

Towns Fund Governance Document Phase 2 and Phase 3

1. Purpose of Document

- 1.1 The purpose of this document is to outline the governance arrangements for Sandwell's Towns Fund Programme for Phase 2 and Phase 3 and supersedes the Towns Fund Governance Arrangements agreed in July 2020.
- 1.2 It has been updated to reflect the next phases of the programme now that the Town Deals have been signed and to reflect the latest Towns Fund Guidance (released by MHCLG December 2020 and April 2021).
- 1.3 The document includes Roles and Responsibilities, Code of Conduct for Board Members, Decision Making arrangements, Scrutiny arrangements, Transparency and Accountability and a List of Members of the Towns Fund Superboard, and three Local Boards

2. Context

- 2.1 Governance is provided to this programme through the Towns Fund Superboard, three Local Boards, and the Council as the Accountable Body.
- 2.2 In accordance with the Towns Fund Guidance published June 2020 and December 2021 the Sandwell Superboard will be classed as the *Town Deal Board*.
- 2.3 The three Local Boards (Rowley Regis, Smethwick and West Bromwich) are constituted as working groups of the Superboard and have a remit to influence the Towns Fund Programme and to form part of the assurance mechanisms to ensure that project delivery remains in keeping with the Vision and objectives outlined in the Town Investment Plan.
- 2.4 Over the forthcoming months, the work of the Local Boards will involve considering options around the projects and the development of consultation and engagement plans, ahead of these being recommended to the Superboard.
- 2.5 MHCLG guidance outlines the following responsibilities for the Town Deal Board: -

- 2.5.1 Over Phase 2 of the Programme (development of full business cases) - the Town Deal Boards should have an ongoing role and sight of decisions, the nature and degree of which should be agreed locally and that the accountable body should make decisions in partnership and collaboration with the Town Deal Board.
- 2.5.2 Phase 3 of the Programme (project delivery) - that the Town Deal Board should ensure an element of independent 'on-the-ground' monitoring of the deal delivery and act as a 'critical friend' throughout the programme lifecycle.

3. Roles and Responsibilities

3.1 Superboard

3.1.1 The Superboard is responsible for: -

- Leadership/ Direction - Provide strategic direction across all of the Town Deal Areas
- Coherent Governance - Ensure a coherent approach across all of the Town Deal Areas, maximising cross town initiatives where possible
- Consistency - Ensure interventions are not competitive across the Town Deal Areas and act to build the local economy
- Alignment to Strategic Priorities - Ensure alignment of projects to Local, Regional and National strategies
- Approve the Stakeholder Engagement Approach – ensuring that communities' voices are involved in shaping design and decision making at each phase of development, and ensuring diversity in its engagement with local communities and businesses
- Support and provide a steer (as required) to the Local Town Boards
- Upholding the Seven Principles of Public Life (Nolan Principles)
- Ensure compliance with Heads of Terms Agreements
- Have sight of and be consulted over project change requests
- Agree Full Business Cases and recommend them for appraisal and approval
- Act as a critical friend throughout the programme
- Fulfil any other duties and responsibilities required of the Town Deal Board by Central Government

3.1.2 The Chair of the Superboard is responsible for:

- Upholding the Seven Principles of Public Life (Nolan Principles)
- Leading the Superboard to achieve its objectives, maintaining an overview of activity, and championing the supporting partnership working

- Ensuring that decisions are made by the Board in accordance with good governance principles
- Signing the submissions to Government on behalf of the Superboard

3.2 Local Boards

3.2.1 The Local Boards are responsible for: -

- Helping develop project business cases as required by the Superboard
- Provide views, opinions and ideas on options and proposals
- To input into and advise on proposed engagement and consultation plans to encourage and help ensure relevant, proportionate and timely engagement with stakeholders
- To champion the Towns Fund projects
- To act as a critical friend offering on the ground local knowledge and perspective
- To make recommendations / create reports detailing the views of the Local Board to Superboard and Project Leads (as required)

3.2.2 The Chairs of the Local Boards are responsible for: -

- Upholding the Seven Principles of Public Life (Nolan Principles)
- Leading the Local Boards to achieve their objectives, maintaining an overview of activity, and championing the supporting partnership working
- Reporting progress to the Superboard
- Acting as a Champion for the Towns Fund projects and the Town vision

3.3 Superboard Members and Sandwell Council Cabinet Members will have an open invite to attend Local Board Meetings and engage and contribute to the development of projects.

3.4 Sandwell Council

3.4.1 Sandwell Council is the Accountable Body for the Town Deal

3.4.2 Sandwell Council is responsible for: -

- Upholding the Seven Principles of Public Life (Nolan Principles)
- Developing a delivery team, delivery arrangements and agreements
- Ensuring that decisions made by the Superboard are in accordance with good governance principles.
- Ensuring transparency through the publication of agendas and minutes of the Superboard on CMIS
- Developing agreed projects in detail and undertaking any necessary feasibility studies
- Undertaking any required Environmental Impact Assessments or Public Sector Equality Duties

- Monitoring and evaluating the delivery of Towns Fund projects and impact
- Submitting monitoring reports, as required
- Receiving and Accounting for the Town's Funding allocation and capacity funds
- Undertake business case assurance and sign off in line with local processes (approval from SMBC Cabinet)
- Engage with the Towns Fund Superboard regarding project changes
- Proactively consult the Towns Fund Lead (MHCLG representative) on any potential changes to approved plans
- Ensure that all templates submitted to MHCLG are accurate and complete representations of current circumstances

4. Board Vacancies

- 4.1 **Superboard** - Vacancies occurring within the Superboard are for the identified organisations to make an appointment to in line with their own governance procedures.
- 4.2 **Young People's Representatives** - Vacancies occurring in young people's representation at Superboard and Local Boards will be identified and appointed to via the Sandwell Council Youth Service in consultation with the Chair of the Superboard and the relevant Local Board Chair, as appropriate.
- 4.3 **Local Board Representatives** - As working groups of the Superboard, Local Board appointments to vacancies will be agreed by Superboard. Any changes to the overall composition of the Local Boards should be made in consultation with the Leader and Cabinet Member for Inclusive Economic Growth.

5. Code of Conduct

- 5.1 All Members of the Superboard and Local Boards will sign the Councillor Code of Conduct which is based on the Seven Principles of Public Life (Nolan Principles) and contained within Article 13 of the Council's constitution.
- 5.2 Members of the Superboard and the Superboard as a whole will be required to declare and register any gifts and/or hospitality which will be maintained by the Council.

6. Decision Making – Superboard

6.1 The Council's Principles of Decision Making will apply to the Superboard, as laid out in article 13 of the Council's Constitution. 'elected member' is taken to refer to Superboard member: -

6.1.1 Article 13.02 Principles:

- Proportionality (i.e. the action taken is proportionate to the desired outcome);
- Decisions are taken on the basis of due consultation and professional advice from officers (Decisions taken by elected members will be based on information provided in a written report prepared by the responsible officer/s);
- Respect for human rights and giving due regard to the Public Sector Equality Duty;
- A presumption in favour of openness (Reports will only be considered in private where they contain exempt information as defined in Schedule 12A to the Local Government Act 1972 (as amended)(see Part 4 Access to Information Rules – Rule 10);
- Clarity of aims and desired outcomes (The written reports submitted to elected members will contain a clear recommendation of the professional officer for every decision they are asked to take)

6.2 **Quorum** – the Superboard will be considered quorate with one quarter of voting members present.

6.3 **Voting** – any matter will be decided upon by a simple majority of those members present in the room and eligible to vote.

6.4 **Confirmation of minutes** - The Chair presiding shall put the question that the minutes submitted to the meeting be approved as a correct record.

6.5 Declarations of Interest

6.5.1 Members shall be required to declare interests in accordance with any relevant statutory provisions and the Members' Code of Conduct as set out in Part 5 of the Constitution.

- 6.5.2 Where a Superboard member has a disclosable pecuniary interest or pecuniary interest in the business of the authority he/she must withdraw from the room or chamber where the meeting considering the business is being held unless the member has obtained a dispensation from the Council's Monitoring Officer.

7. Recommendations from Local Boards

- 7.1 As working groups of the Superboard, Local Boards will not have decision-making responsibilities. Through their recommendations and reports, Local Boards will influence the programme and project direction and will therefore adopt good governance principles for the management of declarations of interest as follows: -

7.2 Declarations of Interest

- 7.2.1 Where a Local Board Member has a disclosable pecuniary interest or pecuniary interest in the business of the authority he/she must withdraw from the room or chamber where the meeting considering the business is being held unless the member has obtained a dispensation from the Council's Ethical Standards and Member Development Committee.
- 7.2.2 Where a Local Board Member is nominated as the Lead Officer for a project and/or is involved in project delivery, they may attend the Local Board discussion relating to the project in the capacity of providing and presenting information but they may not participate in any deliberations or decision by the Local Board concerning that project.
- 7.3 In the event that Local Board wishes to move to a vote, any matter will be decided upon by a simple majority of those members present in the room and eligible to vote.
- 7.4 The Chair shall have a casting vote.

8. Scrutiny

- 8.1 Scrutiny of Sandwell's Towns Fund Programme will be provided by the Council's Overview and Scrutiny Arrangements and through the critical friend challenge that will be provided by Superboard and Local Boards.

9. Transparency and Accountability

9.1 Superboard Agendas and Minutes

- 9.1.1 The Council will publish Superboard meeting agendas on CMIS 5 clear days before the meeting.
- 9.1.2 Draft minutes of the Superboard will be published within 10 clear working days; and
- 9.1.3 Approved minutes of the Superboard will be published within 10 clear working days

9.2 Member profiles

- 9.2.1 Profiles of Superboard Members will be published on CMIS.

9.3 Conflicts of Interest

- 9.3.1 Members of the Superboard will be required to declare any conflicts of interest (commercial, actual and potential). This will be maintained by the council in a declaration of interest register which will be managed by Sandwell Council.
- 9.3.2 Superboard Members should take personal responsibility for declaring their interests before any decision is considered by the Superboard. These will be formally noted within the published minutes of meetings of the Superboard including action taken in response to any declared interest.
- 9.3.3 Local Board Members should take personal responsibility for declaring their interests prior to an item being discussed. These will be noted within the minutes including action taking in response to any declared interest. If any Member has any queries about their interests and the disclosure thereof, they should seek advice from the Monitoring Officer.

10. Membership

10.1 Towns Fund Superboard

Representative	Organisation	Individual
Chair	Jude Thompson - President of the Black Country Chamber of Commerce	
Board Members	Federation of Small Businesses (FSP)	Karen Woolley
	Homes England Rep	Jo Nugent
	Black Country LEP	Geoff Layer
	Liberty Group – CEO Jahama Group	Dilip Awtani
	Local Board Chair – West Bromwich	Chris Hinson
	Local Board Chair – Smethwick	Alan Taylor
	Local Board Chair – Rowley Regis	Adrian Eggington
	MP (Halesowen and Rowley Regis)	James Morris
	MP (Warley)	John Spellar
	MP (West Bromwich East)	Nicola Richards
	MP (West Bromwich West)	Shaun Bailey
	Sandwell College CEO	Graham Pennington
	SCVO CEO	Mark Davis
	SVCO Board Member	Geoff Foster
	SMBC Leader	Cllr Rajbir Singh
	SMBC Cabinet Member Strong and Inclusive Economy	Cllr Iqbal Padda
	Transport for West Midlands	Sandeep Shingadia
	WMCA	Gareth Bradford
	Sandwell Youth Parliament	Vacancy
	Police Representative	Keeley Bevington
SMBC Officers (attending in advisory capacity)	SMBC CEO	David Stevens
	SMBC Executive Director, Children Services	Lesley Hagger
	SMBC Interim Director - Regeneration and Growth	Tammy Stokes
	SMBC Monitoring Officer	Surjit Tour

10.2 Local Boards

West Bromwich		
Representative	Organisation	Individuals
Chair	Chris Hinson – Sandwell Business Ambassador	
Business Community	West Bromwich BID	Lisa Hill
Voluntary and Community Sector	Multistory SCVO Kaleidoscope Albion Foundation YMCA Greets Green Community Enterprise The GAP Centre West Bromwich African Caribbean Centre	Emma Chetcuti Leona Bird Monica Shafaq Rob Lake Steve Clay Wendy Brookfield Andrew Bent Shane Ward
BME, Equality and Faith Group Representatives	Vacancy	Vacancy
Young People's Representative	West Bromwich Resident/ Sandwell Council Apprentice	Dannielle Hawthorne
Public Sector Organisations	Sandwell College West Midlands Police WMCA Officer Level Sandwell & West Birmingham CCG	Simon Griffiths Vacancy Vacancy Andrew Lawley
Elected Members	Town Lead Member Deputy Town Lead Member	Cllr Melia Cllr E Giles / Cllr K Akpoteni
Superboard Members & Cabinet Members in attendance, as desired		

Smethwick		
Representative	Organisation	Individuals
Chair	Alan Taylor (MI Glass) – Sandwell Business Ambassador	
Business Community	Business Representative Liberty Engineering	Omar Rashid John Wood
Voluntary and Community Sector	Brasshouse Community Centre SCVO Albion Foundation Smethwick Church Action	Jennifer Harrison Leona Bird Rob Lake Gareth Brown
BME, Equality and Faith Group Representative	Guru Nanak Gurdwara	Jatinder Singh

Smethwick		
Representative	Organisation	Individuals
Young People's Representative	Vacancy	Vacancy
Public Sector Organisations	Sandwell College West Midlands Police WMCA Officer Level Sandwell & West Birmingham CCG	David Holden Sgt Joanne Parke Vacancy Andrew Lawley
Elected Members	Town Lead Member Deputy Town Lead Member	Cllr Shaeen Cllr S Gill
Superboard Members & Cabinet Members in attendance, as desired		

Rowley Regis		
Representative	Organisation	Individuals
Chair	Adrian Eggington – Black Country Housing Group	
Business Community	Business Representative/ Local Resident	Wayne Edwards
Voluntary and Community Sector	Cradley Heath Community Link Agewell Grace Mary to Lion Farm Big Local SCVO Murray Hall Community Trust Black Country Touring	Alecia Baker Deborah Harrold Helen Trueman Leona Bird Manjula Patel Matt Andrews
BME, Equality and Faith Group Representative	Cradley Heath Mosque	Mohammed Asif
Young People's Representative	Rowley Regis Resident/ SHAPE Youth Forum Member	Harvey Katarina
Public Sector Organisations	Sandwell College West Midlands Police West Midlands Police WMCA Officer Level Sandwell & West Birmingham CCG	Ann Sheridan Sgt Cheryl Reed Insp. Bel Sixsmith Vacancy Andrew Lawley
Elected Members	Town Lead Member Deputy Town Lead Member	Cllr Ashman Cllr Mabena
Superboard Members & Cabinet Members in attendance, as desired		

1. Purpose of Document

- 1.1 The purpose of this document is to outline the governance arrangements for Sandwell's Towns Fund Programme for Phase 3 and supersedes the Towns Fund Governance Arrangements agreed in July 2021 which was relevant to Phases 1 and 2.
- 1.2 It has been updated to reflect the next phases of the programme now that the Town Deals have been signed and to reflect the latest Towns Fund Guidance (released by MHCLG December 2020, April 2021 and December 2021).
- 1.3 The document includes Roles and Responsibilities, Code of Conduct for Board Members, Decision Making arrangements, Scrutiny arrangements, Transparency and Accountability and a List of Members of the three Local Boards

2. Context

- 2.1 Governance was provided to this programme through the Towns Fund Superboard and three Local Boards, and the Council as the Accountable Body for Phases 1 and 2.
- 2.2 For Phase 3 -Delivery, the work of the Local Boards will involve reviewing progress of the Towns Fund Programme and projects, assessing change requests and ensuring compliance with Heads of Terms. In accordance with the Towns Fund Guidance published June 2020 and updated guidance in, the Local Boards will each act as the Town Deal Board for their respective Towns.
- 2.3 MHCLG guidance outlines the following responsibilities for the Town Deal Board: -
 - 2.3.1 Phase 3 of the Programme (project delivery) - that the Town Deal Board should ensure an element of independent 'on-the-ground' monitoring of the deal delivery and act as a 'critical friend' throughout the programme lifecycle.
 - 2.3.2 Through project delivery, ensure regular catch ups with the Town Deal Board to enable the board to see through the town vision, take ownership of their proposed projects and provide a level of accountability.
 - 2.3.3 The Town Deal Board should have an ongoing role and sight of decisions, the nature and degree of which should be agreed locally.



3. Roles and Responsibilities

3.1 Local Boards

3.1.1 The Local Board will be responsible for: -

- Leadership/ Direction - Provide strategic direction across all of the Town Deal Areas
- Coherent Governance - Ensure a coherent approach across all of the Town Deal Areas, maximising cross town initiatives where possible
- Consistency - Ensure interventions are not competitive across the Town Deal Areas and act to build the local economy
- Alignment to Strategic Priorities - Ensure alignment of projects to Local, Regional and National strategies
- Approve the Stakeholder Engagement Approach – ensuring that communities' voices are involved in shaping design and decision making at each phase of development, and ensuring diversity in its engagement with local communities and businesses
- Support and provide a steer (as required) to the Local Town Boards
- Upholding the Seven Principles of Public Life (Nolan Principles)
- Ensure compliance with Heads of Terms Agreements
- Have sight of and be consulted over project change requests
- Agree Full Business Cases and recommend them for appraisal and approval
- Act as a critical friend throughout the programme
- Fulfil any other duties and responsibilities required of the Town Deal Board by Central Government

3.1.2 The Chair of the Local Boards will be responsible for:

- Upholding the Seven Principles of Public Life (Nolan Principles)
- Leading the Local Boards to achieve its objectives, maintaining an overview of activity, and championing the supporting partnership working
- Ensuring that decision are made by the Board in accordance with good governance principles
- Signing the submissions to Government on behalf of the Local Boards

3.2 Sandwell Council

3.2.1 Sandwell Council is the Accountable Body for Sandwell's Town Deal Programme.



3.2.2 Sandwell Council is responsible for: -

- Upholding the Seven Principles of Public Life (Nolan Principles)
- Developing a delivery team, delivery arrangements and agreements
- Ensuring that decisions are made by the Local Boards are in accordance with good governance principles.
- Ensuring transparency through the publication of agendas and minutes of the Local Boards on CMIS
- Developing agreed projects in detail and undertaking any necessary feasibility studies
- Undertaking any required Environmental Impact Assessments or Public Sector Equality Duties
- Monitoring and evaluating the delivery of Towns Fund projects and impact
- Submitting monitoring reports, as required
- Receiving and Accounting for the Town's Funding allocation and capacity funds
- Undertake business case assurance and sign off in line with local processes (approval from SMBC Cabinet)
- Engage with the Towns Fund Local Boards regarding project changes
- Proactively consult the Towns Fund Lead (MHCLG representative) on any potential changes to approved plans
- Ensure that all templates submitted to MHCLG are accurate and complete representations of current circumstances

4. Board Vacancies

4.1 **Local Board** - Vacancies occurring within the Local Boards are for the identified organisations to make an appointment to in line with their own governance procedures.

4.2 **Young People's Representatives** - Vacancies occurring in young people's representation at Local Boards will be identified and appointed to via the Sandwell Council Youth Service in consultation with the Chair of the Local Boards, as appropriate.

5. Code of Conduct

5.1 All Members of the Local Boards will sign the Councillor Code of Conduct which is based on the Seven Principles of Public Life (Nolan Principles) and contained within Article 13 of the Council's constitution.



- 5.2 Members of the Local Boards as a whole will be required to declare and register any gifts and/or hospitality which will be maintained by the Council.

6. Decision Making – Local Boards

- 6.1 The Council's Principles of Decision Making will apply to the Local Boards, as laid out in article 13 of the Council's Constitution. 'elected member' is taken to refer to Local Board member: -

6.1.1 Article 13.02 Principles:

- Proportionality (i.e. the action taken is proportionate to the desired outcome);
- Decisions are taken on the basis of due consultation and professional advice from officers (Decisions taken by elected members will be based on information provided in a written report prepared by the responsible officer/s);
- Respect for human rights and giving due regard to the Public Sector Equality Duty;
- A presumption in favour of openness (Reports will only be considered in private where they contain exempt information as defined in Schedule 12A to the Local Government Act 1972 (as amended) (see Part 4 Access to Information Rules – Rule 10);
- Clarity of aims and desired outcomes (The written reports submitted to elected members will contain a clear recommendation of the professional officer for every decision they are asked to take)

- 6.2 **Quorum** – the Local Boards will be considered quorate with one quarter of voting members present.

- 6.3 **Voting** – any matter will be decided upon by a simple majority of those members present in the room and eligible to vote.

- 6.4 **Confirmation of minutes** - The Chair presiding shall put the question that the minutes submitted to the meeting be approved as a correct record.

6.5 Declarations of Interest

- 6.5.1 Members shall be required to declare interests in accordance with any relevant statutory provisions and the Members' Code of Conduct as set out in Part 5 of the Constitution.



- 6.5.2 Where a Local Board member has a disclosable pecuniary interest or pecuniary interest in the business of the authority he/she must withdraw from the room or chamber where the meeting considering the business is being held unless the member has obtained a dispensation from the Council's Monitoring Officer.
- 6.5.3 Where a Local Board Member is nominated as the Lead Officer for a project and/or is involved in project delivery, they may attend the Local Board discussion relating to the project in the capacity of providing and presenting information but they may not participate in any deliberations or decision by the Local Board concerning that project.
- 6.6 In the event that Local Board wishes to move to a vote, any matter will be decided upon by a simple majority of those members present in the room and eligible to vote.
- 6.7 The Chair shall have a casting vote.

7. Scrutiny

- 7.1 Scrutiny of Sandwell's Towns Fund Programme will be provided by the Council's Economic, Skills, Environment and Transport Scrutiny Board on a quarterly basis and through the critical friend challenge that will be provided by the Local Boards.

8. Transparency and Accountability

8.1 Local Board Agendas and Minutes

- 8.1.1 The Council will publish Local Board meeting agendas on Modern.gov 5 clear days before the meeting.
- 8.1.2 Draft minutes of the Local Boards will be published within 10 clear working days; and
- 8.1.3 Approved minutes of the Local Boards will be published within 10 clear working days

8.2 Member profiles

- 8.2.1 Profiles of Local Board Members will be published on Modern.gov.uk



8.3 Conflicts of Interest

- 8.3.1 Members of the Local Boards will be required to declare any conflicts of interest (commercial, actual and potential). This will be maintained by the council in a declaration of interest register which will be managed by Sandwell Council.
- 8.3.2 Local Boards Members should take personal responsibility for declaring their interests before any decision is considered by the Local Boards. These will be formally noted within the published minutes of meetings of the Local Boards including action taken in response to any declared interest.
- 8.3.3 Local Board Members should take personal responsibility for declaring their interests prior to an item being discussed. These will be noted within the minutes including action taking in response to any declared interest. If any Member has any queries about their interests and the disclosure thereof, they should seek advice from the Monitoring Officer.

(The following sections are proposed new additions to the Terms of Reference)

9. The Boards relationship with Sandwell Council

- 9.1 In accordance to the government guidance, the Town Deal Board will have sight and endorse Accountable Body decisions in the delivery of the Towns Fund Programme. Sandwell Council will remain the Accountable body for any Town Deal funding that is received, and any other funding received in future in relation to Town Deal projects.
- 9.2 These Terms of Reference do not change, replace, substitute for or amend in any way the statutory powers or duties or other responsibilities of any of the people or organisations represented on the Sandwell Town Deal Boards.
- 9.3 The procurement policies of Sandwell Council will apply. Where external professional advice is required, consultants will be identified using the procurement policies of Sandwell Council and contracts will be entered into between Sandwell Council and the relevant organisation in accordance with Sandwell Councils policies and procedures including its contract procedure rules.
- 9.4 Where applicable, Sandwell Councils Cabinet will receive regular reports on progress of activities through regular performance monitoring.
- 9.5 Board Members shall make themselves available from time to time to meet Cabinet and / or Portfolio Holder and to attend meetings of the Council's Scrutiny Committee if invited.



- 9.6 The council's Data Protection Officer and the PMO will support the Board in dealing with any data protection questions. The councils framework can be found at [:Information Governance and Data Protection](#)

10. Membership

- 10.1 The Lead Council has responsibility for establishing the Town Deal Boards for the development and implementation of the Town Investment Plans
- 10.2 The Local Boards will now assume responsibility for future governance under these Terms of References in consultation with the Accountable Body.
- 10.3 Membership will be reviewed annually and seek to continue to be representative of a diverse range of sectors, skills and interests in Sandwell in order for the Sandwell Towns Boards to be a valuable resource to drawn on at all stages of the Town Investment Plan implementation.
- 10.4 Advisors – Advisors are invited by Board Members and participate in the meetings but will have no voting rights or ability to make decisions on behalf of the Board.
- 10.5 S151 Officer – Sandwell Council is the Accountable Body for the Town Board. The Council's S151 Officer or substitute will have a standing invite on the Local Boards to ensure compliance with all necessary financial regulations.
- 10.6 These terms of reference may be reviewed and modified at any time in consultation with the , Director of Law and Governance .

11. Scheme of Delegation

- 11.1 The Scheme of delegation in relating decision making are included as an annex to these Terms of Reference.
- 11.2 A decision which is made in contravention of the process will be invalid based on non- compliance unless the Local Board has given prior approval for variation in the decision-making process.
- 11.3 Any financial decision must be signed off by Sandwell's S151 Officer as the Accountable Body. The Council's S151 Officer will ensure compliance with all necessary financial regulations, in order to protect the Accountable Body and ensure proper administration of all financial affairs.
- 11.4 The Chair of the Local Board can decide to convene a meeting where decisions need to be considered by the Local Boards which does not fit within the timeframe of the scheduled meetings. Where possible, the standard notice period will apply for any such meeting.



- 11.5 Where a meeting cannot be convened, urgent decisions can be endorsed by the Local Board through a written procedure.
- 11.6 Only in the most exceptional circumstances might it be considered necessary and appropriate for a matter of strategic importance usually reserved to the Main Board to be decided through this procedure. This will apply where a project cannot continue without a decision being approved, therefore posing a significant risk to project deliverability. This includes, but is not limited to:
- a) Time limited reallocation of funding
 - b) Changes to Heads of Terms
 - c) Changes to Mandatory Indicators and financial profiles
- 11.7 Written/Urgent Procedure:
- 11.7.1 Following consideration by Director of Regeneration and Growth/S151, a report in the usual meeting format and including reasons for urgency, will be circulated to the Chair/Vice chair to consider whether, due to the urgent nature of the decision to be made, it is necessary and appropriate for the decision to be made before the next meeting.
- 11.7.2 The Chair/Vice Chair may consult with Director of Regeneration and Growth /S151 or other officers to provide further information where required.
- 11.7.3 Within 5 working days of the report being presented, the Chair/Vice Chair will inform whether the decision is endorsed on behalf of the Board.
- 11.7.4 For transparency the report, reasons for urgency, and decision will be presented to the next Local Board meeting.

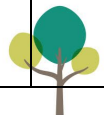
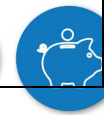
12. Objections following Consultations

- 12.1 Project Leads will present any objections that have been received following consultation on Towns Fund projects to the Local Boards. The Local Board will consider the objections and alternative options prior to making a decision in consultation with the appropriate Cabinet member.
- 12.2 In the event that a decision cannot be agreed between Local Board and Cabinet member, a separate meeting will be held with the Leader, Cabinet Member, Chair of Local Board and Director of Regeneration and Growth to discuss/resolve difference of view.
- 12.3 The project will not proceed in the delivery phase until a decision has been made.



Annex 1

Type of Variation	Scale of Variation	Action Required	Requires Local Board endorsement?	Delegated Authority to approve	Approval required from DLUHC	Action following DLUHC approval
Heads of Terms	Any Changes to the Heads of Terms	Submit Project Adjustment Request	Yes	Director of Regeneration & Growth in consultation with Cabinet Member and S151 Officer *(subject to May 22 Cabinet approval)	Yes S151 sign off required	Issue Deed of Variation
Financial	A decrease/increase of grant funds to be drawn down by the project which is less than £250,000					
	A decrease/increase of grant funds to be drawn down by the project which is greater than £250,000					
	Any decrease of match funding					
	An increase in the match funding cost of the project without impact to the agreed funding for the project, the outputs/ outcomes or project completion	Update PMO	n/a	Towns Fund Programme Manager	No	Issue Re-profile letter Report to Local Board
Time/ Schedule	Slippage of milestones with no effect on total grant, completion date, outputs/outcomes	Update PMO	No	Towns Fund Programme Manager	Tbc	Issue Re-profile letter Report to Local Board
	Slippage of outcomes and/ or grant claim profile, requiring re-profiling across future financial years with no overall change to project	Submit Project Adjustment Request	Yes	Director of Regeneration & Growth in consultation with S151 Officer*	Yes S151 sign off required	Issue Re-profile letter Report to Local Board
Outcomes/Outputs	An increase in the outputs and outcomes of the project.	Quarterly reporting by project lead	No	Towns Fund Programme Manager	No	Report to Local Board
	Any decrease to Mandator indicators outputs and outcomes of the project.	Submit Project Adjustment Request	Yes	Director of Regeneration & Growth, in consultation with S151 Officer and Cabinet Member	Yes S151 sign off required	Issue Deed of Variation
	Any decrease to Local Measures	Submit Project Adjustment Request	Yes	Director of Regeneration & Growth	Tbc	Issue Re-profile letter
Other	Changes to project contact information, administrative errors and others which have no impact to approved outcomes, outputs or grant.	Inform Project Lead/PMO	No	Towns Fund Programme manager	Tbc	Update documentation and Local Board where applicable



Annex 4

WEST BROMWICH PROPOSED LOCAL BOARD MEMBERSHIP

Organisation	Individual
Sandwell Business Ambassador	Chris Hinson - Chair
Albion Foundation	Rob Lake
Greets Green Community Enterprise	Wendy Brookfield
Kaleidoscope	Monica Shafaq
Multistory	Emma Chetcuti
SCVO	Leona Bird
Sandwell and West Birmingham CCG	Andrew Lawley
Sandwell College	Simon Griffiths
Ward Member representative	Tbc
West Bromwich Town Lead Member	Councillor Steve Melia
The GAP Centre	Andrew Bent
West Bromwich African Caribbean Centre	Shane Ward
West Bromwich BID	Lisa Hill
West Midlands Police	Identified in line with rest days
WMCA Officer Level	Vacancy
YMCA	Luke Tyler
Young Peoples Representative	Danielle Hawthorne
SMBC Cabinet Member	Cabinet Member – Councillor Hartwell
Transferred from Superboard	
SMBC Leader	CLlr Kerrie Carmichael
Cabinet Member for Strong and Resilient Communities	Portfolio holder structure has changed - to be updated following election
SMBC Cabinet Member for Governance and Democracy	Portfolio holder structure has changed - to be updated following election
SMBC Cabinet Member for Regeneration and Growth	TBC/ CLlr Kerrie Carmichael
MP	Nicola Richards - MP West Bromwich East Constituency
Business Representative/Vice Chair	Jude Thompson
LEP representative	Geoff Layer
Homes England Representative	Jo Nugent
Transport for West Midlands	Sandeep Shingadia
SMBC Representative	
Towns Fund Programme Manager	Rina Rahim
Towns Fund Programme Support Officer	Emma Parkes
Regeneration Manager	Jenna Langford
Director – Regeneration and Growth	Tony McGovern
Managing Director Commissioner	Kim Bromley-Derry
SMBC Monitoring Officer	Surjit Tour
Employment and Skills	Kelly Thomas
Regeneration Lead	Joshua Singh/ Alex Oxley
Service Manager for Culture and Tourism	Jane Lillystone
Interim Service Manager for Assets and Land	Chris Hilton



SMETHWICK PROPOSED LOCAL BOARD MEMBERSHIP

Organisation	Individual
MI Glass	Alan Taylor - CHAIR
Albion Foundation	Rob Lake
Brasshouse Community Centre	Jennifer Harrison
Business Representative	Omar Rashid
Guru Nanak Gurdwara	Jatinder Singh
Liberty Engineering	John Wood
Sandwell and West Birmingham CCG	Andrew Lawley
Sandwell College	David Holden
SCVO	Leona Bird
Ward Member representative	Tbc
Smethwick Town Lead Member	Councillor Farut Shaeen
West Midlands Police	Sgt Joanne Parke
WMCA Officer Level	Vacancy
Young People's representative	Muhammed Shabir
Young People's representative	Muskaan Iqbal
Smethwick Church Action Network	Gareth Brown
SMBC Cabinet Member	Councillor-Piper
SMBC Cabinet Member	Councillor Ahmed
Transferred from Superboard	
SMBC Leader	CLlr Kerrie Carmichael
MP	John Spellar - MP Warley Constituency
Business Representative/Vice Chair	Jude Thompson
SMBC Cabinet Member for Regeneration & Growth	Tbc/CLlr Kerrie Carmichael
Cabinet Member for Strong and Resilient Communities	Portfolio holder structure has changed - to be updated following election
SMBC Cabinet Member for Governance and Democracy	Portfolio holder structure has changed - to be updated following election
LEP representative	Geoff Layer
Homes England Representative	Jo Nugent
Transport for West Midlands	Sandeep Shingadia
SMBC representatives	
Regeneration Manager	Jenna Langford
Towns Fund Programme Manager	Rina Rahim
Towns Fund Programme Office/ Note Taker	Emma Parkes
Director – Regeneration and Growth	Tony McGovern
Managing Director Commissioner	Kim Bromley-Derry
SMBC Monitoring Officer	Surjit Tour
Director Town Lead	Vacant
Employment and Skills	Kelly Thomas
Regeneration Lead	Hayley Insley / Clinton Felicio
Service Manager for Culture and Tourism	Jane Lillystone
Interim Service Manager for Assets and Land	Chris Hilton



ROWLEY REGIS PROPOSED LOCAL BOARD MEMBERSHIP

Organisation	Individual
Black Country Housing Group	Adrian Eggington - CHAIR
Agewell	Deborah Harrold
Cradley Heath Central Mosque	Mohammed Asif
Cradley Heath Community Link	Vacancy
Business Rep and Local Resident	Wayne Edwards
Grace Mary to Lion Farm Big Local	Helen Trueman
Murray Hall Community Trust	Manjula Patel
SCVO	Leona Bird
Sandwell and West Birmingham CCG	Andrew Lawley
Sandwell College	Ann Sheridan
Ward Member representative	Tbc
Rowley Regis Town Lead Member	Councillor Lorraine Ashman
SMBC Local Cabinet Member	Councillor Maria Crompton
SMBC Local Cabinet Member	Councillor Danny Millard
West Midlands Police	Attendance in line with rest days
WMCA Officer Level	Vacancy
Young People's Representative	Harvey Katarina
Transferred from Superboard	
SMBC Leader	Cllr Kerrie Carmichael
MP	James Morris - MP Halesowen and Rowley Constituency
Business Representative/Vice-Chair	Jude Thompson
SMBC Cabinet Member for Regeneration & Growth	Tbc/Cllr K Carmichael
LEP representative	Geoff Layer
Homes England Representative	Jo Nugent
Transport for West Midlands	Sandeep Shingadia
SMBC Representatives	
Towns Fund Programme Manager	Rina Rahim
Towns Fund Programme Support Officer	Emma Parkes
Director, Regeneration and Growth	Tony McGovern
Regeneration Manager	Jenna Langford
Managing Director Commissioner	Kim Bromley-Derry
SMBC Monitoring Officer	Surjit Tour
Employment and Skills	Kelly Thomas
Regeneration Lead	Alan Reynolds
Service Manager for Culture and Tourism	Jane Lillystone
Interim Service Manager for Assets and Land	Chris Hilton
Programme Support/ Note Taker	Jenny Bakewell





DRAFT Towns Fund Programme Board Terms of Reference

1. Purpose of Document

- 1.1 The purpose of this document is to outline the Terms of Reference for the Towns Fund Programme Board including membership. **This document will remain in draft release until the approval of the Towns Fund Governance Document Addendum by Cabinet (scheduled May 2022).**

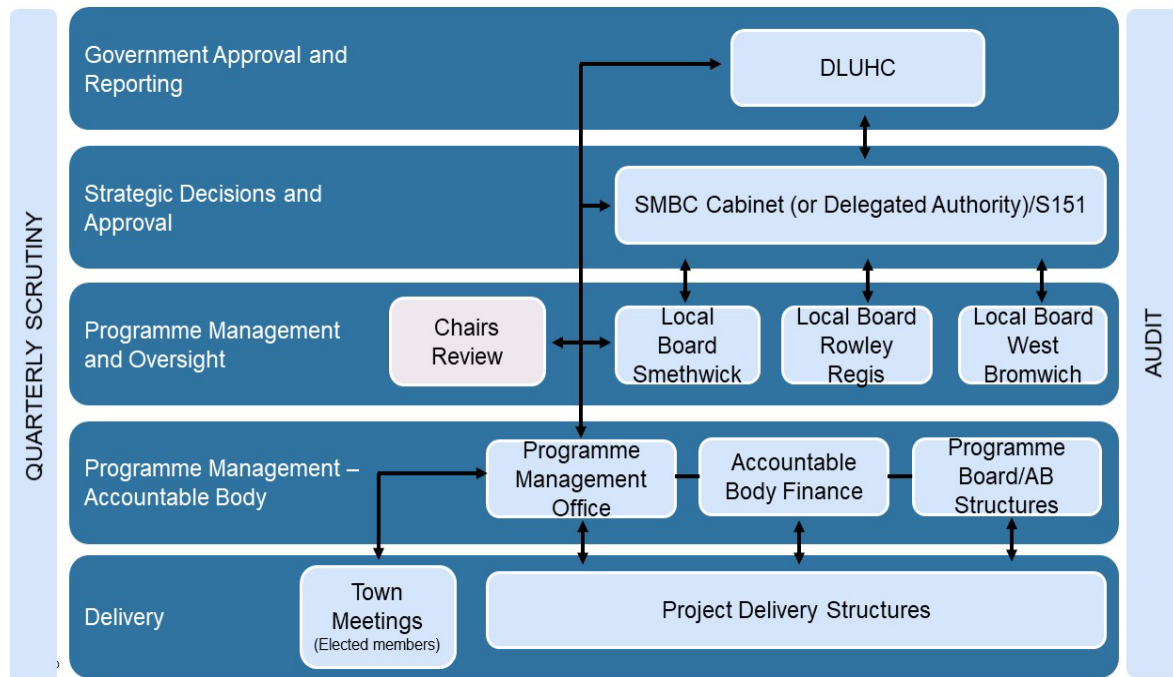
2. Version Control

Version Number and Date	Changes since previous release
Draft v1 29/02/21	N/a
Draft v2 25/4/2022	3.1 Updated governance for phase 3 3.2 Guidance updated April 21 4. Updated structure 5. Updated purpose 8. Frequency of meetings 9. Chair and attendees

3. Towns Fund Programme Governance Context

- 3.1 Governance for the Sandwell Towns Fund Programme is documented in the *Towns Fund Governance Document*, approved by SMBC Cabinet in July 2021 and the forthcoming Draft '*Towns Fund Programme Governance' relating to Phase 3 of the Towns Fund Programme*', which is scheduled for Cabinet approval in May 2022.
- 3.2 The Local Boards Terms of Reference (currently draft) reflects the governance required for the next phases of the Towns Fund Programme and the latest Towns Fund Guidance released by MHCLG in April 2021. This details the roles and responsibilities of the Accountable Body and Local Boards in ensuring the successful delivery of the Towns Fund Programme. The creation of a Towns Fund Programme Board during Phases 1 and 2, enabled the submission of all summary documentation to DLUHC by 24th March 2022.

4. Draft Governance diagram



5. Towns Fund Programme Board Purpose

- 5.1 The main function of the Towns Fund Programme Board is to create a platform whereby Project Leads can meet collectively to discuss progress/ issues relating to project delivery and monitoring requirements. This ensures the delivery of the Towns Fund Programme is in line with DLUHC requirements and Heads of Terms, SMBC requirements as Accountable Body, and the recommendations of the Towns Fund Local Boards.

6. Accountability

- 6.1 The Programme Board is accountable to SMBC as the Accountable Body for the Towns Fund Programme.

7. Responsibilities

7.1 Officers will use the Programme Board as a platform to discuss Towns Fund project/programme related matters with any new guidance from DLUCH presented by the PMO. This will also provide opportunity for collaborative working, sharing of information and experience where applicable. Officers are expected to refer to the Assurance Framework which sets out approaches to:

- Governance
- Stakeholder Engagement and External Communication
- Design approach
- Funding
- Delivery
- Resourcing
- Information Management
- Knowledge and Learning
- Assurance
- Decision Making
- Issue Resolution
- Risk Response

The Programme Board will support the development and implementation of the Assurance Framework throughout the Towns Fund Programme lifetime.

8. Frequency of Meetings

8.1 The Programme Board will meet 6-weekly in the initial phases of delivery whilst monitoring arrangement are being established. It is anticipated that the board will then move to meeting quarterly / on an exception basis.

9. Board Attendees and Chair

9.1 The Board will be chaired by Tony McGovern, Director of Regeneration and Growth and will comprise representatives from SMBC Corporate Functions. Project Delivery Leads will have a standing invite.

9.2 Attendees:

Name	Organisation	Representing
Core Representatives		
Tony McGovern	Sandwell Council	Senior Responsible Officer/Director of Regeneration & Growth
Rina Rahim	Sandwell Council	Towns Fund Programme Manager
Emma Parkes	Sandwell Council	Towns Fund Programme Support Officer
Rebecca Maher	Sandwell Council	SMBC Finance Representative
TBC	Sandwell Council	SMBC Legal Representative
Andy Jukes	Sandwell Council	SMBC Procurement Representative
Jenna Langford	Sandwell Council	SMBC Regeneration Manager
Santokh Singh	Sandwell Council	SMBC Neighbourhoods
Tariq Karim	Sandwell Council	SMBC Young People's Engagement
Harpreet Dhillon	Sandwell Council	SMBC Press Office Representative

Name	Organisation	Representing
Joshua Singh	Sandwell Council	SMBC Regeneration Town Lead for West Bromwich
Hayley Insley	Sandwell Council	SMBC Regeneration Town Lead for Smethwick
Alan Reynolds	Sandwell Council	SMBC Regeneration Town Lead for Rowley Regis
Clinton Felicio	Sandwell Council	SMBC Regeneration Town Support Officer
Project Leads		
Wendy Brookfield	GGCE	Digital Den
Joshua Singh	Sandwell Council	Urban Greening
Alex Oxley	Sandwell Council	Retail Diversification Programme
Jane Lillystone/ Mark Evans	Sandwell Council	Town Hall Quarter
Wayne Moore	Sandwell Council	West Bromwich Connected
Roland Barret-Price	Sandwell College	Sandwell Civil and Mechanical Engineering Centre Rowley Regis Satellite Education Hub
James Dennison	Canal and River Trust	Canal Network Connectivity
Andy Miller	Sandwell Council	Blackheath Bus Interchange and Public Realm
Chad Smallman	Sandwell Council	Rowley Regis Connected
John R Satchwell	Sandwell Council	Britannia Park Greenspace and Community Hub
Austin Bell	NHS Trust	Midland Met Learning Campus
Talvinder Sandhu	Sandwell Council	Smethwick Connected
Erroll Blackwood	Sandwell Council	Smethwick Ron Davis Centre Expansion
Hayley Insley	Sandwell Council	Grove Lane Regeneration Rolfe Street Canalside Regeneration

Sandwell Towns Fund – Assurance Panel Terms of Reference

1. Purpose of the Assurance Panel

- 1.1. The role and purpose of the Assurance Panel is where the Financial, Economic and Commercial Cases of Towns Fund Projects have been prepared with the support of an independent third party, the Assurance Panel will provide assurance that the projects are a strategic fit; support a compelling case for change; maximise public value; are commercially viable; are affordable and funding and can be achieved successfully by the organisation and its partners.
- 1.2. If the Assurance Panel agree, they will authorise, by the signatures of the Section 151 Officer and the Town Deal Board Chair for a Project Summary Document to be prepared and submitted to DLUHC by the Programme Management Office.

2. Assurance Panel Members & Voting Rights & Decision Making

Organisation	Position	Voting rights
Sandwell MBC	Director Regeneration & Growth	Yes
	Director of Finance/S151 Officer	Yes
	Cabinet Member Regeneration & Growth	Yes
	Towns Fund Programme Manager	No
	Towns Fund Programme Support Officer	No
	Strategic Investment Unit Officer	No
Town Deal Board	Town Deal Board Chair	Yes

- 2.1 The Board shall be quorate if the signatories are in attendance.
- 2.2 Those who are present and eligible to vote may vote. Non-voting members of the Board shall attend in an advisory capacity.
- 2.3 The Chair does not have a casting vote.
- 2.4 The Assurance Panel is a decision-making body, with delegated authority from Cabinet (24 November 2021; 218/21) and the Town Deal Board to undertake the assurance process and submit project summary documents to DLUHC.
- 2.5 The Panel will be supported by the Programme Management Office and the Strategic Investment Unit.

- 2.6 Town Deal Local Board Chairs are authorised to deputise for the Town Deal Board Chair at Assurance Panels and can authorise for the Town Deal Board Chair's signature to be added to Project Summary Documents for submission.
- 2.7 The Service Manager for Finance, as Deputy S151 Officer, is authorised to deputise for the Finance Director as S151 Officer at Assurance Panels and can authorise Project Summary Documents for submission.

3. Frequency of Meetings

- 3.1 The Assurance Panel will meet fortnightly to cover the Tranche 3 submission programme which will conclude by the 24 March 2022.
- 3.2 The Chair of the Board may call additional Assurance Panel meetings as necessary to meet the Tranche 3 submission programme.
- 3.3 Meetings of the Assurance Panel are not to be held in public due to the commercial sensitivity contained within the documentation. However, minutes of the Assurance Panel will be published via Mod.Gov.
- 3.4 Agenda and papers for each Assurance Panel shall be circulated least three days in advance of the meeting, unless otherwise agreed by the Chair of the Board.
- 3.5 The Board meetings may be held remotely or physically in suitable offices as determined by the Chair (or a hybrid format of the two).

<END>

ANNEX 6 Monitoring and Assurance Framework - Projects

Introduction

The Accountable Body (AB) will monitor and assure programme compliance and performance on the delivery of the Towns Fund Programme. The Accountable Body team will regularly review visit requirements to ensure alignment with best practice and funders requirements.

The Monitoring Framework comprises of four types of visit:

- **Project Approval Visit (PAV)**
- **Annual Audit Visit (AAV)**
Full audit (grant and match funding, procurement, milestones and outcomes)
- **Progress Audit (Full audit completed, ongoing progress against match, milestones and outputs)**
- **Progress Visit (PV) – undertaken in addition to AV where delivery of achieving the project outcome and match is assessed as being at risk.**
- **Project Closure Visit (PCV)**

The content of these individual visits is detailed in the **Project Audit Visit Framework** (Figure 1.below). The frequency of the visit will be determined on a risk based criteria excluding the Audit Visit (AV) which will be carried out annually to review the previous year's claim submissions. An Audit Visit may be combined with a Project Closure Visit (PCV). Where deemed appropriate. If a project is of high risk requires further support, additional informal visits will be undertaken.

Visit Overview

The purpose of these visit checks is to advise, support and ensure grantees are fulfilling their Partnership Agreement obligations. Audit visits will involve sample-based testing of financial and performance documentation in support of claim(s) and future profiles. The objective of the testing is to confirm that the project control systems provide adequate expenditure and output audit trails.

Where not previously examined, a sample of the selected expenditure and procurement will be checked during the visit for completeness.

Partner Obligations – record retention

Document retention timelines are required to be observed by the grantee in line with funding requirements. All related project information to be held in an accessible format during this period.

Expenditure and Outputs Verification

A quarterly claim has been developed ensuring that data is captured in line with Sandwell Council's claim process. The claim will include, but is not limited to:

- Expenditure claimed in period
- Budget forecast
- Outputs achieved
- Outputs forecast

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- Milestone reporting
- Major and Fixed Assets Register information
- Updated Risk Register
- Procurement
- Social Value

The different visit types check that Partners are appropriately maintaining source documentation and backing evidence in support of claims. Templates will be used to ensure that Partner project systems and procedures are comprehensively and consistently checked. The Accountable Body will test project systems and comment upon and make recommendations as necessary.

Evidence Documentation

All source documents (originals or certified copies) will be maintained by Project applicants with copies of relevant evidence submitted requests to support claims.

Key evidence to be held by Projects will include:

1. Staff timesheets
2. Payroll information for relevant staff
3. Hourly rates calculations
4. Purchase orders, invoices, QS certificates, transaction processing documentation
5. Procurement/value for money documentation
6. Asset register (as applicable)
7. Evidence of defrayed expenditure where internally generated documents support transactions or where transaction processing documentation is not available.
8. Evidence to support outputs claimed
9. Any other 3rd party evidential requirements needed to support expenditure

Highlighting Issues and Reporting

The PMO team will notify any issues identified during relevant visits with the Project Manager/ Senior Responsible Officer. An audit dashboard will be produced annually and reported to the S151 Officer, Town Deal boards and Cabinet where appropriate.

All material issues during each year will be reported to the Cabinet and Town deal boards and where applicable, an agreed method of escalation to relevant parties/boards.

Where supporting evidence for financial or outputs claims is insufficient or not available at the time of the visit, a period of time will be given to allow the Project applicant to collate and/or review evidence/documentation. If evidence is not satisfactorily provided within this timeframe it will be treated as an ineligible for inclusion within the programme and an adjustment made to remove this from the claim. Where the project is able to provide satisfactory evidence post removal from claim, the items can then be included in a later claim which will be verified during future visits.

Where a project outputs and match funding is materially behind original profiles, and where deemed necessary, additional output and match funding visits will be undertaken to assist the project re-profiling and agree project action plans.

A programme performance dashboard will be produced annually to be reported to the S151 officer and the Town Deal Local Boards

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Figure 1: Project Visit Audit Framework

Project Approval Visit (PAV)

All projects are offered a Project Approval Visit within 4 weeks of receipt of signed Partnership Agreement, and include:

1. Our role as Accountable Body
2. Project Contacts and Project Update
3. Project File and Document Retention
4. Future Data Sharing
5. Publicity and Branding
6. Completion of Claim
7. Financial evidence
 - a. Grant
 - b. Match
 - c. Asset Register
8. Outcomes evidence and reporting requirements
9. Progress and milestones evidence/reporting
10. Future visits
 - a. Annual Audit
 - b. Progress visit
 - c. Project closure visit
11. Issues/Risks/Queries

Annual Audit Visit (AAV)

1. Review of Project files including asset register where applicable.
2. Verification of claimed expenditure (minimum 20% sample)
 - a. Grant
 - i. Source documentation (invoices, payroll, etc.)
 - ii. Procurement/ best value
 - b. Match
 - i. Source documentation
3. Verification of milestones claimed, with evidence as agreed at PAV
4. Verification of claimed outputs (minimum 20% sample), with evidence as agreed at PAV
5. Contract variations
6. Issues/Risks/Queries
7. Re-profiling

Progress Visit

Carried out in addition to Annual Audit Visit where the non-delivery of the outcomes, spend or match is considered a risk.

1. Verification of claimed outputs (minimum 20% sample)
2. Agreed Action plan to resolve project non-delivery.

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Project Closure Visit (PCV)

All projects where relevant

1. Project evidence
 - a. Grant Agreement
 - b. Subsidy aid compliance (if applicable)
 - c. Project variations/changes
 - d. Claims and supporting evidence
 - e. Outputs and supporting evidence
 - f. Asset Register
 - g. Document retention/storage
2. Issues/Risks/Queries

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Project Approval Visit

Project: XXXXXXXXXXXXXXXX

Project Ref:

Date:

Attendees:

Notes of Meeting**1. SMBC's role as the 'Accountable Body'**

Explain the division of future roles – PMO and AB Finance, post setup, between SMBC and Project applicant in relation to the fund. SMBC, as the grant making body ("Accountable Body"), is responsible for grant approvals, contracts, processing grant claims; and ensuring compliance. SMBC's role is to also ensure the correct spending of public monies in line with statutory requirements

2. Project Contacts and Project Update

Check the detail of who will need to be recorded as a contact for project delivery and monitoring (Project Manager, finance, performance, data etc.) and who to address for various communications in practice

Emphasis need for continuity if project contacts change – to inform us and provide internal handover

ACTIONS:

1.

3. Project File & Document Retention

Requirement to retain relevant documents for a period of 12 years after project closure, as per Partnership Agreement - documents include both *financial* documents and those relating to *outputs*.

Explain that project need to keep evidence in project file either hard copy or electronically for access for internal/external audits and for accountable body monitoring visits – expectation that milestone and outputs evidence will be available to view at visit

ACTIONS:

To retain relevant documentation up to 31 March (XXXXX).

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4. Future Data Sharing

*Agree to password protection of documents containing sensitive information with project.
Agree a password e.g. project reference WBXXX.*

ACTIONS:

5 Publicity and Branding

As per your Partnership Agreement, during all stages, projects are required to comply with:

- 1) Identity Guidelines;*
- 2) Town's Fund requirements for the use of appropriate signage and logos at the Site; and*
- 3) SMBCs requirements to provide high-resolution images of the Project and the Site.*

Reference to Towns Fund Pubility Guidance (Appendix 1)

*The **absence of or non-compliance with the Towns Fund identity requirements** will be reported back to the Towns Fund Boards and will be treated as a breach of contract (your grant agreement) with Accountable Body, **potentially triggering the clawback clause.***

There are no technical specifications as the guidelines are to have a "common sense" approach to how they are used and may differ depending on what the funding is being used for, so a prescriptive one size fits all is not the intention.

NEW BUILD

*If the building is a **new** building as a result of funding from us, then it is expected that a sign would acknowledge this upon completion. How, what and where this is displayed is entirely up to the venue. Some prefer to display plaques outside, some in reception, on walls or desks etc. The basic rule of thumb for determining this is, if a Minister turned up at the building, would there be something they could stand next to for a photo!*

ACTIONS:

6. Completion of claim

ACTIONS:

7. Financial Evidence

Note any HoT that are project specific or eligible expenditure etc

Any budget breakdown to be discussed, informing applicant that they need to ensure contractors/applicant allocates costs as per budget in Partnership Agreement

If there is a variance of +/- 10% on any budget line, rationale and explanation will be required and if there is a variance of +/- on the overall budget there will be a requirement to go back to Towns Boards if this is the case. A summary of budget v actual costs will need to be submitted with each claim, also showing a rolling cumulative total.

Review Grant, Match, Asset Register

Partial recoverable VAT – Ensure project confirms rate by letter or email. For projects crossing multiple years, this needs to be reviewed annually. Confirmation required for any irrecoverable VAT claimed

ACTIONS:

8. Procurement

Do they have their own policy? If not, follow the Council's policy.
3 quotes etc.

ACTIONS:

9. Mandatory Output Evidence & Reporting

See table on outputs in **Appendix 1 & 3 and evidence required.**

ACTIONS:

10. Additional Output Evidence & Reporting

See table on outputs in **Appendix 2.**

Discuss claim form completion for outputs

ACTIONS:

11. Monitoring Evaluations/Benefits

See project targets **Appendix 1.**

ACTIONS:

12. Future Visits

Future visits would take on different formats and these would consist of:

- An annual audit visit – this visit is carried out to undertake detailed checks on expenditure, progress and outcomes claimed.
- Progress visit – this is less formal visit undertaken and is often carried out with the check the project progress against forecast expenditure and outputs- discuss any issues.
- Project Closure visit – this would be undertaken at the end of the project to ensure all project information is kept on file and readily available should this be required.

13. Issues/Risks/Queries/AOB

Check any other outstanding information required from Grantee

ACTIONS:

VISIT ACTION POINTS

No	Action point	Owner	Status

Milestones/Outputs/Outcomes

Insert table from Full Business Case and add additional column headed - Agreed file evidence – suggestions for discussion

This will require populating prior to visit

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Appendix 1: Grant Agreement Overview

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Annex 8

ANNEX 8 - CLAIMS PROTOCOL:

1. The PMO will inform the Claims Monitoring Officer of Summary Document approval by DLUHC.
2. Accountable Body Claims Monitoring Officer will issue Grant claim form (Appendix A) to project applicant with email guidance on completion.
3. Project Leads to submit electronic claims returns with supporting evidence to Accountable Body Claims Monitoring Officer by the following date:

Proposed Claim Dates

Claim Period	Project Claims deadline	DLUHC Returns
Up to March 2022	31 st May 2022	1 st June 2022
Qtr 1 Apr- Jun 2022	10 th July 2022	1 st December 2022
Qtr 2 Jul – Sep 2022	10 th October 2022	
Qtr 3 Oct- Dec 2022	10 th January 2022	1 st June 2023
Qtr 4 Jan-Mar2022	10 th April 2022	

4. Checking the claim:

Initial Checks will be undertaken to ensure:

- That the whole of the claim is completed, signed and outputs/milestones are updated. Where it is an electronic signature, an email from the authorised representative supporting the claim must be received from the applicant.
- General ledger sheet/transaction listing has been submitted.

Where applicable:

- Bank statements/evidence of defrayment required to support expenditure
- Time sheets submitted for staff not spending 100% time on the project
- Supporting evidence required for outputs, outcomes, milestones claimed.
- Completion of procurement information.
- Claims will be returned to Project Lead where there is missing information. This will stop the payment clock of 21 days, until project leads respond to queries.

Full Claim Checks

- All invoices to reference Towns Fund Project and to reconcile to transaction list submitted
- Timesheets, apportionments, hourly rates to be submitted for staff time, where applicable. This is to be supported by salary information e.g. payslips, payroll transaction reports.
- Where invoices do not refer to project, obtain confirmation from project that they relate to the project

- Items included in claim must be capitalised with revenue costs checked for eligibility.
- Part claimed invoices must have apportionment rationale
- Update of VAT status may be required where non-recoverable costs are claimed. E.g. if VAT status fluctuates year on year.

Outcomes monitoring

- Evidence to support claimed outputs/outcomes/milestones will be required with each claim. Refer to Indicator Guidance see Appendix C
- Where applicable, a sample of match funding claimed will be requested following claim

If adjustments required, these are to be made on current claim being processed with a revised claim form submitted where applicable.

Forecasting

Projects are required to provide update forecasting for financial profiles and output/outcome targets

Procurement

Update procurement spreadsheet required where applicable

Publicity

Project PR articles to be forward to PMO

Any queries to be raised with the Project Manager/applicant. Ongoing issues to be raised with PMO. If queries are taking longer to resolve, removing the item of expenditure from the current claim may be proposed to allow payments to be made. Once queries are resolved, the expenditure can be claimed in the following claim submitted.

Once claim form has been checked and all information has been verified, the claim will be passed to the Approver (Senior Accountant) to sample check and approve the claim for payment.

5. Reconciling the Claims

At the end the quarter, reconciliation of project claims will be made against the Councils Finance system to provide further assurance.

6. Programme Management Office

The Accountable Body Finance reps and PMO team will meet at least monthly to reconcile payments, review forecasts, issues, risks, and balance of advanced funding. PMO will submit reports to Local Board on the progress of spend, achievement of outcomes and any changes to risk.

Both the PMO and Finance will collate information from claims to support the monitoring returns requiring sign off by S151 Officer.



Sandwell Council
Council House
Oldbury
West Midlands
B69 3DE

[Insert Project Title Here]

Highlight Report and Claim Form

Project Lead: [Insert Name here]
Organisation: [Insert organisation here]
Date: [Insert date here]

Project Details

[Insert Project Title Here]

PROJECT STATUS

Overall Project Status Rating

Please provide details of the projects overall status using the RAG key.

Overall Project Status	
RAG KEY	Description
RED	
AMBER	
GREEN	

Project Component Status

Provide details of the project components status using the RAG key.

Component	RAG Status	Owner	Commentary	
Schedule				
Resourcing				
Risks				
Issues				
Outputs				
Outcomes				
Budget				
			Total Budget	Budget Spent to date

Reasoning behind Project Overall Status

Please provide reasoning behind project overall status, including progress highlights.

Items for escalation to the Towns Fund Programme Management Office

Please detail items that require escalation to the Towns Fund Programme Management Office.

'X'

Budget Remaining

Project Progress

[Insert Project Title Here]

SUMMARY AND CONTEXT FOR CURRENT STATUS

Summary of progress

Provide an update on project progress.

	Project Delivery	Procurement
Task Completed this period		

	Project Delivery	Procurement
Tasks Delayed this period		

	Project Delivery	Procurement
Tasks planned for next period		

Key Achievements for this period

Provide details of key milestones achieved this period by using the 'Actual Date Achieved' column. If ke back,
please provide a 'Revised due date' and enter commentary below.

Due Date	Milestone	Revised Due Date
----------	-----------	------------------

[illegible]

Finance	Other

Finance	Other

Finance	Other

y milestones were not met, or you foresee that future milestones will need to be pushed

Actual Date Achieved	Commentary
----------------------	------------

[illegible]

Risks and Issues

[Insert Project Title Here]

RISK AND ISSUES

Red Risks Log

Please provide details of the red risks affecting your project.

Reference	Risk Description

Issues Log

Please provide details of the issues affecting your project.

Reference	Risk Description

Risk Mitigation	Status	Owner

Risk Mitigation	Status	Owner

Resolve By Date

Resolve By Date

Instructions

Please complete the **un-highlighted** cells only.

Budget as per Agreement:	Claimed to Date (1)	Claim for this period (2)	TOTAL (1&2)
CAPITAL			
Refurbishment	£1,000.00	£1,000.00	£2,000.00
Construction Costs	£1,000.00	£1,000.00	£2,000.00
Professional Fees	£1,000.00	£1,000.00	£2,000.00
Capital Total (a)	£3,000.00	£3,000.00	£6,000.00
REVENUE			
Staffing Costs	£0.00	£1,000.00	£1,000.00
Marketing	£0.00	£0.00	£0.00
Revenue Total (b)	£0.00	£1,000.00	£1,000.00
Total Grant Claim (a +b)*	£3,000.00	£4,000.00	£7,000.00
Match Funding (c)	£0.00	£1,000.00	£1,000.00
Total Grant Claim and Match Funding (a+b+c)	£3,000.00	£5,000.00	£8,000.00

Instructions

Please submit a transaction list of defrayed expenditure, supported with invoices for the value of the claim.

GRANT CLAIM CERTIFICATE

On behalf of **(Project Applicant)**, this claim form details the Grant claim for the **(Project Name)** project. I have recorded all details of eligible expenditure incurred (net of recoverable VAT), all funding received and details of outcomes achieved. I have completed all sections of the claim form and I certify to the best of my knowledge and belief that:

1. The information given is correct.

2. No other grants, payments or contributions have been or will be made to **(Project Applicant)** for activity against which this claim is made.

3. The expenditure has been incurred on implementing the Project in line with the grant approval by Sandwell Metropolitan Borough Council and DLUHC

4. The grant claimed is within the Project’s limit for the Town Funds grant in this financial year and in all other ways complies with the conditions of Project approval.

5. All information given in this claim is supported by appropriate evidence on which the claim can be checked and verified.

6. The Grantee confirms that all expenditure is Eligible Expenditure.

7. The Grantee confirms that there are no Material Changes to the Project and/or the Eligible Expenditure and/or the estimated Project costs

This is an auditable document. Where original forms are not submitted, claims with electronic signatures must be supported with email from the delegated signatory.

Authorised Signatory Name	
Organisation	
Signature	
Name	
Position	
Date	

Funding Breakdown - Sandwell Towns Fund Programme

[Insert Project Title Here]

Period of Claim

[Month, Year] - [Month, Year]

Instructions

Please complete the **un-highlighted** cells only.

Please include the **total Towns Fund Claimed for this period**

Please **report the cumulative totals** from 1 April 2021.

	(1)	(2)	(3)	(4)
TOWNS FUND GRANT CLAIM	Agreed Towns Fund Budget 21/22	Claimed to date	Forecast Claim this period	Claim this Period
Towns Fund Capital Grant (A)	100,000.00	75,000.00	20,000.00	15,000.00
Towns Fund Revenue Grant (B)	25,000.00	0.00	0.00	5,000.00
TOTAL GRANT CLAIM (A+B)	125,000.00	75,000.00	20,000.00	20,000.00
Capital Match (C)	50,000.00	0.00	0.00	0.00
Revenue Match (D)	1,000.00	0.00	0.00	0.00
TOTAL MATCH (C+D)	51,000.00	0.00	0.00	0.00
TOTAL GRANT AND MATCH	176,000.00	75,000.00	20,000.00	20,000.00

In-kind Resources				
Land	0.00	0.00	0.00	0.00
Buildings	0.00	0.00	0.00	0.00
Other Assets	0.00	0.00	0.00	0.00

Please provide explanation of any slippage that has occurred/ forecasted with mitigations/ action plan to r

FINANCIAL YEAR FORECAST

Instructions

Please complete the **un-highlighted** cells only.

Please update with actuals where applicable

Financial Year	Budget approved	Qtr1	Qtr2	Qtr3
21/22	£ 125,000.0000	£ 50,000.0000	£ 20,000.0000	£ 12,000.0000
22/23	£ 200,000.0000			

23/24	£ 200,000.0000			
24/25	£ 200,000.0000			
TOTAL	£ 725,000.0000	£ 50,000.0000	£ 20,000.0000	£ 12,000.0000

(5)	(6)	(7)	(8)	(9)
Variance this period (-under/+over)	Total Claimed to date Including this period	Balance of Grant to claim 21/22	Revised Annual Forecast 21/22	Variance to Annual Budget (-under/+over)
-5,000.00	90,000.00	-10,000.00	100,000.00	0.00
5,000.00	5,000.00	-20,000.00	25,000.00	0.00
0.00	95,000.00	-30,000.00	125,000.00	0.00
0.00	0.00	-50,000.00	50,000.00	0.00
0.00	0.00	-1,000.00	1,000.00	0.00
0.00	0.00	-51,000.00	51,000.00	0.00
0.00	95,000.00	-81,000.00	176,000.00	0.00

0.00	0.00	0.00	0.00	0.00
0.00	0.00	0.00	0.00	0.00
0.00	0.00	0.00	0.00	0.00

return to profile. A forecast for the lifetime of the project is required below.

Qtr4	Total	Variance	Forecast V Budget
£ 10,000.0000	£ 92,000.0000	£ 33,000.0000	74%
			0%

			0%
			0%
£ 10,000.0000	£ 92,000.0000	£ 33,000.0000	13%

Outputs - Sandwell Towns Fund Programme

[Insert Project Title Here]

OUTPUTS

Instructions

Please complete the **un-highlighted** cells only.

	Agreed Indicators		Claimed Indicators		(5) TOTAL to C/fwd (3+4)
	(1)	(2)	(3)	(4)	
	Lifetime Target	2021/22	B/fwd Achieved to Date	Amount Claimed this period	
Mandatory Indicators					
Commercial Floorspace constructed (sqm)	10,498	0	0		0
FTE Jobs Created	25	0	0	1	1
FTE Jobs safeguarded	2	0	0		0
Local Measures					
Area of land remediated (ha)	2.67	2.67			0
Learners enrolled onto course	1,200.00	200.00			0

Please provide explanation of any slippage that has occurred/ forecasted with mitigations/ action plan to r



Forecasted Indicators			
(6)	(7)	(8)	(9)
Next Period	2021/22	Lifetime	Lifetime Variance (-under/+over) (8-1)
			-10498
			-25
			-2
			-2.67
			-1200

[return to profile.](#)



Outcomes - Sandwell Towns Fund Programme

[Insert Project Title Here]

OUTCOMES

Instructions

Please complete the **un-highlighted** cells only.

	Agreed Indicators		Claimed Indicators		(5) TOTAL to C/fwd (3+4)
	(1) Lifetime Target	(2) 2021/22	(3) B/fwd Achieved to Date	(4) Amount Claimed this period	
Mandatory Indicators					
					0
					0
					0
Local Measures					
					0
					0

Please provide explanation of any slippage that has occurred/ forecasted with mitigations/ action plan to r



Forecasted Indicators			
(6)	(7)	(8)	(9)
Next Period	2021/22	Lifetime	Lifetime Variance (-under/+over) (8-1)
			0
			0
			0
			0
			0
			0

[return to profile.](#)



[illegible]

The following evidence is required to support your claim where relevant:

ALL CLAIMS
FINANCIAL SUPPORTING EVIDENCE
<ul style="list-style-type: none">• Signed claim form• Transaction list - evidence of spend from your financial/accounting system to support your claim• Copy of defrayed invoices /subcontractor certificates (with grant funded elements, apportion rate clearly highlighted where applicable) <i>Where applicable:</i><ul style="list-style-type: none">• Match funding evidence• Details of contributions in Kind• Completed Asset Register
OUTPUT SUPPORTING EVIDENCE
<ul style="list-style-type: none">• Beneficiary output list• Supporting evidence for outputs claimed
STAFF TIME ONLY
<ul style="list-style-type: none">• Payroll evidence• Timesheets• Apportionment calculations and methodology, hourly rates etc
GRANT CLAIM REPORTS
<p>The following information is required within the grant claim report template to support your claim:</p> <ul style="list-style-type: none">• Update of overall achievement• Progress against targets• Reasons for slippage• Forward plan of how targets will be achieved if slippage has occurred

Annex 8b

Grant Claims Checklist	
Project Name:	
Project Applicant	
Claim Period	

Task	Compiler
1. Grant Claim form signed, all tabs completed	
2. Transaction List Submitted	
3. Evidence of defrayal	
4. Copy of invoices, with apportionment where applicable, all invoices are eligible and comply with approved FBC spend	
5. Output evidence	
6. Match funding evidence (where applicable	
7. Forecast completed	
8. Update Programmes Monitoring Spreadsheet	
9. Invoice received and matches claim amount	
10. Date forwarded to Finance verifier (2 nd check)	
(For Finance Second check)	
11. Minimum 10% check of invoices Amount checked:	
12. Where errors found, return to Claim compiler	
13. Date of approval	

ADVANCE ON GRANT FUNDING

The Accountable Body received 5% of the Capital element from the Towns Fund Programme to support advance works required in full business case development and preliminary works. This funding was allocated following requests from Project Leads and approved by Finance. Project Leads are to contact the PMO if further funds are required providing sufficient justification.

In certain circumstances, it may be necessary to release fund to a project prior to receipt of an official award notice from the funding source. Utilisation of the Advanced funding process must be approved by email confirmation from Director of Regeneration and Growth.

Establishing an advanced fund is appropriate only when certain conditions exist. Examples of such cases include, but are not limited to, recurring contracts from same state and local agencies, mid-cycle of a multi--year project period, and grants or contracts where pre-award costs are allowable.

An advanced fund can be established if the following conditions are met:

- The Accountable Body has received confirmation of approved grant award or funds have already been received.
- The Project Lead informs the Accountable Body at the outset of Full Business Case or Partnership Agreement, that advanced funding is required to begin preliminary works prior to approval.
- There is an essential need to incur expenses in advance of the grant rather than arrears.
- The Accountable Body concurs that the risks of releasing advanced funds are minimal
- All due diligence has been completed with no outstanding actions
- Partnership Agreement is signed by the Accountable Body and Project Applicant.

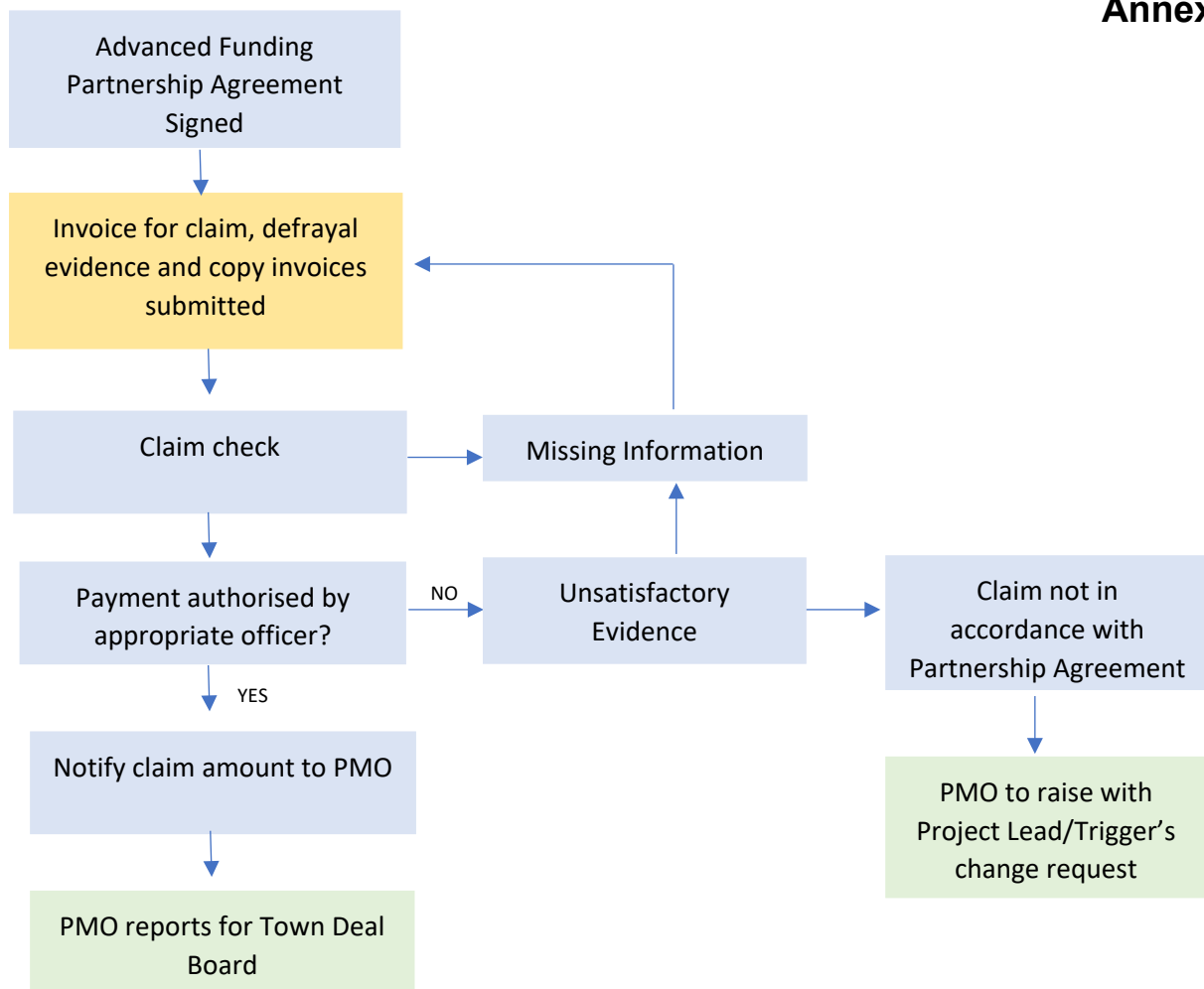
The following restrictions apply to an advanced fund:

- The Advanced Funding must only be used for the purposes of the costs as detailed in the Full Business Case.
- The Advanced Funding Request Form must be completed, signed and dated along with a supporting invoice
- At the end of the Quarter, the project applicant will submit a Grant Claim form, supported by defrayed invoices, a transaction list from the organisation's ledger, asset register and any evidence of any outputs claimed.
- Any advanced funds not utilised, must be returned to the Accountable Body where the project is not approved by DLUHC.
- Project claims will be reconciled against any advanced funding already received by the project

Payments

The Accountable Body will process the request and request any further information if appropriate.

Once the request is accepted and approved, payments will be processed and within the Project applicants bank account within 5 working days.



Annex 9 - Change Management Policy

Purpose

1. This document details the process that the Sandwell Metropolitan Borough Council (SMBC) follows to manage change on the Towns Fund Programme and forms part of the Towns Fund Assurance Framework.
2. It is not unusual for circumstances to alter in such a way that a project can no longer be delivered as originally agreed, impacting project cost, schedule and/ or outputs/outcomes. The change control process is the process through which all requests to change the approved baseline of a project, are captured, evaluated and then approved, rejected or deferred. In the event of a variation to a project's cost, schedule and/or outputs/outcomes the variation must be reported to the Programme Management Office who will support projects through this process.
3. Understanding variations on individual projects within the programme is integral to successful programme management and ultimately the delivery of the benefits expected from the programme.
4. These variations include when grant funding will be utilised by projects, to ensure programme expenditure targets are not impacted through individual project changes.
5. Additionally, changes to individual projects may create a reputational risk to SMBC, which would need to be managed and may impact on delivery of other projects within other capital programmes.

The Change Process

6. Throughout the development of a project, Project Leads having been working in partnership with the Programme Management Team (PMO). Any changes to the proposed project – from Strategic to Full Business Case – will be managed in a proportionate way. This may be through meetings or discussions to understand what changes are proposed and what their impact on delivering the proposed project will be.
7. On approval of the Summary documentation and Monitoring & Evaluation Plans submitted to (DLUHC), funding allocations are committed to a project and the formal Change Management Policy comes into effect.
8. Upon the conclusion of the contracting stage and as part of the Project Approval Visit, the Project Lead will be informed of the Change Management Policy.
9. In accordance with the Scheme of Delegation (Appendix A) should a variation occur on a project; the Project Lead must notify the PMO at the earliest opportunity.
10. At this point, the PMO will advise on how the change process will work and what action the Project Sponsor needs to take. Details of the format for reporting variations are provided within the 'Recording Change' section below.

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11. Effective handling of change requests is critical to the management of the Towns Fund programme. The thresholds make clear where responsibility lies for these decisions, providing a balance between the need for scrutiny and swift action.
12. Where a major change is requested, which has a significant negative impact as detailed below, approval is required from SMBC Cabinet or appropriate person/group having delegated authority to make such decision:
 - Any changes to Mandatory Outputs/Outcomes or Heads of Terms
 - Time/schedule (more than £250,000 *slippage over financial years*);
13. All change requests will be reported in accordance with the Scheme of Delegation included in Appendix A.
14. In exceptional circumstances, contracted projects may, have their funding withdrawn and reallocated elsewhere within the programme, with approvals as per the Scheme of Delegation.
15. This is likely to be an exceptional event where, following detailed discussion between SMBC as the Accountable Body and the Project Lead, a project can no longer deliver the planned benefits within an agreed timeframe, or can no longer be expected to deliver the agreed outcomes because of a change in external circumstances, often beyond their control.

Recording Change

16. There are a number of ways of reporting and recording changes to projects depending on the nature of the change. The PMO will advise on the most appropriate method to take. Reporting and recording change can take one or more of these forms:
 - i. **Project Adjustment Request** – where changes will affect the outputs/outcomes, time and/or cost of the project as detailed in the Partnership Agreement or approved change request, the Project Lead will need to notify the PMO and submit a formal change request at the earliest opportunity. This document will detail the change and enable the PMO, and Accountable Body to consider the effect of the change to the project, its impact on the programme and request any further information, prior to approval being sought. The Project Adjustment Request form is shown in Appendix B
 - i. **File Notes** – on occasion, minor variations to the agreed project parameters may not warrant a formal change request. There should still be clearly recorded as a change to what was agreed in the Business Case and Partnership Agreement. In these instances, following notification by the Project Sponsor of the change, the PMO will record the change reported and confirm this via email to the Project Sponsor.

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- ii. **Project Claim Reports** – this is how Project Managers report, on a quarterly basis, on the progress and status of their project. Projects will be required provide forecasts on financial profiles, outcomes/outputs throughout the lifetime of the project. This may include changes that may not require the formal change process i.e. slippage across quarters but not financial year. Projects should not wait until the next quarter returns to report significant changes. Regular dialog the PMO is required to ensure that the correct process is followed.
 - iii. **Exceptions Report** – where a project has experienced more significant change, an Exception Report will be presented to the Town Board/Cabinet for consideration.
 - iv. **Deed of Variation** – Once the project is in contract, i.e. a signed Partnership Agreement or Service Level Agreement is in place. All project adjustment requests that are approved by Towns Fund Board and Accountable Body will also need to be supported by a variation to contract. This will be done via a Deed of Variation to the Partnership Agreement or reprofile offer letter for Internal projects.
 - v. **Reprofile Letter** –The Accountable Body will issue reprofile letters signed by the Director of Regeneration and/or S151 following the closure of claims for the financial year. This is to reflect an updated position on spend, outcomes and milestones to future years.
17. The Programme Management Office will support projects to manage and control change in order that they are able to meet the delivery of their projects in the most timely and cost-effective way, to deliver the agreed outputs and outcomes.
18. A written/urgent procedure is included as part of the Boards Terms of Reference to allow urgent decisions to be made where change requests cannot wait until the next Local Board to be approved.

Appendix A Scheme of Delegation
Appendix B Project Adjustment Request Form

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APPENDIX A

Type of Variation	Scale of Variation	Action Required	Requires Local Board endorsement?	Delegated Authority to approve	Approval required from DLUHC	Action following DLUHC approval
Heads of Terms	Any Changes to the Heads of Terms	Submit Project Adjustment Request	Yes	Director of Regeneration & Growth in consultation with Cabinet Member and S151 Officer*	Yes S151 sign off required	Issue Deed of Variation
Financial	A decrease/increase of grant funds to be drawn down by the project which is less than £250,000					
	A decrease/increase of grant funds to be drawn down by the project which is greater than £250,000					
	Any decrease of match funding					
	An increase in the match funding cost of the project without impact to the agreed funding for the project, the outputs/ outcomes or project completion	Project lead to update PMO	n/a	Towns Fund Programme Manager	No	Issue Re-profile letter Report to Local Board
Time/ Schedule	Slippage of milestones with no effect on total grant, completion date, outputs/outcomes	Update PMO	No	Towns Fund Programme Manager	Tbc	Issue Re-profile letter Report to Local Board
	Slippage of outcomes and/ or grant claim profile, requiring re-profiling across future financial years (under £250k) with no overall change to project. Over £250k	Submit Project Adjustment Request	Yes	Towns Fund Programme Manager - Director of Regeneration & Growth in consultation with Cabinet Member and S151 Officer*	Yes S151 sign off required	Issue Re-profile letter Report to Local Board
Outcomes/Outputs	An increase in the outputs and outcomes of the project.	Quarterly reporting by project lead	No	Towns Fund Programme Manager	No	Report to Local Board
	Any decrease to Mandator indicators outputs and outcomes of the project.	Submit Project Adjustment Request	Yes	Director of Regeneration & Growth, in consultation with S151 Officer and Cabinet Member*	Yes S151 sign off required	Issue Deed of Variation
	Decrease to Local Measures – below 10%	Submit Project Adjustment Request	Yes	Towns Fund Programme Manager	Tbc	Issue Re-profile letter
	Above 10%			Director of Regeneration & Growth		
Other	Changes to project contact information, administrative errors and others which have no impact to approved outcomes, outputs or grant.	Inform Project Lead/PMO	No	Towns Fund Programme manager	Tbc	Update documentation and Local Board where applicable

*(subject to May 22 Cabinet approval)

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APPENDIX B



Department for Levelling Up,
Housing & Communities

A project adjustment form is required where changes may be need to be made after agreeing the final projects.
Please liaise with your CLGU Area Lead and when ready submit the form to them for consideration.
Please duplicate this tab for every project that is being adjusted.

Project details	Original proposal	Reason for change (where applicable)	Details of change (where applicable)	Details of how the Town Deal Board and relevant stakeholders have been consulted on changes
Project name				
Project description including: - rationale and strategic fit with original Town Investment Plan; - how the project addresses need/opportunity; - alignment with other plans and strategies				
Outputs (where these vary or have reduced from your original proposal, please provide rationale for the change in column c)				
Outcomes (where these vary or have reduced from your original proposal, please provide rationale for the change in column c)				
Project completion date				
Towns Fund (£m) Please also complete Finance Annex				
Total project cost (£m) Please also complete Finance Annex				
Capital/revenue split Please also complete Finance Annex				
Financial profile Please also complete Finance Annex				

I confirm that this request has been discussed with the Town Deal Board and the relevant Accountable Body, and they agree with this request. We will provide a value for money assessment and BCR at summary document stage.

SIGNATURE OF S151 OFFICER	
NAME	
DATE	

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Joint Publicity Protocol

Background

The effective and consistent management of communications within the Sandwell Council/Town Funds Programme (TFP) partnership is vital in supporting a successful roll-out of the projects and funds allocated to each town, as the messages and reporting of activities will impact upon the general public's perception of the success of the service and the partnership.

As we seek to raise the profile of the(TFP) partnership as well as protecting the brand and reputation, we will be identifying and taking up a growing number of opportunities to engage with stakeholders through third party events, the media, social networking as well as through campaigns and activities.

While these interactions create new opportunities to enhance our profile they also bring responsibilities for us all, particularly when engaging with the media.

Although the majority of these interactions will enhance the partnerships profile and represent little or no reputational risk for either the Council or (TFP) partnership, we have a responsibility to ensure that we support our staff and provide carefully managed communications throughout every aspect of the Town Funds Programme.

The guidance in this document covers our engagement with the media, and protocol between Sandwell Council and (TFP) partnership.

1. Definition

This document refers to all media engagement whether proactive or reactive, broadcast or prints. This includes any reference to Sandwell Council or (TFP) partnership, where either partner is dual branded or mentioned where applicable, including: press releases, announcements, interviews, statements/comments and background briefings etc.

2. Purpose

- To manage the (TFP) partnerships brand and reputation nationally and locally within the Sandwell community.
- To promote the innovation and benefits brought to the people of Sandwell by the partnership
- To manage any potential crisis, through managed joint communications

Joint Publicity Protocol

3. Principles

Lead responsibilities

1. In all cases, the other party is to be kept informed of enquiries, actions and feedback, and be invited where appropriate, to provide input and comment
2. In all cases, press statements and releases will represent the project delivery as the **'Partnership'** rather than apportioning responsibility and comments from either party. All enquiries will be allocated through the central point of the councils press office.

4. Publicity Protocol Partnership Representation

- The contact within the Council for work with the (TFP) partnership should ensure that this protocol is discussed at the partnership, taken back for approval by each partner, as appropriate, and adopted as a working method. If appropriate, other areas of work can be added. Variations to the protocol must be discussed with the communications team before it is adopted by the partnership.
- The partners agree that:
Publicity for each partnership project will be overseen by the organisation leading or co-ordinating that initiative.
- The leading or co-ordinating partner to draw up a timetable for publicity for the initiative to be communicated to the partners at partnership meetings, or by e-mail if deadlines cannot wait for the next meeting.
- The leading or co-ordinating partner to provide the main spokesperson to be quoted in press releases and interviewed by print and broadcast media interviews. Other major partners to be invited to contribute quote for press releases (wherever possible this should be kept to a maximum of two quotes).
- All partners to be issued with a draft of the publicity or promotional material with comments invited by a deadline. If comments are not received by the deadline the co-ordinating body to assume that it is OK to go ahead. Partners need to be aware that, due to media deadlines, notice may be short – but wherever possible at least 24 hours notice should be given for comments. Bearing this in mind, information should be e-mailed or faxed wherever possible.
- All press and media statements will make it clear that decisions are being taken by the (TFP) partnership.

Statements issued by Sandwell Council featuring quotes should read:
Sandwell Council along with our Town Funds Programme partner XXX said XXX

All press releases to include, or similar: "The Sandwell Town Funds Partnership exists to Its main activities are The Partners are (list of partners). For further information on the Town Funds Programme Partnership's work visit www....."

- Media coverage of initiatives to be collated and record kept by leading or co-ordinating partner for use in evaluation.

Joint Publicity Protocol

- If the partner leading the initiative does not have the resources to carry out the above activities, another partner should be nominated to provide support.
- Where possible quotes from either the Chair of the Superboard or the Chair of the Local Board should be obtained for all press releases.

5. Proactive Positive Communications

From time to time, either the Council or (TFP) partnership will develop communications around positive activities and work being implemented. Typical examples of these would be the original roll out of the timescale and updates of the projects in each of the towns. This can include awareness raising.

On such occasions, the ideal approach would be to work up the various communications pieces, e.g. press releases in partnership, with the instigating partner, taking the lead in preparing content that can be shared by Sandwell Council and vice-versa.

However, in all cases, no material is to be published or distributed without the 'sign-off' of both partners, in terms of text and imagery approvals.

6. Media Enquiries/Crisis Management

If an event of potential concern occurs prior to a media enquiry formally, each partner will inform the other, to prepare them for a potential approach.

The appropriate partner will prepare statements and responses according to the nature of the enquiry. Additional Q&A's to be included if these are deemed to be helpful and address other predicted enquiries. A designated media contact or his/her substitute, for each partner will gain all internal approvals and be the single point of contact/approval between Sandwell and (TFP) partnership

Each (TFP) partner will keep the other posted on their response. All final responses are to go to the Sandwell Council press office who will then conclude by sending to the journalist that made the original enquiry the response. All final responses will be issued by the press office to reflect ownership as a partnership.

The councils press office will be responsible for briefing the relevant cabinet member regarding the enquiry.

The designated media contacts for each partner from the commencement of the Town Funds Programme will be:

Sandwell MBC:

Sandwell Council press office team

Tel: 07920 027723 (out of hours)

E: harpreet_dhillon@sandwell.gov.uk or press_office@sandwell.gov.uk

Add Town Fund Programme Partner details here (when funding has been confirmed and allocated)

Joint Publicity Protocol

7. Press Coverage

In all cases, be it proactive positive press articles or responsive negative all (TFP) partners will share coverage captured through various channels. This coverage will be distributed to selected stakeholders within both organisations, and assessed as part of the ongoing **Communications Group meetings??**.

The objective will be to ensure more positive coverage is achieved throughout the duration of the programme.

8. Spokespeople

Each (TFP) partner will select its own spokespeople for quoting in statements/releases or for broadcast interviews.

In Sandwell's case, this will usually be the council's Cabinet Member although on occasions other officers will be chosen.

The designated media contact or his/her substitute for each partner will confirm the spokesperson for each occasion, prior to any statements or broadcast.

9. Useful contacts

Sandwell Council's Authorised Representative - Tammy Stokes	Tammy_Stokes@sandwell.gov.uk
Portfolio holder/Cabinet member – XXX	XXX
Sandwell Council Chief Executive - David Stevens	David_Stevens@sandwell.gov.uk
Town Fund Programme Manager	Rebecca Jenkins Rebecca_jenkins@sandwell.gov.uk
Sandwell Council Communications and PR Officer	Harpreet Dhillon Harpreet_dhillon@sandwell.gov.uk
Towns Fund Programme Management Office	Emma Parkes Emma_parkes@sandwell.gov.uk

Joint Publicity Protocol

DRAFT

Annex 11 - Communications and Engagement Plan

1. Background

This Communication and Engagement Plan helps set out how Sandwell Towns Boards will engage effectively with stakeholders, demonstrate the success of its work, ensure people understand what it does and change behaviour / perceptions where necessary. This will be done building on the Town Fund Guidance principles of:

- **Involve:** Identify and involve the people/organisations who have an interest in the projects and developments.
- **Support:** Identify and show how any barriers to involvement will be overcome.
- **Evidence:** Gather evidence of the needs and available resources and use this to agree the purpose, scope and timescale of the engagement and the actions to be taken.
- **Design:** Agree and use methods of engagement that are fit for purpose, and demonstrate engagement throughout the project lifetime / Town Deal Fund.
- **Work together:** Agree and use clear procedures that enable the participants to work with one another effectively and efficiently.
- **Share information:** Ensure necessary information is communicated between the participants to make informed decisions.
- **Work with others:** Work effectively with others who are already or could help with engagement for example the voluntary and community sector, social enterprises or relevant public sector bodies.
- **Improve:** Consider further developing the skills, knowledge and confidence of all Participants.
- **Feedback:** Implement process to feed back the results of engagement to the wider community and agencies affected, and show the impact this engagement has had.
- **Evaluate engagement:** Monitor and evaluate whether the engagement achieves its purposes and adjust as necessary.

To oversee this Plan, the Local Boards may establish a Communications and Engagement Sub-Group is made up of relevant Board Members and supporting officers from Sandwell Council.

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2. Communications and engagement vision and objectives

Overarching vision statement for communications and engagement:

- **The vision** is for all members of Sandwell Town Board and Project Leads to:
 - Talk in one unified voice that aligns to the board's vision, aspirations and goals and wider Sandwell narrative as set out in the Sandwell Town Investment Plan.
 - Increase awareness, understanding and engagement on the Town Deal with our audiences.
 - Create a compelling, narrative for the projects to encourage everyone to tell the same powerful story about Sandwell and its positive future.
 - Engage with the press, broadcast and digital media to enhance perceptions, Town Deal Board, its responsibilities and the projects it is overseeing.

Strategic objectives: is for all members of Sandwell Town Boards and Project Leads to:

- Help build a positive reputation - all communications seek to address any negativity around the projects through an authentic voice and regular publication of positive content, which showcases Sandwell's present and future transformation and highlights upcoming actions taking place around Sandwell's regeneration.
- Have one unified voice - through communications, all partners will showcase the vision and positive direction the programme is moving in, developing trust and belief in the messaging
- Deliver evidence of the communication and engagement taking place to satisfy any government requirements and showcase the journey being undertaken by local communities.
- Ensure a consistent approach to all external communications activity relating to the work of the Board and the Sandwell Town Deal projects.
- Effectively engage with all appropriate stakeholder groups.
- Raise the profile of the Board and promote the Investment Plan ambition's vision and plans for Sandwell.

3. Communications approach

SMBC is the accountable body for Sandwell Towns Fund. The Board is made up of cross-sectoral community representatives from the public, private and voluntary sectors and, as such, is reflective of the 'partnership working' that is helping underpin the regeneration of Sandwell.

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The PMO will support the Local Boards, Project Leads and any sub groups by identifying and agreeing:

- A clear set of procedures and protocols for issuing communications – as well as the channels via which they will be issued.
- An agreed set of key messages with an authentic voice will underpin all communications and engagement activity and will be reviewed as the projects evolve
- The key milestones in each project and a programme of regular communications on agreed subjects. Once established (and developed as each project progresses, to maximise opportunities) this will enable all board members to see what activity is planned and the positive messaging that is being used.
- How best to support the Boards to maintain relationships with key stakeholders and identify opportunities to maximise these relationships.
- The communications messaging, to showcase how the Boards have involved the communities of Sandwell in the projects, with the aim of highlighting a ‘people-centred approach’
- All communications activity – whether delivered as a group or individually – considers the wider ‘Sandwell story’ and any potential reputational risks

To keep the Board up-to-date on all actions undertaken, a quarterly Communication Plan update will be reported to the Town Deal Boards as per the template in Appendix A, to enable ongoing review and coordination during the programme.

4. Communications and Engagement Action Plan

The PMO will support the Local Boards in implementing the communications strategy by developing the Town Board brand, create the individual project communications plans and support project leads in delivering them.

Initial priorities

What		How/Who		By When	
Identify membership of communications and engagement subgroup		Local Board		June 22	
Agree / suggest amends of the draft Communications strategy		Local Board/Programme Board		June 22	
Identify and map out the communication and engagement channels already held– including active social media accounts, websites/webpages, stakeholder relationships and media contacts of Sandwell communication		tbc		tbc	
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Begin work to create a brand for the Board and its work	tbc	tbc
Draft and agree a boiler plate to be used where necessary in communications A boiler plate is a statement set in stone that should be agreed by the Board as a solid, unchangeable statement to be used by all Comms sub-group for Town Board endorsement	Update of Towns Fund Publicity Protocol	tbc
Agree all key messages for each Project	Project Leads/PMO	tbc
Identify the key project milestones and establish a clear timeline of communication activity that supports the work of Sandwell Town Board	Project Leads/PMO	May 22

5. Roles and responsibilities

Local Board Chair – final sign off for all communications and engagement activity

PMO/Communications and engagement sub-group – Agree and implement the communications and engagement approach and work together to draft and issue the subsequent activity/communications products

Project Comms leads – To work with PMO and project leads to identify project milestones, appropriate audiences, messaging and channels in advance

SMBC Comms Team – Can advise on the strategic communications and engagement approach and draft core communications material on behalf of the board, with input from sub-group members

Branding SMBC can be consulted for queries about using the brand (once developed) and its assets

Website – PMO to be responsible for updating Towns Fund Website. Microsite to be updated by internal project leads and PMO on behalf of external projects.

6. Procedures and protocols

The general approval process for media releases will need to be in compliance with the following:

- Press releases should include the descriptions detailed in government guidance - Notes to Editors. MHCLG press office will be provided with advance notice of announcements and press releases, via NewsDesk@communities.gov.uk whilst also copying in our Area Lead / FHSF Delivery Support Manager. For expedience, fully drafted press releases should be provided.

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- Board members retain the right to make comment and carry out media interviews in their personal capacity. However, in doing so, members should be mindful of their position on the Board and how their comments could impact on the Board's work and the strategic objectives set out in this strategy
- All requests for interview/comment by the media, specifically regarding the Board as a whole, should be directed to the PMO in the first instance. No interview should be carried out before doing this. A decision will then be made by SMBC on who will lead and respond to that enquiry. The response should receive final sign off by the Chair and then be issued by the appropriate organisation.
- A full briefing can be provided by SMBC Communications for those giving interviews/comment

All communications activity regarding the Board approved by the Local Board Chairs Communications should not be issued without the Chair's prior approval.

At the first opportunity, Board members should raise any potential reputation issues that could impact on the work of the Board or wider regeneration of Sandwell so that positive action can be taken.

Key opportunities for positive communications and engagement activity will be identified by the Local Board and PMO as the projects progress and incorporated into the timeline of planned activity.

As a general rule, quotes in press releases will be attributed to the Board's Chair/Vice Chair. If related to specific projects or thematic groups, a decision will be taken by the sub-group and Board Chair as to who the quote should come from and also be as follows:

1. Press release drafted by SMBC communications team or lead project communications officer, following discussions with the sub-group
2. First draft sent to comms sub-group member for comments and their subsequent approval following any amends
3. Send to SMBC, as the accountable body, for comments and sign-off
4. Send to Board chair for comments and final sign-off
5. Final draft shared with all Board members and the sub-group before being issued to the media – this will be done at least two hours before issuing to the media (unless there is an exceptional circumstance which requires the comms to be issued without delay).
6. It is the Chair's decision whether or not to incorporate any suggested amends/feedback given by board members into the release. If they do wish to comment, board members are asked to do this within two hours of receiving the draft to avoid delaying the process of issuing comms.

In the short term:

- All media releases issued by the Board will be focused on the work planned to deliver the

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projects and will be agreed by the sub-group

- Press releases solely regarding the Board will be issued by Sandwell Council communications team, with a note that it is issued on behalf of the board
- Press releases that discuss the wider Sandwell narrative but reference the board should instead incorporate the agreed boiler plate and be issued by the lead organisation (these are still subject to the comms sub-group's input and sign-off by the chair)
- Any quotes included in press releases are subject to the related organisation's own approval processes and the time to achieve this should be factored into the planning process for communications activity

Longer term

- Media relations including press releases and enquiries will be divided up based on project leads. The comms sub-group will also allocate resources based on the projects.

7. Key messages

- Sandwell is one of 101 towns who put forward a bid for funding from the government's Towns Fund, which will be available to spend up to 2026
- The bid was successful, and Sandwell is now able to deliver a variety of capital projects to help boost the 's long-term economic growth and development
- The bid was the chance for the people of Sandwell to help shape their 's future. Through discussions with the community, Sandwell Town Board has developed a vision and strategy that will shape the transformation of Sandwell over the coming years
- Sandwell has grown significantly in recent years and so much has already been achieved. But we now have an opportunity to carve out a new chapter and help to ensure the Sandwell reaches its full potential.
- This is a great opportunity to help raise the standards of living for people working and living in Sandwell
- Securing this funding for Sandwell enables us to deliver against the current strategy and vision for Sandwell to support future prosperity based on the needs and wants of Sandwell people.

8. Communication channels

Traditional media outlets have shifted content to digital platforms via mainstream media and community websites and media owned social media accounts. The pace of publishing new stories continues to increase. This requires much quicker responses and additional content (images, video, statements) to support engaging positive content.

There is the expectation that the Town Board projects will provide better content for reporters as they experience expectations on pace of publishing content. Increasingly our audiences are also gathering news online from sites and social media aimed

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at specific demographics and communities around interest, lifestyle or geography/place.

We need to be where our audience is, so it is proposed that a focus is given to digital media, therefore devising planned communications which embrace digital methods of communication.

This will include appropriate hashtags to be used, such as #SandwellTownDeal, #TownsFund, #SmethwickTownsFund when describing or promoting the projects, and at key milestones, to enable people to identify posts specifically related to those specifically being undertaken in Sandwell.

Tagging DLUHC in our content will also be undertaken using the handle, across all platforms, of @DLUHC on: Twitter, Facebook, and Instagram. Posted content will be re-tweetable by the Communities Secretary, Minister for Regional Growth and Local Government and DLUHC, allowing others to follow project development.

Sandwell Website – A Town Deal page has been set up and is available via this link [Sandwells Towns Fund](#)

Information that can be accessed from this page includes:

- Downloadable copy of Town Investment Plan
- Description of the Town Board's role
- Minutes of the Town Board meetings
- Description of the council's role as accountable body
- Progress summaries and updates of all Town Deal Projects

9. Our audiences

- Partner organisations
- All of the partners' workforces
- Residents of Sandwell
- Visitors to Sandwell
- Community groups
- Voluntary sector organisations/third sector
- Businesses / Business groups
- Regional government
- National government – see item. 10
- Funding bodies
- Local, regional and national media
- Online media
- Specialist/trade media
- Representative bodies including LGA and Key Cities
- Regeneration partners
- Investors
- Developers

10. Communication with national government (DLUHC)

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To comply with the government's guidelines, Sandwell Council, as the accountable body, along with the Local Boards and any communications and engagement sub-group, will ensure that:

- DLUHC is given as much advance notice as possible (at least two weeks) of announcements and milestone events to allow quotes to be arranged for any media releases
- Relevant descriptions provided by DLUHC in its guidance are used in media releases
- Ministers and DLUHC Area Leads / Delivery Support Managers (and other relevant policy departments such as DfT) are invited to any landmark events
- The appropriate logos provided by DLUHC are on display as set out in government guidance
- The dedicated DLUHC Area Lead / Delivery Support Manager is informed of any upcoming project milestones and planned communications activity, to feed into DLUHC's monthly milestone reporting
- Ministerial quotes are provided for media releases where appropriate, following the agreed process for seeking a quote, sending draft media releases to the Area Lead/
- DLUHC is notified of programmed communication events, allowing the opportunity for any Ministerial attendance if required. Ministerial departments will endeavour to tweet support or retweet our tweets when Ministerial attendance is not possible.

11. Branding

Communications should be mindful of the place brand – and therefore narrative - for Sandwell to ensure consistent messaging, in addition to the 'wider story' for the borough. A strong brand family is critical communicating a cohesive narrative and core messages in a consistent and compelling way to all our audiences. The brand is more than a logo, look and feel, colour, font and style guidelines. But at the same time this use of a consistent approach is all part of creating recognition and trust.

The branding of the work being undertaken by the Town Deal Board can support other objectives for partners, most of which are firmly linked to economic development and the support you provided to local businesses. It can help promote Sandwell as a visitor destination, attract new business and inward investment and promote pride among the Sandwell residents.

Government has produced a document which is clearly aimed at helping the Board (or sub-group) create its brand. This document can be found on the government website as follows: [insert link](#)

12. Evaluation / measures

Social media metrics:

- How many people are we reaching with our messages?
- User engagement – clicks on calls to action
- Organic reach and impressions
- Increase in followers
- Shares

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Websites:

- Visitor numbers and dwell time on specific priority web pages
- Email click-through acting on a call to action

Media releases and statements – coverage in and on local media

- Positive media coverage in articles – online and print
- Improved 'sentiment' – qualitative analysis where we are working on developing positive opinion on each particular project
- Resident awareness of the Board, the Deal and the projects – from council resident satisfaction survey

Engagement:

Consultation surveys and customer feedback

13. Monitoring

The PMO on behalf of the Accountable body, will report annually on the implementation of the communication plan as part of the ongoing assurance process.

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Appendix A Communication Plan Template

Quarterly Town Board Communications Plan Update

Project	Key Milestone	Comms Lead
Digital Den	Renovation complete Launch Event	Wendy Brookfield
Sandwell MEC	Construction works commence Construction works complete Launch/opening of building	Roland Barrett-Price
Urban Greening	Phase 1 works commence Phase 1 works complete Phase 2 works commence Phase 2 works complete	Joshua Singh
Town Hall Quarter	Town Hall Bell Tower works complete Construction Works Commence Construction Works Complete	Mark Evans Jane Lillystone
Retail Diversification	Acquisition of Kings Square Acquisition of Queens Square Relocation of Indoor Market Demolition works commence Demolition Works complete	Alexander Oxley
West Brom Connected	Phase 2 works commence Phase 2 works complete Phase 3 works commence Phase 3 works complete Phase 4 works commence Phase 4 works complete Phase 5 works commence Phase 5 works complete	Andy Miller Wayne Moore
Ron Davis Centre Expansion	On site works commence Building works complete Classrooms operational	Erroll Blackwood
Midland Met	Construction commence Construction complete Launch Event Training delivery commences	Austin Bell
Grove Lane Regeneration	Site works commence Site works commence Post Demolition works commence Post Demolition Works complete	Hayley Insley
Rolfe St Regeneration	Site works commence Site works complete Post Demolition works commence Post Demolition Works complete	Hayley Insley
Smethwick Connected	Phase 2 works commence Phase 2 works complete Phase 3 works commence Phase 3 works complete	Andy Miller Talvinder Sandhu

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	Phase 4 works commence Phase 4 works complete Phase 5 works commence Phase 5 works complete	
Brittania Park	On site works commence On site works complete	Johnr Satchwell
Canal Network	Site works commence Site works complete	James Dennison
Rowley Regis Satellite Education Hub	Construction commences Construction completed Launch Event/Building opening	Roland Barrett-Price
Blackheath Bus Interchange	Construction commences Construction completed	Andy Miller
Rowley Regis Connected	Phase 1 works commence Phase 1 works complete Phase 2 works commence Phase 2 works complete Phase 3 works commence Phase 3 works complete	Andy Miller Chad Smallman

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	2022											
	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	2023	2024	2025
Digital Den		Renovation complete	Launch Event									
Sandwell MEC			Purchase of Shaftesbury Site		Construction works commence				Construction works Complete	Operational set up		
Urban Greening	Phase 1 works commence				Phase 1 works complete					Phase 2 works complete	Phase 2 works complete	
Town Hall Quarter				Town Hall Bell Tower complete works			Construction works commence				Construction works complete	
Retail Diversification			Acquisition Kings square						Acquisition Queens square	Relocation of indoor market complete	Demolition works complete	
West Brom Connected				Phase 2 commence		Phase 3 complete				Phase 3 commence & complete	Phase 4	Phase 5
Ron Davis				On site works commence		Building works complete				Classrooms open and operating		
Midland Met											Construction works commence & complete	
Grove Lane Regeneration				Acquisition complete		Site works commence				Site works complete		
Rolfe St Regeneration										Site works commence & complete		
Smethwick Connected	Phase 3 commence	Phase 3 complete								Phase 2 commence Phase 3 complete	Phase 5 commence Phase 4 commence & complete	Phase 5 complete
Brittania Park					Site works commence					Site works complete		
Canal Network										Site works commence & complete		
Rowley Regis Satellite Education Hub								Construction works commence			Building complete and opening	
Blackheath Bus Interchange								Detailed design complete		Works commence	Works complete	
Rowley Regis Connected										Phase 1 commence & complete	Phase 2 commence & complete	Phase 3 commence & complete

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SANDWELL TOWNS FUND

STAKEHOLDER ENGAGEMENT AND INVOLVEMENT STRATEGY

Version 03

Consultation and Engagement Statement

The following statement was agreed by the Towns Fund Superboard:

This stakeholder engagement plan will clearly outline an inclusive stakeholder list and communication strategy as to ensure a transformational, locally driven and community owned submission to the Town Fund for Sandwell's three towns.

Purpose of Consultation and Engagement Strategy

The purpose of the Consultation and Engagement Strategy is to consider how stakeholders will be involved in the development of Sandwell Town Funds Programme. The stakeholders will be involved in the design and development of a sustainable future for the towns of Rowley Regis, West Bromwich and Smethwick.

Stakeholders are being engaged to seek their involvement and views to shape and deliver the best solutions to meet the needs of local communities.

The Consultation and Engagement Strategy is aimed at a wide range of businesses and stakeholders; the engagement and consultation techniques used will vary depending on which method would be the most effective for each group involved in the process and the stage of the programme.

Towns Fund Background

As Sandwell Council embarks on an exciting period of transformation, inward investment and expansion. A significant opportunity has arisen to secure funding from Towns Fund in three of the six towns in Sandwell.

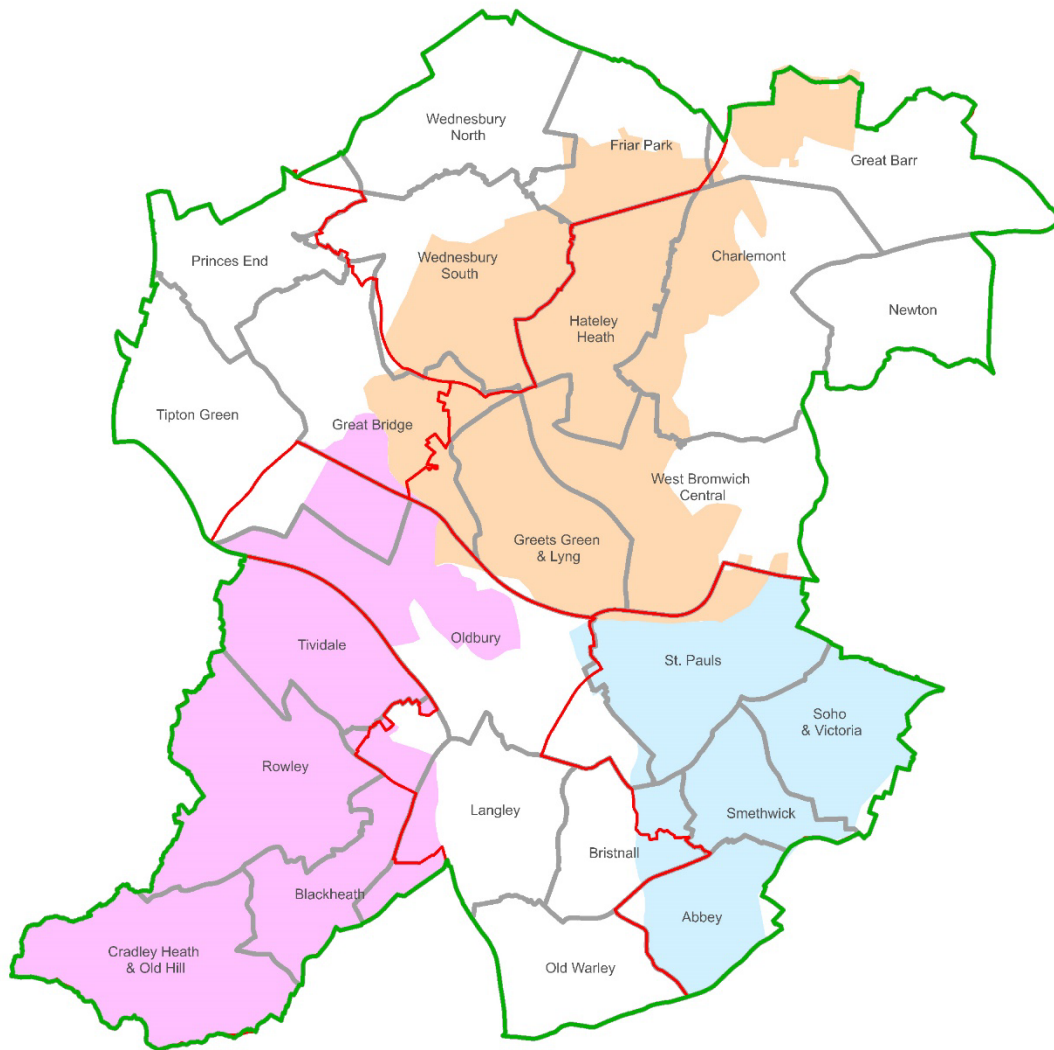
In 2019, The Government announced that West Bromwich, Smethwick and Rowley Regis were invited to bid for up to £25m each of funding to deliver interventions in planning and regeneration, skills and enterprise infrastructure, and connectivity (transport and digital).

The benefits of gaining funding from the Programme will contribute to the Sandwell 2030 Vision and economic growth in the towns through linking to existing integrated regeneration strategies. There are also wider benefits to be realised by the towns achieving stronger heritage, a sense of place and by cultural and civic assets benefiting. Leading to increasing tourism and making places more attractive to live, work, visit and invest in.






Sandwell Towns Fund Boundaries – West Bromwich, Smethwick and Rowley Regis

Sandwell Towns - West Bromwich, Smethwick and Rowley Regis



Key

-  Borough Boundary
-  Ward Boundaries
-  Six Towns Boundaries

Towns Fund Boundaries

-  West Bromwich
-  Smethwick
-  Rowley Regis



NORTH

June 2020

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STAKEHOLDER ENGAGEMENT AND INVOLVEMENT PRINCIPLES

Co-deliver	• We will work together to deliver services and make the decisions together.
Co-design	• We will work together to define issues and design the best responses.
Engagement Structures	• We will work together through effective and meaningful structures.
Consultation	• We will consult by completing informal and formal consultations to influence decisions.
Information	• We will engage by sharing information and utilising social media.
Compliance	• We will engage in relation to statutory or regulatory requirements
Social distancing	• All consultations and engagements were completed within government guidance and guidelines.

TOWN FUND PRIORITIES AND OUTCOMES

Towns Fund is focused around 3 themes:

- **Urban Regeneration, Planning and Land use:** ensuring towns are thriving places for people to live and work, by: increasing density in town centres; strengthening local economic and cultural assets; site acquisition, remediation, preparation, regeneration and use of planning tools to bring strategic direction and change.
- **Skills and Enterprise Infrastructure:** driving private sector investment and ensuring towns have the space to support skills and small business development.
- **Connectivity:** local transport schemes complementing regional and national networks, improved digital connectivity (5G and Fibre).



STAKEHOLDER CONSULTATION

The programme will follow the Government's Towns Fund Guidance and ensure that planned interventions are consulted with local people and where possible communities are part of producing originating ideas, setting objectives and the longer-term vision.

One of the key elements of the Town Funds guidance are that there should be ongoing engagement and genuine partnership arrangements. The town boards (Superboard and Local Boards) have a cross-section of people that reflect a broad range of groups and communities across Sandwell.

Evidence from previous Neighbourhood and Regeneration Programmes in Sandwell has demonstrated that consulting with local communities from the outset is likely to lead to a sense of pride and connectivity to projects following their completion. This then positively impacts upon local communities benefiting more widely from the overall outcomes of the programme.

The stakeholder engagement strategy plan has been revised in light of Covid-19 to reflect that there will be a much greater emphasis on completion of engagement through virtual methods and via social media, but where possible we will try to facilitate face to face engagement.

As there has been increased levels of community action and volunteering since the start of the pandemic across Sandwell, it is anticipated that there will be an opportunity to reflect new and emerging priorities in local Neighbourhoods and in the final Town Investment plans. We will ensure that the community consultation and engagement is completed sensitively and appropriately to facilitate physical and social connectivity and diversity across the three towns.

A stakeholder mapping exercise has been completed to identify stakeholders and select appropriate methods for engagement and consultation.

Key major stakeholders are brought together within the programme governance as participants of the Towns Fund Superboard, or three Local Boards all of which will be chaired by people independent of the Council.

The first phase of the Towns Fund Programme ran from March 2020 – October 2020. This Phase led to the creation of a Town Investment Plan (one for each Town). This Phase of the programme was split into two key stages.

Stage 1

Ideas Generation (Evidence base compiled, local priorities for Towns Fund identified and Ideas generated for interventions)

Stage 2


Investment Development (Development of outline business case for Interventions and compilation of Town Investment Plan (TIP))

The nature of consultation and engagement differed during each of these stages.

Stage 1


During Stage 1, the project team undertake a broad ranging stakeholder consultation in each of the 3 towns with key identified stakeholders and listened to local residents and community groups by gaining their views on local priorities and ideas for improvements.

The project team drew heavily on existing data and consultation (e.g. gathered through Vision 2030 consultation, through the formation of the Inclusive Economy Deal and regular survey work such as the SHAPE survey for young people).

The  Government's MyTown website was established at the start of the Towns Fund Programme and many local residents have already engaged with this forum to offer ideas. We will continue to review content on the MyTown website.

Stage 2

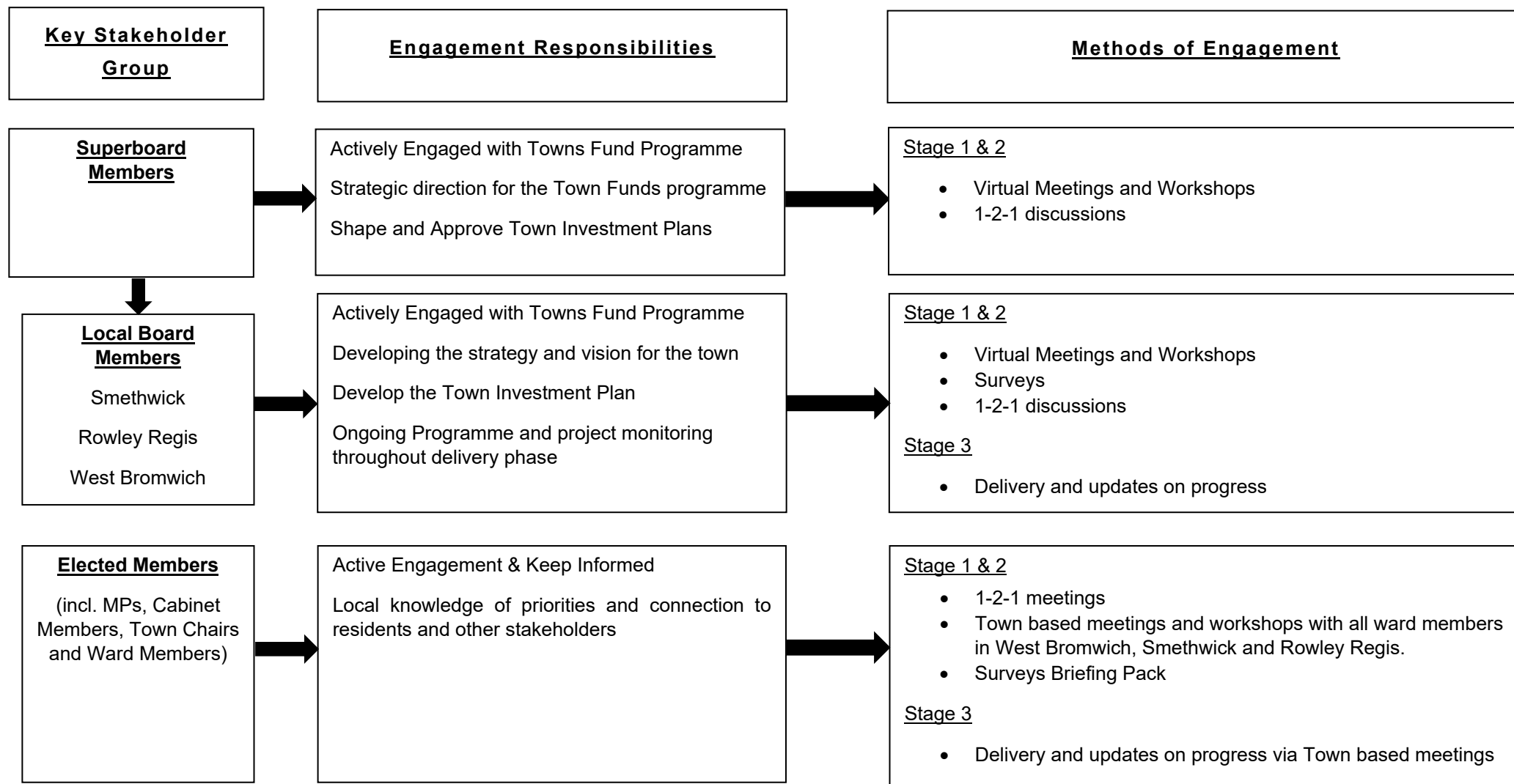
During Stage 2, proposed projects became more defined and explored project feasibility and viability. At this stage engagement and consultation was used in a more targeted way to shape the interventions and test their feasibility and acceptability.

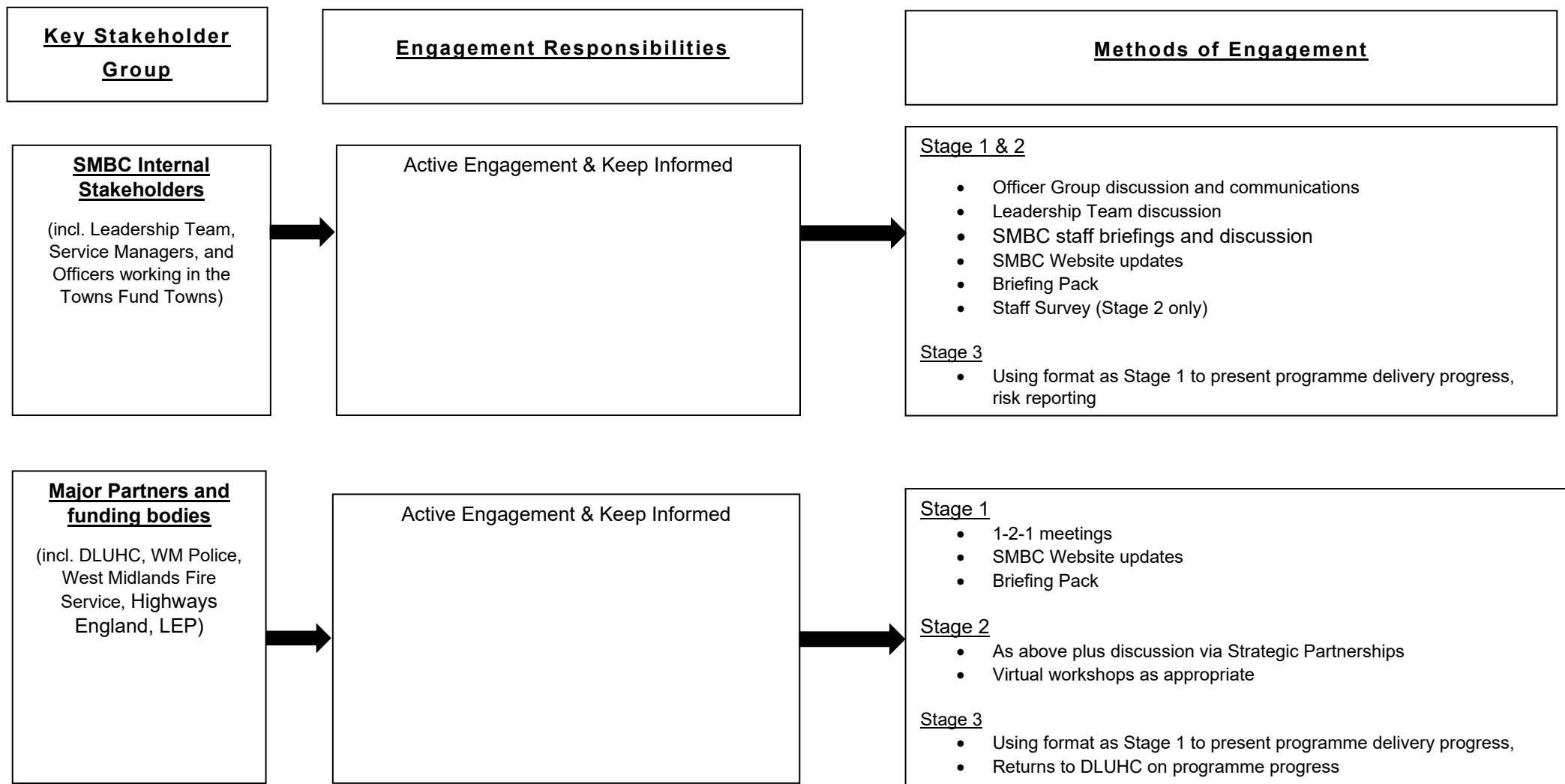
A young people's  virtual reference group was to be established to conduct engagement with young people and to support the Superboard and Local Boards. In addition, a young person's representative was supported to participate in the Superboard and Local Board meetings.

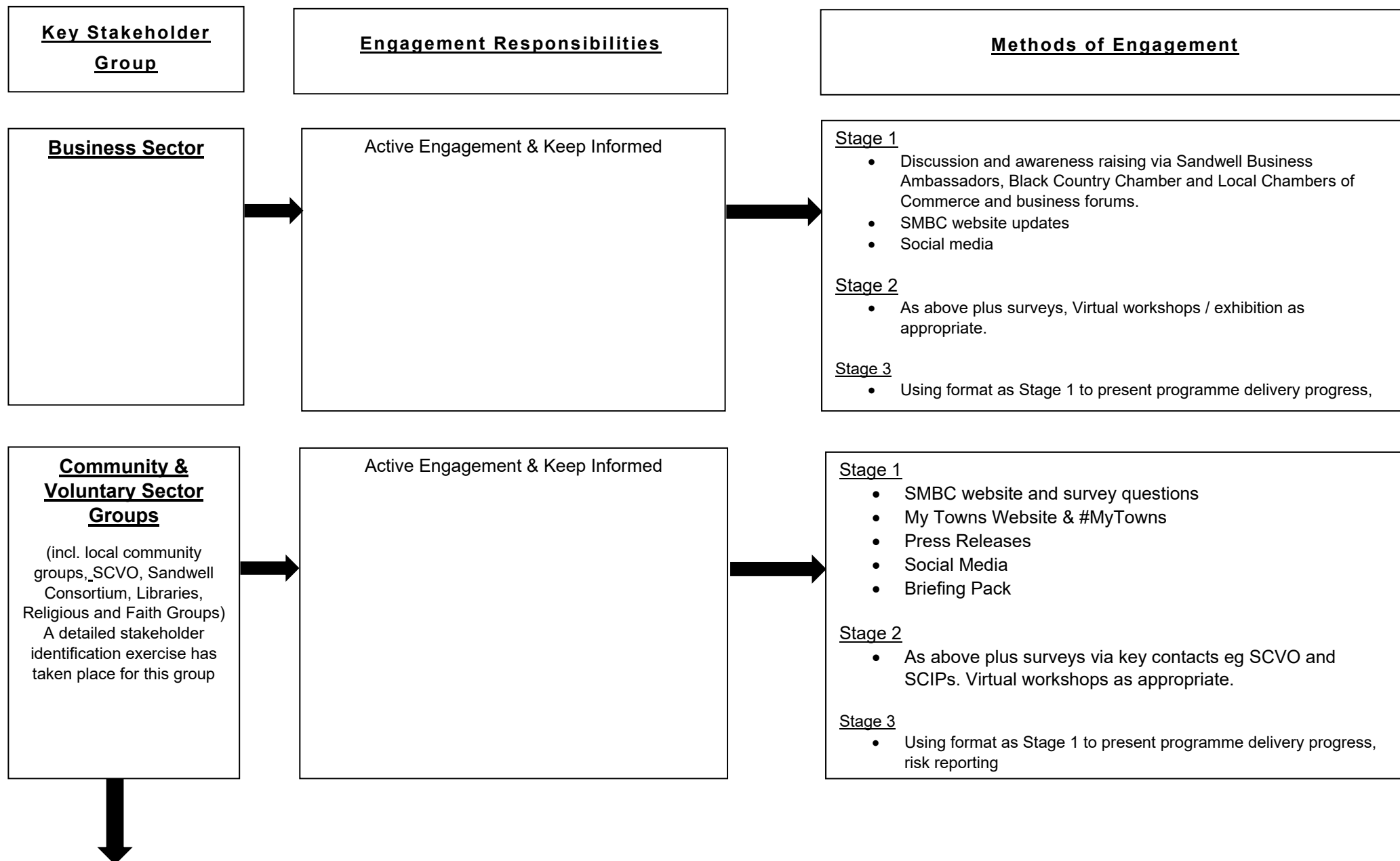
Stage 3

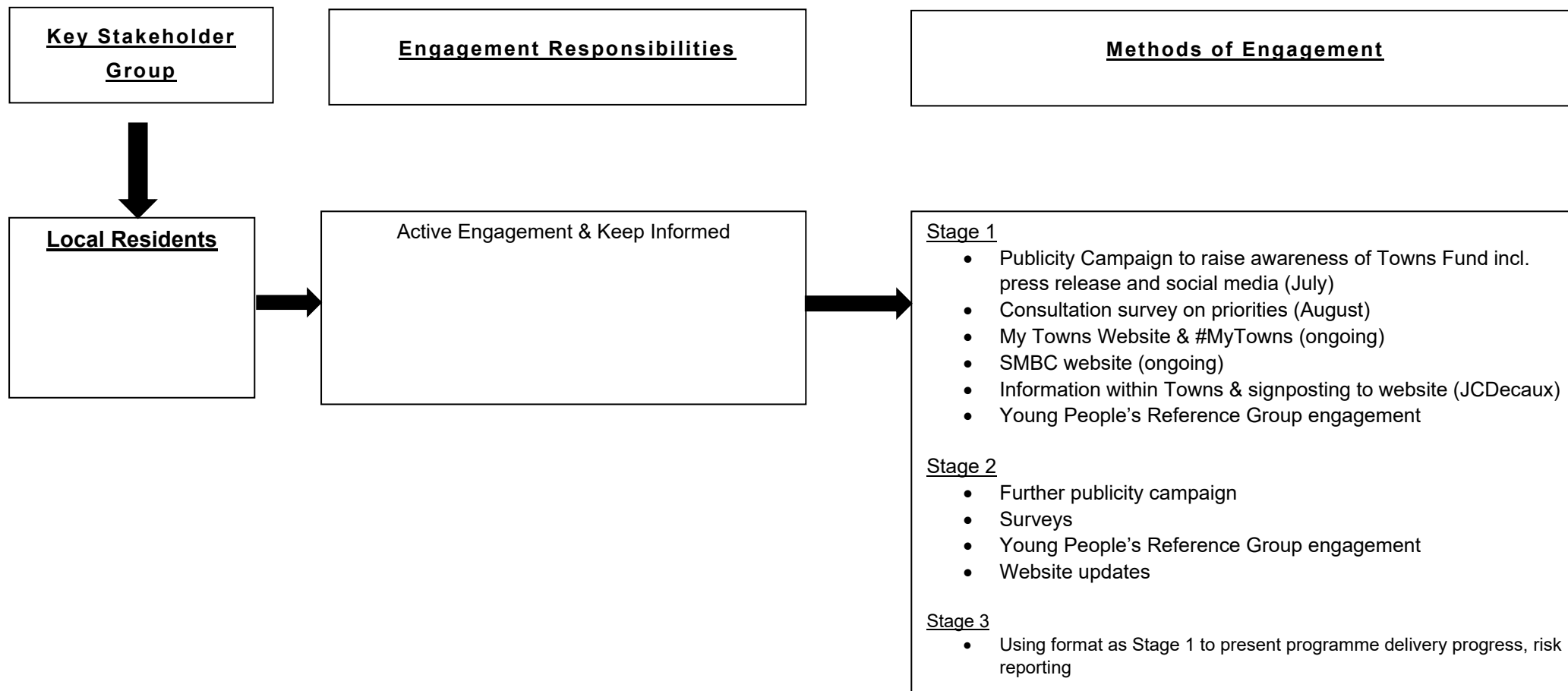
During the delivery phase of the programme, ongoing stakeholder engagement and consultation will be undertaken in accordance with agreed Engagement Plans that projects submitted as part of their Full Business Case. This will allow continued involvement of local communities and resident in understanding and getting involved with projects as they are delivered throughout the lifetime of the project.

Engagement Plan









Annex12 Towns Fund Risk Management

1. The Purpose of this risk management policy is to identify the Towns Fund objectives, approach, responsibilities and the context for procedures.

SMBC is committed to the effective management of risk throughout the organisation and to:

- Provide the effective delivery of the outcomes for Towns Fund
- Provide the appropriate management of finances and funding to secure those same outcomes
- Protect the reputation of SMBC and its partners
- Ensure compliance with regulations and guidance from government which oversee Towns Fund.

The Towns Fund Programme will adhere to the Accountable Body's Risk Management Strategy. The strategy sets out the specific steps to take in all processes and includes:

- business planning;
- financial planning (and setting our medium-term financial strategy in particular); and
- managing budgets, performance and projects.

2 Objectives of Risk Management

- Improve project performance
- Ensure effective governance of risks
- Promote a risk aware culture
- Avoid unnecessary Programme liabilities and costs
- Encourage the taking of calculated risks in pursuit of opportunities that would benefit the projects, programmes and borough

3 Risk Management Approach

- Effective risk management of the funding programme needs to be aligned with SMBC objectives and priorities
- Risk management culture that spreads best practice, identifies and communicates lessons learnt from both internal and external experiences as part of management practice
- Using appropriate expertise and has a clear ownership structure
- Applying up-to-date and reliable information about risks
- Promoting decision-making supported by a consistent risk analysis framework
- Regular processes in place to monitor risks
- Cost-effective controls in place to manage the risk
- Recognition that many of the risks handled by SMBC will be interdependent on partners and the risks need to be handled jointly where appropriate

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4 Risk management has to be proactive to ensure that programme risks are:

- Identified
- Evaluated by considering the impacts and probability of their occurrence;
- Effectively managed by identifying suitable controls and countermeasures and assessing the cost effectiveness of the mitigating actions proposed.

Effective risk management anticipates and avoid risks rather than dealing with the consequences of events happening. However, not all risks can be managed, particularly those that are caused by external factors over which the organisation has no control (e.g., severe weather). SMBC will therefore separately develop a business continuity plan in order to reduce the impact should a major event occur.

5 Risk Responsibilities

Project Leads are responsible for:

- Maintaining and updating project risk registers throughout the delivery phase of the project. A copy of the risk register can be found in Appendix 1
- Submitting quarterly risk registers as part of the claim process
- Respond to any request for further information where RED risks are identified
- Communicate major risks to project to the PMO where this has not been identified previously through risk registers and would severely impact the delivery of the project.

The PMO is responsible for:

- Producing quarterly programme dashboard reports to the Local Board on the progress of all projects for review and to provide information on any risks that have been identified as well as the proposed solutions thereof.
- Completion of SMBCs Strategic Risk Register which is presented to the Audit and Risk Assurance Committee (ARAC)
- Responding to strategic risks 'called in for further review
- Producing a yearly report on risk and appropriate RAG status of all projects, once the annual project audits are completed.

The Accountable Body is responsible for:

- Ensuring that the Accountable Body effectively manages risk relating to the Towns Fund Programme complying with the [SMBC Corporate Risk Management Strategy](#)
- Ensuring the Audit and Risk Assurance Committee (ARAC) review Strategic Risk Register and 'call in' any risks for review to provide assurance that actions are being implemented to mitigate/reduce.

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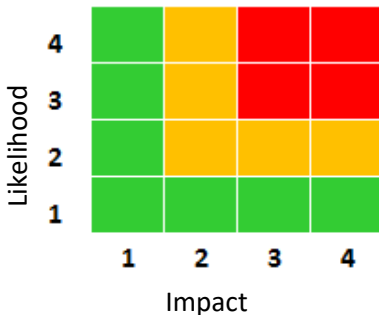
The Town Deal Board is responsible for:

- Receiving monthly programme dashboard reports on the progress of all projects and to review risks that have been identified

6 Project Risk Profile and RAG rating system

Impact	4. Very High: The project objectives and benefits will not be achieved.
	3. High: Risk that has the potential to significantly impact project cost, schedule or performance by 11-20%
	2. Medium: Risk that has the potential to moderately impact project cost, project schedule or performance by >5% - <10%
	1. Low: Risk that has relatively little impact on cost, schedule or performance by <5%
Likelihood	4. Expected: Greater than 80% probability of occurrence (likely to occur, to be expected).
	3. Probable: Between 50% and 80% probability of occurrence (not surprised, will occur in given time).
	2. Possible: Between 20% and 50% probability of occurrence (could occur occasionally).
	1. Remote: Below 20% probability of occurrence (unlikely, though possible).
Risk Score	This is calculated field based on the values selected for both Risk Impact and Probability of Occurrence.
	<p>Red: 4-4 (Very High, Expected), 4-3 (Very High, Probable), 3-4 (High, Expected), 3-3 (High, Probable)</p> <p>Red risks are those that require immediate action to reduce their likelihood and/or impact. These risks should be monitored on at least a monthly basis to ensure that the further actions necessary to reduce the level of risk are completed within appropriate timescales. These risks should be escalated / reported as appropriate to ensure that they are brought to the attention of the Management Board and members.</p>
	<p>Amber: 4-2 (Very High, Possible), 3-2 (High, Possible), 2-4 (Medium, Expected), 2-3 (Medium, Probable), 2-2 (Medium, Possible)</p> <p>Amber risks are those that require action to ensure that the effectiveness of existing control measures are monitored and improvements made if required to reduce the likelihood and/or impact to green. These risks should be reviewed on at least a quarterly basis.</p>

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	<p>Green: 4-1 (Very High, Remote), 3-1 (High, Remote), 2-1 (Medium, Remote), 1-4 (Low, Expected), 1-3 (Low Probable), 1-2 (Low, Possible), 1-1 (Low, Remote)</p> <p>Green risks are those that should be monitored on a less frequent basis, either six monthly or annually, to ensure that existing control measures continue to be effective.</p>
	 <p>The Risk Matrix is a 4x4 grid. The vertical axis is labeled 'Likelihood' with values 1, 2, 3, 4. The horizontal axis is labeled 'Impact' with values 1, 2, 3, 4. The cells are color-coded as follows:</p> <ul style="list-style-type: none"> Green (Low Risk): (1,1), (1,2), (1,3), (1,4), (2,1), (2,2), (3,1), (4,1) Yellow (Medium Risk): (2,3), (2,4), (3,2), (3,3) Red (High Risk): (3,4), (4,2), (4,3), (4,4)
Risk Owner	Identify who is responsible for the management, monitoring and control of the identified risk. Note that the actual task of monitoring may be delegated
Mitigation	Define the actions required to reduce the probability, improve the controls and/or reduce the financial impact using the following Risk Responses as guidance
	<p>Terminate the Risk - by doing things differently and this removing the Risk, where it is feasible to do so. Countermeasures are put in place that either stop the threat or problem from occurring or prevent it having any Impact on the Project or business.</p>
	<p>Treat the Risk - take action to control it in some way where the actions either reduce the likelihood of the Risk developing or limit the impact on the Project to acceptable levels.</p>
	<p>Transfer the Risk - this is a specialist form of Risk Reduction where the management of the Risk is passed to a third party via, for instance, an insurance policy or penalty clause, such that the impact of the Risk is no longer an issue for the health of the Project. Not all Risks can be transferred in this way. Consideration must also be given as to whether all facets of a Risk can be transferred. E.G. while the financial impact of a Risk might be transferred, the brand impact may not be.</p>
	<p>Tolerate the Risk - conscious decision to maintain threat where nothing can be done at a reasonable cost to mitigate it or the likelihood and impact of the Risk occurring at an acceptable level.</p>

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APPENDIX 1
RISK REGISTER



Directorate/ Project Risks:

Ref	Risk Title and Description	Risk Owner	Service/ Workstream Area	Current Measures in Place to Manage Risk	Current Risk Score			What else do we need to do / Further actions required to manage the Risk	Responsibility for Action	Date for completion of Action(s)	Target Risk Score			Business plan/ project priority
					Likelihood	Impact	Total				Likelihood	Impact	Total	
Directorate/ Project Priority														
1														
2														
3														


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Score	Impact - Higher of			Likelihood (the proximity of the risk at the time of assessment)
	Financial	Reputation	Service Delivery	
4 (High)	>20% of budget	National media coverage – permanent impact on reputation	>80% Serious service or programme failure directly affecting vulnerable groups, requiring intervention by Members.	Almost certain It is reasonable to expect that the event will undoubtedly happen or recur, possibly frequently or at least within the next six months A more than 50% chance of the risk occurring
3 (Medium)	11% to 20% of budget	Local media and TV coverage- long term local reputation affected	50%-80% Significant service or project disruption requiring intervention by Corporate Directors / Management Board	Probably / likely The event is more than likely to occur. It will probably happen in the next year but is not a persisting issue. The chance of the event occurring is between a 25% to 50% likelihood
2 (Low)	5% to 10% budget	Local newspaper coverage – reputation affected temporarily	25%-49% Noticeable disruption to outputs requiring intervention by a relevant Director / Service Manager	Possible Little likelihood of the event occurring. It might happen in the next 18 months or recur occasionally. The chance of the event occurring is between a 10% to 24% likelihood.
1 (Very Low)	<5% of budget	Local gossip/ reputation affected internally	<25% Short term service disruption requiring intervention by a unit or project manager or equivalent	Unlikely The event is not expected, There is no expectation that the event will occur, but it is possible that it might do so. The chance of the event occurring is less than 10%.


Risk Categorisation

Likelihood	High (4)	4	8	12	16
	Medium (3)	3	6	9	12
	Low (2)	2	4	6	8
	Very Low (1)	1	2	3	4
		Very Low (1)	Low (2)	Medium (3)	High (4)

Impact
(Higher of financial, reputation and service delivery)

 Red risks are those that require immediate action to reduce their likelihood and/or impact. These risks should be monitored on at least a monthly basis to ensure that the further actions necessary to reduce the level of risk are completed within appropriate timescales. These risks should be escalated / reported as appropriate to ensure that they are brought to the attention of the Management Board and members.

 Amber risks are those that require action to ensure that the effectiveness of existing control measures are monitored and improvements made if required to reduce the likelihood and/or impact to green. These risks should be reviewed on at least a quarterly basis.

 Green risks are those that should be monitored on a less frequent basis, either six monthly or annually, to ensure that existing control measures continue to be effective.

Annex 13 Assurance Framework lines of defense

The following table describes the four lines of defense model used to provide assurance for the Sandwell Towns Fund. This approach will be kept under review as part of the annual review of the Assurance Framework.

First line – Programme Management Office and Finance
<p>Lead responsibility</p> <p>Towns Fund Programme Manager responsible for ensuring the Programme Management Office undertakes first line checks against policies and procedures in the Assurance Framework and that control mechanisms are in place and are utilised.</p>
<p>Further roles</p> <p>Expectations of project sponsor organisations to be clearly set out and documented with regard to business case requirements, funding agreements, monitoring, financial claims and risk management.</p>
<p>Sources of assurance</p> <ul style="list-style-type: none"> • Project business cases (draft, full) • Project business cases external assurance • Legal advice • Partnership Agreements/Internal Offer Letter • Project monitoring returns • Project risk registers • Programme plan and monthly programme report to Programme Board • Notes from bilateral meetings with project sponsors • Notes from Project sponsor group meetings • Risks and issues log • Quality assurance processes for documentation produced • Cabinet papers and minutes • Disseminate government guidance • Finance team to monitor and manage claims process to passport fund, highlighting any areas of concern to PMO
Second line – Programme Board
<p>Lead responsibility</p> <p>Towns Fund Programme Board Chair responsible for ensuring the Programme Board provides a sound second line with mechanisms in place to assess, control and mitigate risk and monitor programme delivery on a monthly basis.</p>
<p>Further roles</p> <p>Programme Board members to play an active role in ensuring that the agenda and papers facilitate this second line role and allow opportunity to highlight project delivery issues. Relevant SMBC officers will be invited to support delivery ie procurement, governance, legal, communications</p>
<p>Sources of assurance</p> <ul style="list-style-type: none"> • Monthly programme board papers, minutes

- Programme risk register
- Programme Equalities Impact Assessment and regular review of this
- Stakeholder Engagement and Consultations
- Controls in place for claims submission and payment process,
- Collaborative working towards delivering project, shared experience

Third line – Towns Fund Board and Accountable Body

Lead responsibility

Sandwell Towns Fund Board Chair responsible for ensuring the Towns Fund Board provides appropriate oversight and further assurance with mechanisms in place to assess, control and mitigate risk and monitor programme delivery.

Council Leader responsible for ensuring that Cabinet has put in place sufficient resources and controls for the council to fulfil the Accountable Body role.

Further roles

Sandwell Towns Fund Board and SMBC Cabinet members to embody good governance through providing appropriate challenge and oversight in line with the respective roles set out in the Assurance Framework. Towns Fund PMO to ensure quality assurance of all documentation prior to circulation to the Towns Fund Board/Cabinet.

Sources of assurance

- Sandwell Towns Fund Board papers and minutes
- Board and Chair sign-off
- Section 151 officer sign off
- Board representations made to government and/or the Accountable Body
- Review of the programme/project risk register, the Assurance Framework and the Equalities Impact Assessment
- Sign off of returns to government and programme reports for Sandwell Towns Fund Board and SMBC Cabinet
- Management of potential conflicts of interest
- Leader sign off
- Approval of Assurance Framework and other programme delivery requirements

Fourth line – Audit and external scrutiny

Lead responsibility

Internal audit (and external audit where required) to assess the effectiveness of the first three lines of assurance, providing an independent and objective opinion on the framework of governance and making recommendations for improvement. External scrutiny from DLUHC as the lead government department in line with funding requirements, guidance and the Heads of Terms for the Sandwell Towns Fund.

Further roles

All partners to engage fully and in a timely way with audit and external scrutiny/requests from government. Recommendations for improvement to be considered at the earliest opportunity by the Sandwell Towns Fund Board and the Accountable Body.

Sources of assurance

- Internal audits

- Consideration of audit reports and recommendations by the Sandwell Towns Fund Board and Accountable Body
- Compliance with audit recommendations
- DLUHC reviews of governance
- DLUHC monitoring and evaluation of programme delivery
- DLUHC sign-off

Towns Fund Process

Local Board has decision making authority on objections raised, minutes will be recorded and published on Modern.gov

Cabinet Delegated authority to the Sandwell Towns Fund Superboard to approve the Town Investment Plans

