Goole Town Deal Local Assurance Framework

1. Introduction

1.1. In June 2021, Goole was issued with a Heads of Terms offer awarding a £25m Town Deal by Central Government to deliver a range of projects that will provide 'interventions' resulting in economic productivity through urban regeneration, planning and land use, skills and enterprise, and connectivity.

1.2. Goole Town Deal Board (TDB) was established in March 2020 to support the development of the Town Investment Plan (TIP) for Goole and identify and agree the funding priorities for a potential Town Deal. The TIP provides the vision and strategy for the framework for planning and implementing the regeneration of Goole to 2026.

1.3 The success and strong engagement of the TDB has led to recently updating the Terms of Reference to reflect their long term role to oversee the development of business cases and delivery of the Town Deal by 31st March 2026 and identify priorities in the TIP for future funding opportunities.

1.4 A requirement of a Town Deal is to implement a Local Assurance Process for the development and decision making of individual Business Cases, requiring final sign off by the Lead Authority's Section 151 Officer and Town Deal Board Chair. The Assurance Framework is required to outline how local assurance will take place. It outlines the roles and responsibilities of the Lead Authority, Town Deal Board, and project partners, and outlines the governance procedures that will be followed for the Town Deal Programme.

Its purpose is to:

• Enable accountable decision-making

• Ensure value for money

• Provide for effective monitoring and evaluation

1.5 The Framework is underpinned by a suite of documents, including terms of reference, policies and procedures which apply to all the activities in which the Goole Town Deal Board are involved. The Board works closely with the East Riding of Yorkshire Council (ERYC) as the Accountable Body for the Goole Towns Fund programme in fulfilling its Local Assurance Framework. The Framework is divided into three parts:

Section 1 - Introduction

Section 2 - Goole Town Deal Board

Section 3 - Governance Section

2. Goole Town Deal Board

2.1. The Goole Town Deal Board is the strategic group working in partnership with the Lead Body, ERYC. It will provide strategic direction to the development and implementation of the Towns Fund programme for Goole. Specifically, it will be the vehicle through which the vision and strategy for the town is defined to drive long-term transformative change and inform the Town Deal, including the amount of investment secured through the Towns Fund.

2.2 Specific sub-groups or working groups can be established to develop the wider detail for project business cases and ensure wider community and stakeholder engagement. These subgroups will be chaired by either a member of the TDB or Council Officer who will report back to the main Board on the sub-group activity and progress.

2.3 The Board will appraise each Town Deal business case to ensure alignment with the priorities set out in the TIP and to ensure they are developed with broad engagement with local communities and businesses. The Board will receive reports on the progress, key milestones and any issues/risk identified during the development of the detailed business cases.

2.4 An ERYC led internal Town Deal Programme Panel, consisting of senior managers from relevant ERYC disciplines and including the Section 151 Officer, will be responsible for recommending for approval the Business Cases on behalf of the accountable body. Business cases will then pass through the ERYC Capital Board who are independent to the operational delivery of the Town Deal. The Town Deal Programme Manager will manage programme information and activity between the Board, its sub-groups and panels and the Council delivery team, Portfolio Holders, and the Council's Cabinet.

2.5 Once full business cases have been developed and approved, through the Local Assurance Framework, the Accountable Body will submit a Town Deal Summary Document to Government setting out:

- Details of the agreed projects, including Benefit Cost Ratios (if relevant)
- Details of business case assurance processes followed for each project
- An update of actions taken in relation to the Heads of Terms key conditions and requirements
- A delivery plan
- A monitoring and evaluation plan
- Confirmation of funding arrangements and financial profiles for each project
- Confirmation of approvals of planning applications
- Letters of approval from the Town Deal Board and East Riding of Yorkshire Council

2.6 To meet the Heads of Terms conditions requested by government, a regional forum has been established to take a multi authority approach to the full business case for the Goole- Leeds rail uplift project. The business case must be endorsed by the wider stakeholders prior to being considered via the Local Assurance Framework process. On local approval, the business case will be submitted to government for the final sign off.

2.7 The Towns Fund Programme Manager will have day to day responsibility for coordinating delivery of the Towns Fund projects on behalf of the TDB, overarching responsibility for steering and overseeing the Town Deal and the TIP with the Board.

The diagram at Appendix 1 shows the projects and programme structure and relationship between the Board and the Council.

2.7 If there is a dispute arising between ERYC as Accountable Body and the Town Deal Board with regard to the Strategic Decisions sought to be made by each respective body, the Assistant Chief Executive of ERYC shall arrange for a mediation process to resolve that dispute as quickly as possible.

3. ERYC Town Deal Programme Board

The work programme required to deliver the Town Deal will also involve the commitment and resources of other public agencies, extensive stakeholders, member and community engagement and consultation, to assist in the development and delivery of projects to ensure they meet the expectations of government and secure local support and buy in.

To provide support and oversight of the Town Deal and to the individual project teams/lead for Town Deal projects, an internal ERYC Town Deal Programme Board will be established to monitor and manage the delivery of the Town Deal. This will be supported by a dedicated Programme Delivery Team based in the East Riding of Yorkshire Council's Regeneration Service Area, supported by other internal departments and specialist advisers as necessary.

3.1 The Terms of Reference for a Council led Town Deal Programme Board:

- To work in partnership on the shared vision and priorities set out in the TIP and final projects to be delivered under the Towns Fund.
- Identify the resources required (and available for each project) and, where necessary, work together to secure additional resources to ensure delivery of the Town Deal.
- Prepare an annual Town Deal Delivery Plan and adopt a Local Assurance Process to allocate resources and oversee the delivery of the Town Deal and the implementation of the component projects.
- Ensure effective co-ordination between the activities and actions of the agencies and organisations involved.
- To monitor and review the progress of the TIP and effectiveness of the actions.
- To monitor risks, issues, and assumptions to ensure successful delivery of the Town Deal projects.
- To monitor the financial profile, cash flow and budgets of all projects.
- To receive updates, comment and provide strategic direction on the development of the Town Deal project business cases.
- To monitor the effectiveness of the Communication & Engagement Plan to ensure members, stakeholders and the community are actively engaged throughout the delivery of the Town Deal.
- To receive biannual reports on the Monitoring and Evaluation being achieved against the planned outputs and outcomes submitted to DLUHC at project confirmation stage.
- ERYC is committed to fulfilling its role as an employer, service provider, purchaser of goods and services and community leader without discrimination. The Public Sector Equality Duty (PSED) requires the council to have 'due regard' to seek to eliminate discrimination; advance equality of opportunity and foster good relations within all communities. This commitment is backed by the council's Equality Plan 2020-2024. The Equality Objectives for 2020-24 are:
    - Council Services are as accessible as possible and appropriate to users' needs for people with a protected characteristic
    - Protected characteristic groups can participate in all relevant consultations and engagement activities, helping ensure their ability to influence the decision-making process
    - Improve the health and well-being of people in the community with a protected characteristic
- To comply with PSED, the Lead Body will conduct a programme-wide level impact assessment of Goole Town Deal, and relevant project impact assessment including any necessary Environmental Impact Assessments.

3.2 Membership of the ERYC Town Deal Programme Board

To progress and deliver the Town Deal, the Programme Board will need to have wide ranging support and clear lines of accountability. It is proposed that:

• The Programme Board should have delegated authority within agreed tolerances to deliver the Town Deal within agreed budgets and funding attracted in accordance with a 5year Delivery Plan which may need the approval of partner organisations.

• The Programme Board will provide update reports to the Town Deal Board as the overarching partnership body for the Town Investment Plan. Individual partners will need to determine the need for reporting arrangements to their parent organisations.

• Representatives will have the ability to influence and/or deliver the Town Deal and Delivery Plan. The Group will have a key influencing role and be a senior officer interface between the Programme Delivery Team and the Town Deal Board to ensure the provision of technical expertise prior to making recommendations to the Town Deal Board.

• Board Members will be identified to act as programme and project sponsors on the basis that their powers and responsibilities make them the most appropriate lead for individual projects.

ERYC TOWN DEAL DELIVERY BOARD

Remit: To ensure individual projects and the programme overall aligns with local, regional, and national policy and economic strategies and the delivery and funding conditions attached to the Goole Town Deal. The senior Responsible Officer carried the delegated authority for Goole Towns Fund operational decision making.

PROJECT EXECUTIVE

Senior Responsible Officer/Programme Sponsor	Director of Planning and Economic Regeneration
Senior Users	Head of Economic Development
	Head of Economic Regeneration Projects
Senior Suppliers	Head of Asset Strategy
	Head of Infrastructure and Facilities
Programme Manager	Goole Town Deal Programme Manager

CORPORATE GOVERNANCE/QAULITY ASSURANCE

Legal	Land & Commercial Law Manager
Finance	PER Group Finance Manager
Development Management	Development Manager (West)
Forward Planning	Forward Planning & Strategic Housing Manager

Engineering & Design	Civil Engineer Services Manager
	Building Design Manager
Sustainability	Sustainable Development Manager
Property	Valuation & Estates Manager
	Strategic Property Manager
Transport & Highways	Principal Transport Policy Manager
Flood Risk & Resilience	Principal Engineer
Communications	Corporate Comms Manager
Workforce Skills Development	BITS Group Manager
	EES Group Manager

3.3 Resource and Key Milestones

Below are the Towns Fund projects approved by government which the TDB can prioritise for funding under the signed Heads of Terms offer.

- Delivering Goole Market Hall Reinvention
- Creating a Town Centre Public Realm Programme
- Implementing a Property Activation Fund to support reanimation of town centre buildings
- Modernising Goole Leisure Centre
- Developing Victoria Pleasure Ground
- Implementing the Dutch River Cycleway and Improved Flood Banks
- Developing Goole Station Transport Hub
- Implementing a One Stop Skills and information Shop
- Developing Full Fibre Broadband in Old Goole
- Establishing faster, direct rail services between Goole and Leeds

The Town Deal Delivery Plan will set out the resources, programme, and key milestones for each intervention which the Town Deal Programme Board will monitor progress against.

4. Governance Arrangements

4.1 Decision Making

Stage 1. Town Investment Plan (completed)

The Board will be responsible for signing off each stage of the development of the TIP, this includes the decisions relating to the project prioritisation process and final selection of projects for inclusion in the Town Deal.

Stage 2. Heads of Term Agreement /Town Deal (completed)

The Board will be responsible for decisions relating to the agreement of a Town Deal with government and the subsequent development of the detailed business cases for Town Deal projects. The Board will oversee each step of this process and along with ERYC (as the Accountable Body), will have responsibility for reaching a final Heads of Term Agreement with government.

Stage 3. Town Deal Project Business Cases

Following the Heads of Term Agreement, the TDB will monitor the development of full business cases for each the TIP projects. The business case development will be carried out by an accountable lead, a project manager appointed by the Project Lead Partner supported by the Programme Delivery Team, specialist consultancies and any external partners. This process will be managed by the Town Deal Programme Manager who will provide progress reports to the TDB.

A key component of the Business Case process will be to assess Green Book compliant Value for Money Assessments, including calculation of Benefit Cost Ratios (BCRs) for individual projects.

There may be circumstances where adjustments and changes need to be made to projects. The Accountable Body will discuss any such changes with the Town Deal Board. The Towns Fund lead, the Department for Levelling Up, Housing and Communities, (DLUHC) will also be consulted and their relevant processes for project adjustments will be followed. Approval to these changes will be at the discretion of DLUHC.

Further community and stakeholder consultation and engagement will take place during full business case development to ensure the community and stakeholders remain active in shaping the projects.

Stage 4. Delivery of Town Deal projects

ERYC will be responsible for the day to day delivery and operational decisions for the Towns Fund programme and any funding agreements with both internal and external partners who will deliver Town Deal projects, The TDB will be responsible for strategic programme decisions and for overseeing delivery of the programme, monitoring and evaluation of the individual projects and compliance with the Heads of Terms Agreement with government.

Each Town Deal project will be led by an appointed Project Manager who will work with the Programme Delivery Team. The Programme Manager will provide update reports to the relevant Council Boards, portfolio holders and Cabinet/Scrutiny Committees on behalf of the Council. Regular programme monitoring and evaluation reports will be provided to the TDB, Department for Levelling Up, Housing and Communities, Portfolio Holders and Members. Key programme decisions will require final approval by the Programme Management Board.

An Independent Grant Assessment panel will be established with delegated powers for appraising and recommending grants for approval within the conditions of the Property Activation Fund. Applications recommended for approval will pass through the Town Deal Board for consideration and endorsement, prior to submission to the Programme Delivery Board.

4.2 Scrutiny

The Programme Board is made up of Senior managers, responsible for ensuring that the programme aligns to the wider business of the Council and its policies and procedures. Representation is from specialist areas such as legal, finance and communications, they act on behalf of the accountable body and will scrutinise the performance of the Towns Fund programme to ensure appropriate compliance to Council, Department for Levelling Up, Housing and Communities and Towns Fund policies and processes. Additional scrutiny of the programme will be carried out through programme reviews by the ERYC Capital Board.

4.3 Financial Regulations

ERYC is the accountable body for the Town Deal. ERYC must conduct its business efficiently and ensure it has sound financial management policies in place, including arrangements to monitor compliance. ERYC statutory Section 151 Officer is also charged with ensuring that proper financial management processes are in place.

The financial management of the Town Deal will be in accordance with East Riding of Yorkshire Council's Standing Orders and Financial regulations. The Local Authority will account for financial resources granted or to be applied for in the name of the Town Deal Board.

ERYC's financial regulations provide clarity about the financial accountability of individuals. The regulations identify responsibilities of individuals across all levels. Written records are a requirement where decision making has been delegated to members of staff to give assurance that tasks or decisions have been performed in accordance with the Financial Regulations.

The Delivery Plan will include or be accompanied by a financial profile and budget forecasts as appropriate. Further delegations will be put in place by the Accountable Body with specific reference to the delegation of authority for the Towns Fund programme. This proposal will ensure the most efficient and timely management of the programme, in the context of the delivery timeframes.

4.4 Risk Management

ERYC proactively manages its risks, enabling it to effectively manage current priorities and promptly identify future challenges. Risk management is noted as one of the key pillars of good decision making and therefore a crucial element of good governance. ERYC continually develops its risk management processes. A formal programme delivery risk assessment will be completed and reviewed quarterly at the Town Deal Programme Board as part of the monitoring process ensuring that identified risks are minimised where possible and do not impact negatively on us achieving our priorities, outputs and outcomes.

4.5 Register

A Risk Register will record the Towns Fund programme and will be updated on a regular basis recording a list of any significant risks which may prevent the programme from achieving its priorities, outputs, and outcomes. It will hold both strategic and operational risks. The Register identifies the lead individual to manage the risk, identifies the controls or mitigation that needs to be in place to continually monitor the risk and record the outcome of any audit review. The register is used for reporting and monitoring of risks at a variety of levels and is configured in risk groups aligned to the directorate structure of ERYC.

4.6 Procurement

As a public sector body, ERYC employ rigorous procurement processes which fully comply with the Public Procurement regulations on tendering and procurement and is a 'contracting authority 'under the Public Contracts Regulations. Any procurement carried out as part of the Towns Fund programme will follow the Public Contracts Regulations.

5. Appendices

5.1 Appendix 1 - Town Deal Governance Framework