required at this initial stage to specify which of the Black Country LEP (BCLEP) Growth Objectives and Measures of Success will be addressed and **how** the proposal will unlock the identified BCLEP Growth Objectives. Clear strategic alignment to the SEP is paramount in order for the proposal to be considered.

The Initial Proposal is a key document as it contains information which will be later expanded and used within the Outline Business Case (OBC).

The work flow for this stage in the project lifecycle is outlined below:



Activity	Owner
Initial Proposal submitted to BCC Programme Office	Bidder
BCC Programme Office engage with Bidder to fully understand the bid in context of full project	BCC Programme Office
Initial Proposal evaluated by BCC Programme Office against pre-defined evaluation criteria	BCC Programme Office
As part of evaluation process, Initial Proposal sent to Technical Assistance Team in Walsall MBC to review state aid compliance	Technical Assistance Team
Accountable Body Draft Grant Agreement, Due Diligence Checklist, Legal Charge requirements and State Aid guidance shared with Bidder via BCC website	BCC Programme Office
If successful, Bidder invited to complete Outline Business Case (OBC) and the project is added to the pipeline and included in the Dashboard Reports to the LEP Board, Working Group and Advisory Board.	Bidder/BCC Programme Office
If unsuccessful, BCC Programme Office provide Bidder with relevant feedback and justification, including basis for decision not to proceed.	BCC Programme Office

Outline Business Case

The Business Case follows the recommended standard set by HM Treasury and is based on the Five Case Model. The five different aspects which are interconnected but distinct include the Strategic Case, the Economic Case, the Commercial Case, the Financial Case and the Management Case.

The Outline Business Case (OBC) is the detailed planning stage where the bidder will revisit and build on the information supplied in the Initial Proposal. At this stage the bidder will be required to focus on the first four cases with light touch to the Management Case. A detailed Management Case will follow at the Full Business Case stage.

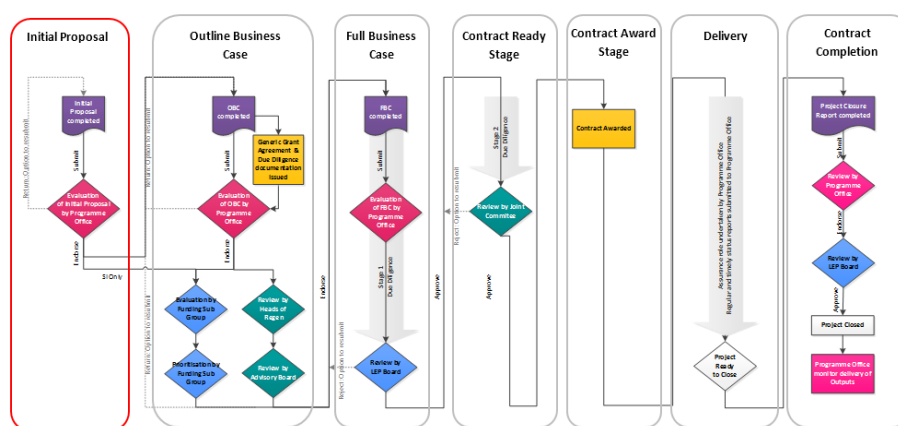
The content required in the OBC is outlined below:

1. **The Strategic Case** – demonstrates that the proposal is supported by a robust Case for Change and provides clear strategic fit. The bidder will detail how it fits in relation to national, regional and local policies, strategies and plans and furthers the required outcomes.
2. **The Economic Case** – demonstrates that the proposal optimises public value. It involves arriving at a short list of options and subjecting them to CBA (Cost Benefit Analysis) to identify a preferred option. The bidder will need to justify the chosen option which will include providing evidence for market demand/interest that supports the investment.
3. **The Commercial Case** – demonstrates that the preferred option is commercially viable. It will require the bidder to outline the procurement strategy and identify any statutory or other consents.
4. **The Financial Case** – demonstrates that the preferred option will result in a fundable and affordable deal. It requires the bidder to set out the capital and revenue requirement for the investment as well as the sources of funding over the expected life span of the project. The bidder will be required to detail the strategy for securing match funding and provide evidence of stakeholder support.

Appendices required (if applicable) to be submitted with the Business Case include:

- Stakeholder Map
- A Profile for each Output / Outcome
- Evidence of planning permission
- Detailed breakdown of Project Costs by month
- Full Project Plan
- Issue Register
- Risk Register

The work flow for this stage in the project lifecycle is outlined below:



Activity	Owner
OBC submitted to BCC Programme Office	Bidder
OBC evaluated by BCC Programme Office against pre-defined evaluation criteria	BCC Programme Office
As part of evaluation process, OBC sent to Technical Assistance Team in Walsall MBC to review state aid compliance	Technical Assistance Team
If successful, OBC is endorsed by BCC Programme Office and submitted to the Funding Sub Group for Evaluation and Prioritisation	Funding Sub Group
Bidder may be invited to present OBC to Funding Sub Group	Bidder
If successful, Funding Sub Group endorse OBC and add to pipeline of unfunded bids.	Funding Sub Group
If unsuccessful, BCC Programme Office return OBC to Bidder, providing relevant feedback and justification	BCC Programme Office
BCC Programme Office invite Bidder to complete Full Business Case (FBC)	Bidder

Due Diligence

Once an OBC is approved in principle, the Programme Office instructs the Bidder to commence their due diligence submission and informs the Accountable Body they have done so, to enable the Accountable Body to provide the appropriate support and guidance from the earliest possible stage. It is made clear

to Bidders by both the Programme Office and the Accountable Body that this does not equate to an endorsement of their project and all work done at this stage remains at the risk of the Bidder.

Full Business Case

The Full Business Case (FBC) is the detailed final phase where the bidder will revisit and build on/update (if applicable) the information supplied in the OBC. In addition the bidder will complete the fifth and final section of the Five Case Model; the Management Case. The content required is outlined below:

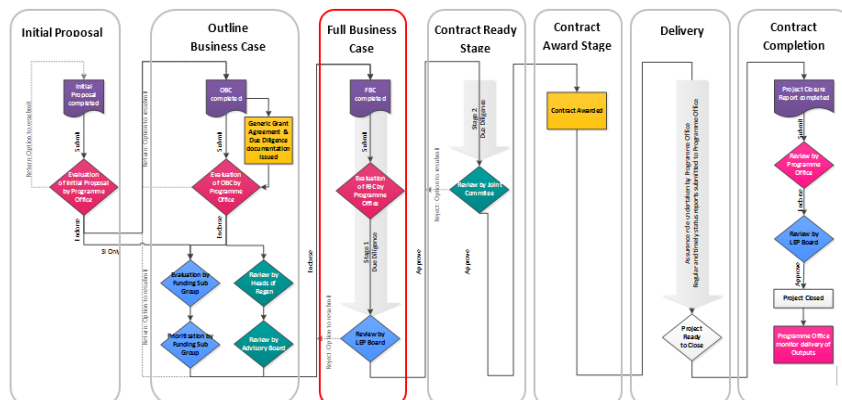
- 5. The Management Case** - demonstrates that the preferred option is capable of being delivered successfully, in accordance with recognised best practice. Requires the bidder to demonstrate that the proposal is being implemented in accordance with a recognised Programme and Project Management (PPM) methodology and that there are robust arrangements in place for change management and contract management, the delivery of benefits and the management and mitigation of risk.

Appendices required (if applicable) to be submitted with the Business Case include:

- Stakeholder Map
- A Profile for each Output / Outcome
- Evidence of planning permission - Statement of planning strategy, approach, timescales, documentation for planning submission, and pre-application discussions with the local authority, evidence of planning permissions or a clear explanation of the timeframe for achieving this, evidence of discharge of key planning conditions or a strategy for undertaking these, evidence of discharge of any other consents required for the project delivery.
- Detailed breakdown of Project Costs by month
- Full Project Plan
- Issue Register
- Risk Register

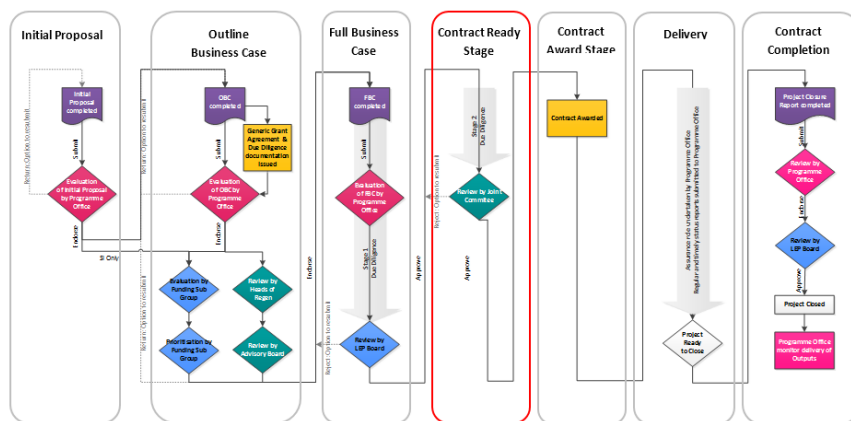
During the FBC stage of the project lifecycle the bid will be subjected to legal and financial Due Diligence (DD) to be carried out by Walsall Accountable Body. An FBC cannot be submitted for LEP Board and, subsequent, Joint Committee approval until DD is complete.

The work flow for this stage in the project lifecycle is outlined below:



Activity	Owner
During completion of FBC, the Bidder is instructed to commence their due diligence submission and collate supporting evidence and documentation, making contact with the Accountable Body.	BCC Programme Office/Bidder
Walsall Accountable Body holds a pre-contracting workshop with Bidder to discuss due diligence where the Bidder is also asked to confirm the security against the Grant they will offer, via a Performance Bond, Legal Charge or other process for underwriting.	Accountable Body / Bidder
FBC submitted to BCC Programme Office	Bidder
FBC evaluated by BCC Programme Office against pre-defined evaluation criteria. Negotiation of the content of the FBC (and later Grant Agreement Schedules), including the Outcomes (Milestones, Outputs).	BCC Programme Office
If successful the FBC will be submitted to the Funding Sub Group who will then be responsible for prioritising bids to put forward for LEP Board consideration.	BCC Programme Office/ Funding Sub Group /LEP Board
If LEP Board approval is achieved, the Programme Office will advise the Accountable Body to begin the contract ready stage	BCC Programme Office
Pre-Due Diligence Checklist is completed and sent to Walsall Accountable Body along with FBC, to enable pre-contracting work to commence	BCC Programme Office
If unsuccessful, BCC Programme Office return FBC to Bidder providing relevant feedback and justification, including basis for decision not to proceed.	BCC Programme Office

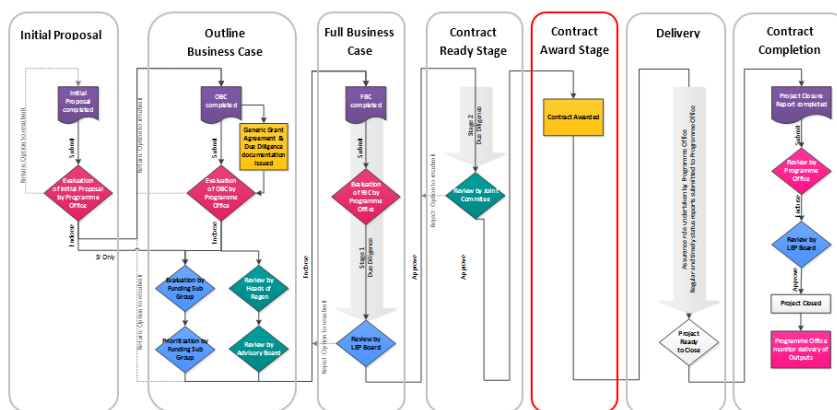
Contract Ready Stage



Activity	Owner
Walsall Accountable Body will negotiate the details of the Grant Agreement with applicants, including the security or underwriting of the Grant via a Performance Bond, Legal Charge or other process for underwriting, negotiate the content of	Accountable Body / Bidder

the Schedules, including Outcomes	
The FBC is submitted to the Black Country Joint Committee for stage two approval	Black Country Joint Committee

Contract Award Stage



Activity	Owner
Once the Joint Committee have approved the bid, Walsall Accountable Body will organise the Sealing or Signing of Grant Agreements	Accountable Body / Bidder

Live / In-Flight Projects

Once a project has received approval from the LEP Board, the Joint Committee and has been awarded a signed Grant Agreement from Walsall Accountable Body it is considered 'Live'. During this stage of the project lifecycle BCC Programme Office will be responsible for all Monitoring and Performance Reporting for all Projects receiving LGF Support. The appointed Project Manager will report fortnightly updates to the Programme Office through completion of a Project Status Report.

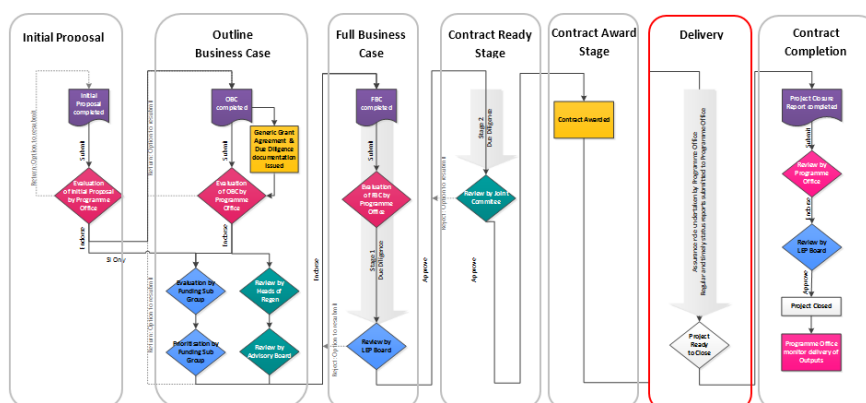
The Project Status Report (PSR) will provide update on the following:

- Overall Health of the Project with supporting commentary, as well as an individual RAG scoring against Scope, Timeline, Cost, Cash flow and Outputs
- Activity completed in the period
- Planned activity in the following period
- Milestones and progress to plan
- Issues and Risks
- Forecast and Committed Costs
- Projected and Actual Cash Flow (i.e. scheduling of claims submitted to Walsall Accountable Body)

The LGF Programme Dashboards which provide a visual representation and executive summary of this information will be shared with the Joint Committee Support Team on a fortnightly basis, and with the LEP Board and Working Group monthly. In addition to fortnightly reporting, the Programme Office will

undertake a detailed assessment of individual projects via quarterly performance monitoring reviews. Note, the Programme Office may require to undertake a detailed assessment and analysis of in-flight projects at any time. However this is likely to be exercised by exception only, i.e. when a project is deviating from plan whereby significant issues are affecting progress. Should the need arise the Programme Office will also be responsible for handling all change requests. The Delegated Level of Authority will determine whether a change request can be approved using the approvals delegated to the Chair of the Working Group, or whether a change will require LEP Board and, subsequent, Joint Committee approval. All changes approved under Delegated Authority will be reported to the Joint Committee for noting.

The Programme Office will regularly report progress of individual bids which constitute the LGF Pipeline, throughout the entire process, to Bidders and to the various in house Committees, including responsibility for providing performance information to the Joint Committee and its relevant sub-committees.



Walsall Council - Accountable Body

Walsall Council will be the Accountable Body for the Local Growth Fund and will:

- Manage the contractual relationship with the Growth Deal projects, ensuring they meet their contractual targets and that these remain current and up to date;
- Provide the Secretariat function for the Joint Committee, Advisory Board and Working Group and manage the smooth running of these meetings;
- Account for Growth Deal fund, utilising its own internal audit, accountancy and treasury management systems in the delivery of its role.

The Accountable Body through its Joint Committee Programme Management Team will undertake the following functions:

Pre Grant Award

- Implement the informal and formal Due Diligence process with Bidders;
- Assess Applicants Details provided against Due Diligence criteria;
- Accept or Reject the formal Due Diligence Application, and refer those rejected back to the Bidder, including basis for decision not to proceed;

- Leading contract negotiations with the Project and resolving legal issues through workshops with bidders – including ensuring the FBC and Outcomes are built into the Grant Agreement following receipt of the completed and signed Pre-Contracting Checklist from the Programme Management Office;
- Hold workshops with Bidders to clarify details of their bid for incorporation into the Grant Agreement Schedules – including the negotiation of the security or underwriting of the Grant via a Legal Charge, performance Bond or other process for underwriting;
- Ensure that reporting to the Joint Committee and Advisory Board on Growth Deal progress is timely and in line with forward planning processes, and ensure that all decisions taken under delegated authority are reported to the Joint Committee for noting;
- Provide the Secretariat to the Working Group, Advisory Board and Joint Committee. The Joint Committee Programme Manager, with support from the Joint Committee Programme Management Officer(s) will:
 - Ensure the effective scheduling and calling of the meetings within the Joint Committee structures – including the Working Group, Advisory Board and Joint Committee Programme Management meetings
 - Ensure that their agendas are set and that the meetings are accurately recorded, with minutes and decisions published where appropriate
 - Ensure that the resultant action plans are produced and progress monitored
 - Work with the Joint Committee Secretary to ensure that all appropriate meeting schedules are both aligned and timely
 - Forward Planning and drafting/coordinating reports on behalf of the Lead Authority for consideration at the appropriate group meetings.
 - Ensuring that project/report sponsors are informed of deadlines, processes and templates to support with the preparation and submission of their reports.

Grant Award

- Finalise the details of the Grant Agreement with Bidders, including the security or underwriting of the Grant via a Performance Bond, Legal Charge or other process for underwriting;
- Finalise the content of the Schedules, including Outcomes;
- Organise the Sealing or Signing of Grant Agreements

Post Grant Award

The Joint Committee Programme Management team support programme governance by undertaking the following functions:

- Coordination of the Accountable Body Working Group, which includes the Section 151 officer and legal, finance and audit leads;
- Hold the Local Growth Fund monies and make payments in accordance with the decisions made by the LEP and ratified by the Joint Committee;
- Monitor the agreed arrangements for the management of risks associated with the project activity and ensure that projects are appropriately managing the risks through the mechanisms within their Grant Agreement, assessing evidence where appropriate through agreed mechanisms;

- Maintain the official record of Growth Deal decisions and proceedings as undertaken by the Joint Committee, and the audit trail for all projects;
- Establishing and maintaining the required Accountable Body structures and arrangements as directed by the Joint Committee
- Maintaining the Accountable Body project register and audit files. Appointment and management of the Accountable Body part of the Programme Management Team. Working with the Programme Office in the delivery of project outcomes and compliance with instructions, tasks and improvements.
 - In consultation with the SEP Delivery Director, calling and chairing Programme Management Meetings
 - Contractual monitoring, evidence verification and project audit – and the sharing of this information with the Programme Management Office through the Growth Deal Monitoring Database
 - Updating Grant Agreement schedules for multi-year projects, to incorporate approved changes as necessary.

Projects commence their formal due diligence submission at FBC stage. Walsall Accountable Body will commence the review and verification of this due diligence submission and the legal contracting process once an Outline Business Case has been endorsed by the Funding Sub Group. Pre-approval due diligence and legal proceedings will be completed **within 15 working days** before the Full Business Case is submitted to the LEP Board and, subsequently, the Joint Committee for approval. Post-approval due diligence will be completed once approval to move to contracting has been given.

As part of the legal contracting processes Draft Grant Agreements will be agreed and signed with the applicants and will remain subject to all applicants underwriting the grant sums payable against either; land, assets or funds placed into a bond or secure account. Walsall Accountable Body will ensure that the generic Grant Agreement and Due Diligence documents on the BCC website are up to date at all times.

Walsall Accountable Body request the following information from the Grantee with which to conduct Accountable Body due diligence. The Grantee acknowledges that all requested information that is available will be provided. The full checklist, which includes the questions asked at each stage, can be found at Appendix 2.

Due Diligence Process

1. Corporate Structure
<ul style="list-style-type: none">➤ Company registration / VAT number / VAT exemption➤ Confirmation that registered with Companies House
2. Financial Status - assessment of the financial status, viability, and capacity to manage the grant
<ul style="list-style-type: none">➤ Audited Financial Statements from last three years➤ Credit Report➤ Management Accounts to latest available date, Business Plan and company Cash flow Forecasts to project completion date➤ Statement of current ratio of assets to liabilities, level of reserves, level of income, creditor days and

- cash balances
- Information about previous contracting history
- Evidence of compliance with Health and Safety legislation
- Any assurance opinion (E.g. internal audit or other assurance) received on the applicant's area of business subject to the application
- Any evidence of previous secured public funds

3. Employer Legislation

- Evidence of commitment to equality and diversity, and people development
- Evidence of compliance with Health and Safety legislation
- Evidence of appropriate insurances

4. State Aid

- A statement to confirm how the applicant will ensure they are in compliance with the rules of state aid, and are in a position to accept this grant without being in contravention of state aid legislation

5. Match Funding

- Applicant's Own Funds - Evidence of all funding for project delivery, including board report/committee minutes, grant determination/requirements & agreements
- Other Funds – Evidence of other private and/or public funding including loan/grant agreements/associated grant determination/requirements

6. Land Title / Interests

- Evidence of Planning Permission and any other consents required for delivery
- Evidence of discharge of key planning conditions
- Evidence of control over all land/property interests required for delivery
- For land in grantee ownership:
 - Copies of title documents and/or lease option agreements
 - OR a declaration by an authorised signatory that these are valid
- For land to be purchased post approval
 - Land registry title, history of land title, proof of registration within 3 months of Grant Award
- For land to be purchased with grant/after project start
 - Land registry title, history of land title, proof of registration within 3 months of Grant Award

7. Procurement

- Evidence of tendered prices
- Evidence of compliance with EU procurement rules and any internal procurement/contractual requirements (please provide copies of financial regulations and contractual procedures)

8. Approvals

- Written approval to proceed – minutes of meeting where a project was approved to contract (written approval from an executive director)
- Original submitted Outline Business Case, and any revised or updated versions (signed and dated)
- Final Full Business Case (signed and dated)
- Grant Agreement, signed and dated by both parties, by a person with appropriate authority
- Written statements to confirm adherence to LEP Assurance Framework, evaluation framework, monitoring process, audit and document retention requirements.

9. Evidence and Payment

Confirmation of the supporting evidence required to support a claim.