

Coast to Capital

Meeting: Coast to Capital Board Meeting
Date: 27 January 2021
Report Title: New Accountable Body
Report by: Katie Nurcombe
Item No: 6)a)
Part: A

Recommendation:

The Board is asked to:

- **approve** the appointment of Brighton and Hove City Council as our new Accountable Body from 1 April 2021.
- **confirm** the Chief Executive's delegated authority to confirm and sign the service agreement.

1. Context

Croydon Council has now entered its last year as our Accountable Body and a new Accountable Body will need to be in place by 1 April 2021. To lead this project the Audit and Risk Committee appointed a Working Group to identify a new Accountable Body which consisted of Amanda Jones (Chair), Karen Hayes, Chris Maidment and Jonathan Sharrock.

2. Appointment Process

A tender process was undertaken with the following highlights:

- **Request For Quotes (RFQ) Launch** – the RFQ was published on our website in mid-September and promoted to all Local Authorities in the Coast to Capital area.
- **Applications Close** – the deadline for responses was 9 October and we were pleased to received two proposals – one from Brighton and Hove City Council and one from West Sussex County Council.
- **Initial Review** – in mid-October the Working Group considered the proposals received and felt that both parties had overstated the service required and therefore the associated costs. They requested that feedback be given to the two parties on the need to reconsider this.
- **Feedback meeting** – Follow up meetings with both parties were held in late-October with the Coast to Capital Chief Operating Officer, Head of Corporate

Affairs and Head of Finance to help them understand the service required and inform the refinement of their proposals and costs.

- **Interviews** – Interviews were held with both parties on 4 November where each organisation presented their proposals and answered questions from the Working Group. The refined proposals were scored by the Working Group.
- **Scoring** – The Working Group scored the bids (capability 25%, resources 25%, capacity 20%, value for money 20%, diversity 10%)
- **Recommendation** – the Working Group unanimously agreed to recommend the highest scoring bidder Brighton and Hove City Council as the new Accountable Body from 1 April 2021 and to propose this to the Audit and Risk Committee for ratification.
- **Audit and Risk Ratification** – At its meeting in November the Audit and Risk Committee approved the Working Group's recommendation to propose the appointment of Brighton and Hove City Council as the new Accountable Body from 1 April 2021 to the Board.

3. Brighton and Hove City Council

Working Group members were impressed by the motivation and commitment shown by Brighton and Hove City Council's senior leadership and the excellent team ethos which strongly aligned with Coast to Capital's values. It was noted that they had a robust team committed to delivering the best job they could for Coast to Capital with a real can-do attitude. The panel noted that they had provided good examples of providing support services to other bodies and believed they had the experience and skills to undertake the role.

4. Conclusion

Coast to Capital has been working closely with Brighton and Hove City Council during December and January as the preferred supplier.

The Board is asked to approve the Audit and Risk Committee's recommendation to appoint Brighton and Hove City Council as our new Accountable Body from 1 April 2021.

5. Next Steps

The next steps will be to confirm and sign the service agreement which is within the Chief Executive's delegated authority and the Board is asked to confirm this. The Chief Executive will also engage with the Chair of the Audit and Risk Committee and seek advice and guidance on this.

Transition activity in advance of the formal start date of 1 April 2021 will commence following this meeting including recruitment where necessary.

6. Diversity Statement

Brighton and Hove City Council's proposal was particularly strong in relation their understanding, approach and commitment to diversity which impressed the Working Group.

7. Legal Statement

No legal advice has been sought on this paper.

8. Finance Statement

We are hoping to realise cost saving in changing Accountable Body and we are planning into our 2021-22 budget a budget allocation around £200,000 (inclusive of VAT).

Annexes:

None

Further information on request:

- Brighton and Hove City Council Tender Presentation
- Scoring Summary Document
- Draft Service Agreement
- Accountable Body Project Risk Register

Meeting: Coast to Capital Board Meeting
Date: 27 January 2021
Report Title: Governance Review
Report by: Katie Nurcombe
Item No: 6)b)
Part: A

Recommendation:

The Board is asked to:

- **Note** the progress on the Governance Review
- **Comment** on the updated Assurance Framework
- **Note** the next steps for approving the updated Assurance Framework
- **Approve** the updated policies subject to confirming the Accountable Body key contact where relevant
- **Approve** the new Procurement Policy which has been approved by the Audit and Risk Committee

1. Context

Following the circulation of the Chair's 'Fit for the Future' paper to the Board which set out the Chair's vision for the organisation in particular in relation to evolving the governance of Coast to Capital a formal Governance Review (in line with the usual annual review of the Assurance Framework) was initiated. A Working Group consisting of the Coast to Capital Chair, Vice Chair, Chair of the Audit and Risk Committee, Jane Longmore and Frances Rutter has been meeting weekly to lead the review.

2. Status Update

The Board agreed the scope of the Review at its meeting in October and a detailed progress update against this scope can be found in Annex A. The review has progressed well and a number of the review's recommendations have been considered and approved by the Audit and Risk Committee. There are only a few outstanding areas due for further discussion and consideration.

3. Assurance Framework

A clean work in progress near final version of the updated Assurance Framework can be found in Annex B. The changes can be summarised below:

- **Factual updates** have been made to reflect changes that have occurred over the past year and those that come into effect on 1 April 2021 including the boundary changes.
- The Chair's Committee has been disbanded and a **new Finances and Resources Committee** has been established and:
 - A new Terms of Reference for this Committee has been produced.
 - The Terms of Reference of the Audit and Risk Committee has been reviewed and updated to ensure the right distinction of responsibilities.
 - The Governance structure diagram and Delegation of Authority Matrix has been updated.
- As the boundary transition period will come to an end the **Local Authority Board Director for Croydon and Business representative Board Director for Croydon** positions have been removed as of April 2021. In their place two further private sector Directors have been subsequently added (from eight to ten).
- The **duties and accountability of Board Directors** have been explained more clearly.
- **Director Remuneration** has been updated to reflect that the Chair is now a paid role and the Chief Executive can receive a bonus in exceptional circumstances.
- The role of the **Chair** has been updated to reflect the responsibilities set out in the job description agreed for the 2020 recruitment process.
- The role of the **Vice Chair** and the responsibilities of this role have been reviewed and confirmed.
- All **Board Recruitment** is to be considered by the Nominations Committee (rather than the Chair's Committee in some instances).
- The new Stronger, Smarter, Greener Governance including:
 - Updated Investment Committee Terms of Reference
 - New Investment Committee Sub Committee Terms of Reference
- The removal of the non-operational Business Services Committee and the introduction of a new **Business Recovery and Growth Advisory Group**.
- Our approach to **Scrutiny** has been elaborated on.
- Our **Accountable Body** will be Brighton and Hove City Council from 1 April 2021.
- Chapter 4 which covers our approach to **Investments** has been re-written to incorporate the Governance changes discussed by Investment Committee.
- **Annexes** have been reviewed, updated and approved by the relevant Committee. The Joint Committee Terms of Reference has been updated (shown in tracked changes) and will be considered by the new Accountable and approved by the Joint Committee members.

4. Policies

All of the Policies that were included in the Annex to the Assurance Framework will now be referenced separately to the website. These have been reviewed and include minor terminology edits. They also include version control and review

dates which was an internal audit recommendation. Where an Accountable Body contact is referenced this will be changed to a Brighton and Hove City Council contact.

- **Anti-Fraud and Anti-Bribery Policy**
- **Complaints Policy and Confidential Complaints Procedure** – at stage two the complaint will be delegated to a working group of Board Directors rather than Chair's Committee.
- **Conflicts of Interest Policy**
- **Gifts and Hospitality Policy**
- **Whistleblowing Policy**

These policies can be found in Annex C with the proposed changes set out in tracked changes for ease. The Board is asked to approve the updated policies subject to confirming the Accountable Body key contact where relevant. These will be published on 1 April 2021 once they have received Accountable Body sign-off.

Following comments made by the Audit and Risk Committee the Coast to Capital **Procurement Policy** has been finalised by the Head of Finance. The Board is asked to approve this Policy which has been scrutinised and approved by the Audit and Risk Committee.

5. Further Work

Further work is underway in the following areas:

- **Board Development** – which is currently under review by Chair's Committee
- **Equality, Diversity and Inclusion** – which is currently being reviewed by an EDI expert organisation in terms of how we are communicating our messages.
- **Accountable Body** – changes will need to be made to reflect the final service agreement with Brighton and Hove City Council

6. Next Steps

The next steps are as follows:

- Update the Assurance Framework with comments received by the Board (January 2021)
- Progress the outstanding work set out in section five (January/February 2021)
- Accountable Body to approve updated Assurance Framework (February 2021)
- Updated Assurance Framework to be approved by the Audit and Risk Committee for recommendation to the Board (25 February)
- Board to approve updated Assurance Framework by email (March 2021)
- New Assurance Framework published (1 April 2021)

7. Diversity Statement

The Diversity Statement included in the Assurance Framework will be reviewed as part of the Governance Review and an updated Equality, Diversity and Inclusion Policy will be referred to on the website. Consideration will also be given to the inclusion of an Anti-Racist Pledge.

8. Legal Statement

No legal advice has been sought on this paper. The Accountable Body will need to approve the updated Assurance Framework once it has been finalised.

9. Finance Statement

There are no financial considerations.

Annexes:

- Annex A – Governance Review Status Update
- Annex B – Updated Assurance Framework
- Annex C – Policies
 - Anti-Fraud and Anti-Bribery Policy
 - Complaints Policy and Confidential Complaints Procedure
 - Conflicts of Interest Policy
 - Gifts and Hospitality Policy
 - Whistleblowing Policy
- Annex D – Procurement Policy

Further information on request:

- Updated Assurance Framework with changes in tracked changes

Governance Review Status Update

January 2021

Scope	Status
Addressing factual updates that are required following changes over the past year – for example the inclusion of ‘Smarter, Stronger, Greener’.	<ul style="list-style-type: none">• Factual updates addressed.• Stronger, Smarter, Greener and recovery strategy summary will be left to the end to ensure it is as up to date as possible.
Incorporating decision making structures for the new funds launched in 2020 – in particular the Getting Building Fund and Recovery Grants.	<ul style="list-style-type: none">• Getting Building Fund and Recovery Grants described as closed funds in the updated Investment chapter (chapter 4).• As Recovery Grants will come to an end in March 2021 its Governance Structure is described separately and now published online. Therefore, it is not required to be included in the Assurance Framework.• The above also applies to the Getting Building Fund.
Reviewing our approach to scrutiny which Government has identified as a priority in our Annual Review.	<ul style="list-style-type: none">• Our overall approach to scrutiny has been described in full and expanded on in more detail to cover all aspects of our approach.
Reviewing the Committee structure including Terms of Reference.	<ul style="list-style-type: none">• New Governance structures have been agreed by Audit and Risk Committee.• New and updated Terms of Reference have been drafted and agreed.• Consistency has been brought to all Terms of Reference where possible.
Reviewing policies that have been identified as a priority - in particular the Procurement Policy.	<ul style="list-style-type: none">• Procurement Policy principles have been agreed by the Audit and Risk Committee. This is being implemented and under review. Audit and Risk Committee asked to approve in January.
Reviewing our scheme of delegation, both financial and non-financial in relation to decision making.	<ul style="list-style-type: none">• Our scheme of delegation has been reviewed in light of the Governance structure changes and updated procurement policy principles.
Examining Board composition, in particular reflecting the changes required due to the boundary transition period coming to an end and changes	<ul style="list-style-type: none">• Board composition changes have been agreed by Audit and Risk Committee.• An approach to Board recruitment is being considered by Chair’s Committee.

and requirements from Government including diversity.	<ul style="list-style-type: none"> • Our equality, diversity and inclusion materials have been reviewed and will be further reviewed by comms experts. • Development of an equality, diversity and inclusion strategy has been identified as a priority for 2021-22.
Reviewing the expectation on, and responsibilities of, the Vice Chair role and the subsequent implication for remuneration.	<ul style="list-style-type: none"> • The expectations of the Vice Chair have been confirmed and updated in the Assurance Framework. • No remuneration implications have been identified and this has not been included in the draft budget for 2021-22.
Reviewing the Board recruitment process so this reflects best practice.	<ul style="list-style-type: none"> • Audit and Risk Committee have agreed that all Board recruitment will be undertaken by the Nominations Committee. • The Nominations Committee Terms of Reference has been updated.
Reviewing the monitoring framework for investments, and the processes and timelines for addressing failure to meet milestones and outputs, including consideration of the early identification of risks and mitigations at the outset of projects.	<ul style="list-style-type: none"> • The investments chapter has been re-written and has been scrutinised by the Investment Committee.
Future proofing the Assurance Framework to allow us to launch new funds and act quickly to respond to Government expectations.	<ul style="list-style-type: none"> • Board decision making paragraph in the Assurance Framework has been updated to address this. • The investments chapter has been re-written to address this.
Ensuring consistency with any future changes to the National Assurance Framework.	<ul style="list-style-type: none"> • No changes to the National Assurance Framework have been identified. • Board composition has been considered to address further focus on diversity and a potential re-classification of the CEO as a Public Sector Director.
Other considerations identified by the review	<ul style="list-style-type: none"> • Duties of Board Directors – this has been expanded in the updated Assurance Framework. • Services Governance – a Business Recovery and Growth Committee was discounted and instead a network was proposed and is described in the Assurance Framework.

	<ul style="list-style-type: none"> • Social Value – additions will be made to the Assurance Framework to reflect the status of the current work here.
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Timeline

Action	Date	Status
Board to approve scope	October 2020	Completed
Audit Committee to consider initial proposals	November 2020	Completed
Board to consider and comment on proposals	January 2021	Board paper to be drafted
Audit and Risk Committee to review Assurance Framework and recommend to the Board for approval.	February 2021	Committee paper to be drafted
Accountable Body to approve updated Assurance Framework	February/March 2021	(engagement with new Accountable Body to be agreed)
Board to approve updated Assurance Framework	March 2021	(by email)
New Assurance Framework published	1 April 2021	(coordinated with start of new Accountable Body service)



**Prevent
Deter
Detect**

Version Control

Version	Reason for update	Publication Date
V1 – 2019	Creation of new policy	October 2019
V2 – 2021	Update to policy – reflecting new Accountable Body	April 2021

1. Introduction

- 1.1. Coast to Capital will not accept any level of fraud, bribery or corruption. We are committed to protecting our assets and are committed to promoting honesty and integrity in all of our activities. Coast to Capital is determined to prevent, deter and detect all forms of fraud, bribery and corruption committed against it, whether by internal or external parties.
- 1.2. Coast to Capital is committed to ensuring all of its business is conducted in an open, honest and fair manner. All staff and third parties working on behalf of Coast to Capital are expected to adopt the highest standards of propriety and accountability, and to play a key role in promoting an anti-fraud culture.
- 1.3. Where fraud is suspected Coast to Capital will take direct action. All cases will be thoroughly investigated and dealt with appropriately. The form of action taken will depend on the level and circumstances of the fraud discovered and may include disciplinary procedures, dismissal and/or criminal prosecution. Coast to Capital will always seek to recover funds lost through fraud.
- 1.4. This policy applies to all staff whether permanent or temporary, and third parties working on behalf of Coast to Capital.

2. Definition of fraud

- 2.1. For the purposes of this policy, fraud is defined as the use of deception (a lie) to deprive, disadvantage or cause loss to another person or party. This can include theft, the misuse of funds or other resources or more complicated crimes such as false accounting and the supply of false information.
- 2.2. The Fraud Act 2006 introduced three main offences. They are as follows:
 - Fraud by false representation - e.g. lying on a CV to obtain employment
 - Fraud by abuse of position - e.g. finance manager uses their position to siphon off funds.
 - Fraud by failing to disclose information - e.g. not declaring an unspent criminal conviction in order to obtain employment.

2.3. Other examples of fraud that might occur at Coast to Capital would include:

- Falsification of expense claims.
- Theft of cash or other company assets or stock.
- Falsification of invoices for payment.
- Failure to account for monies or invoices paid.

2.4. An individual who commits fraud will face disciplinary action. We reserve the right to bring civil action and/or criminal prosecution. If found guilty of fraud in criminal court, an individual may receive a custodial sentence of up to ten years.

3. Definition of Bribery

3.1. Bribery is a financial or other advantage that is intended to induce "improper performance" of a position of trust, or a function that is expected to be performed impartially or in good faith. Bribery does not have to involve cash or an actual payment exchanging hands and can take many forms such as a gift (i.e. lavish treatment during a business trip or tickets to an event).

3.2. Bribery does not always result in a loss. The corrupt person may not benefit directly from their deeds; however, they may be unreasonably using their position to give some advantage to another.

3.3. The Bribery Act 2010 provides the four main offences:

- Giving or offering a bribe
- Receiving or requesting a bribe
- Bribing a foreign public official (also known as facilitation payments)
- Negligently failing to prevent a bribe (corporate offence).

3.4. Under the Bribery Act an offence has been committed even if no money or goods have been exchanged, and a bribe has no minimum value.

3.5. It therefore falls to all staff to ensure that they comply with Coast to Capital's policy on declaring gifts and hospitality offered to them in the course of their work.

3.6. Individuals who commit bribery against Coast to Capital may face criminal prosecution, civil action, disciplinary action. If found guilty of bribery, the individual may receive a ten year custodial sentence and unlimited fines.

4. Prevention of fraud

4.1. Coast to Capital operates within a framework of statutes, regulations, codes of conduct and systems and procedures, including the Code of Conduct and the

Whistleblowing Policy. These are designed, in part, to prevent fraud and corruption and to enhance accountability. We require all staff and third parties working on our behalf to act in accordance with this framework.

4.2. Coast to Capital has systems and procedures that incorporate robust internal controls designed to minimise the risk of fraud occurring. Managers are required to identify the risks to which systems are exposed (including the risk of fraud), to develop and maintain controls to mitigate and manage the risks and to ensure that such controls are properly complied with. The Corporate Risk Register identifies the risk of fraud, together with the mitigating actions in place to minimise the risk of fraud occurring. The Internal Audit process reviews the adequacy and effectiveness of internal controls, as part of the annual audit programme, to provide assurance to managers and the Audit and Risk Committee.

4.3. Key fraud and bribery prevention measures are:

- Recruitment screening
- Nolan Principles - Seven Principles of Public Life - Annex A
- Gifts and Hospitality Policy
- Travel and Subsistence Policy
- Contract of Employment – Internet Use
- Code of Conduct – Staff
- Code of Conduct - Directors
- Whistleblowing Policy

5. Reporting fraud

5.1. Coast to Capital encourages and expects staff and third parties working on our behalf to report incidents of suspected fraud, bribery and corruption immediately. Any delay in reporting suspected fraud, bribery and corruption may result in further losses. Please refer to **Annex 2** for further details and guidance on how to report suspected fraud, bribery and corruption.

5.2. In the first instance, staff should normally raise the concern with their Line Manager. If the concern relates to a Line Manager, then staff should raise it with the Chief Executive, and if it relates to the Chief Executive, the concern should be raised with the Chair~~man~~ of the Board.

5.3. Where staff have a difficulty in approaching their own manager, because there is a concern that either management are involved or may not take the matter seriously, they can contact the Chief Executive, Chair~~man~~ of the Board, or Action Fraud (or other regulatory body).

6. Third parties reporting fraud

- 6.1. Third parties, including the general public, can report concerns through Coast to Capital corporate complaints procedure or contact Katie Nurcombe (Head of Corporate Affairs) katie.nurcombe@coast2capital@coast2capital.org.uk. If the concern relates to this named member of the team then the concern should be raised with Jonathan Sharrock (Chief Executive) jonathan.sharrock@coast2capital.org.uk. If the concern relates to both of these members of the organisation then the concern should be raised with the Accountable Body Croydon–Brighton and Hove City Council - contact Lisa.Taylor@croydon.gov.ukTBC.
- 6.2. They can also report concerns direct to any Coast to Capital team member, who will escalate the concern in line with the Anti-Fraud and Anti-Bribery Policy.
- 6.3. In the event that a person feels unable to raise their concerns direct with Coast to Capital, they may contact Coast to Capital's Accountable Body, Croydon Brighton and Hove Council - contact Lisa.Taylor@croydon.gov.ukTBC.
- 6.4. Anyone concerned about a wrongdoing that threatens the public interest can seek free, confidential legal help from the charity 'Public Concern at Work'. They operate a helpline on 0207 404 6609, and can be emailed at helpline@pcaw.co.uk.

7. Investigating allegations of fraud

- 7.1. In normal cases it will be the relevant manager, in conjunction with the Chief Executive, who will arrange for an investigation to be undertaken. Matters of a criminal nature will be reported to the Police. We will also notify other relevant agencies, such as employers, as appropriate.

8. Training

- 8.1. Coast to Capital recognises that the success of this ~~anti~~Anti-F~~fraud~~ and ~~a~~Anti-b~~Bribery~~ p~~P~~olicy depends, to a large extent, on all staff and third parties working on our behalf being aware of Coast to Capital's approach to fraud, bribery and corruption.
- 8.2. Details of our Anti-Fraud and Anti-Bribery Policy are published on our website. In addition, fraud training will be provided to all staff as appropriate.

9. Monitoring fraud

- 9.1. The Audit Committee is responsible for reviewing the arrangements in place by which staff may raise concerns about possible improprieties. As part of this, the Audit ~~and Risk~~ Committee will approve the Anti-Fraud and Anti-Bribery Policy.
- 9.2. Any action taken by Coast to Capital in connection with suspected fraud, bribery or corruption will be reported to the Audit ~~and Risk~~ Committee.

10. Supporting policies

10.1. The Anti-Fraud Policy is supported by the following policies and procedures. These policies can be found on our website unless specified otherwise:

- Whistleblowing Policy
- Code of Conduct – Directors
- Code of Conduct – Staff
- Gifts and Hospitality Policy
- Contract of Employment – Internet Use (not published)
- Travel and Subsistence Policy (not published)

Date Approved: April 2021

Approved by: Audit and Risk Committee

Next review date: March 2022

Annex 1 - Seven Principles of Public Life

Underpinning the anti-fraud culture are the Seven Principles of Standards in Public Life. The principles apply equally to staff and third parties working on our behalf, and are:

Selflessness - holders of public office should take decisions solely in terms of the public interest. They should not do so to gain financial or other material benefits for themselves, their families or friends.

Integrity – holders of public office should not place themselves under any financial or other obligation to outside individuals or organisations that might influence them in their official duties.

Objectivity – in carrying out public business, including making public appointments, awarding contracts, or recommending individuals for rewards or benefits, holders of public office should make choices on merit.

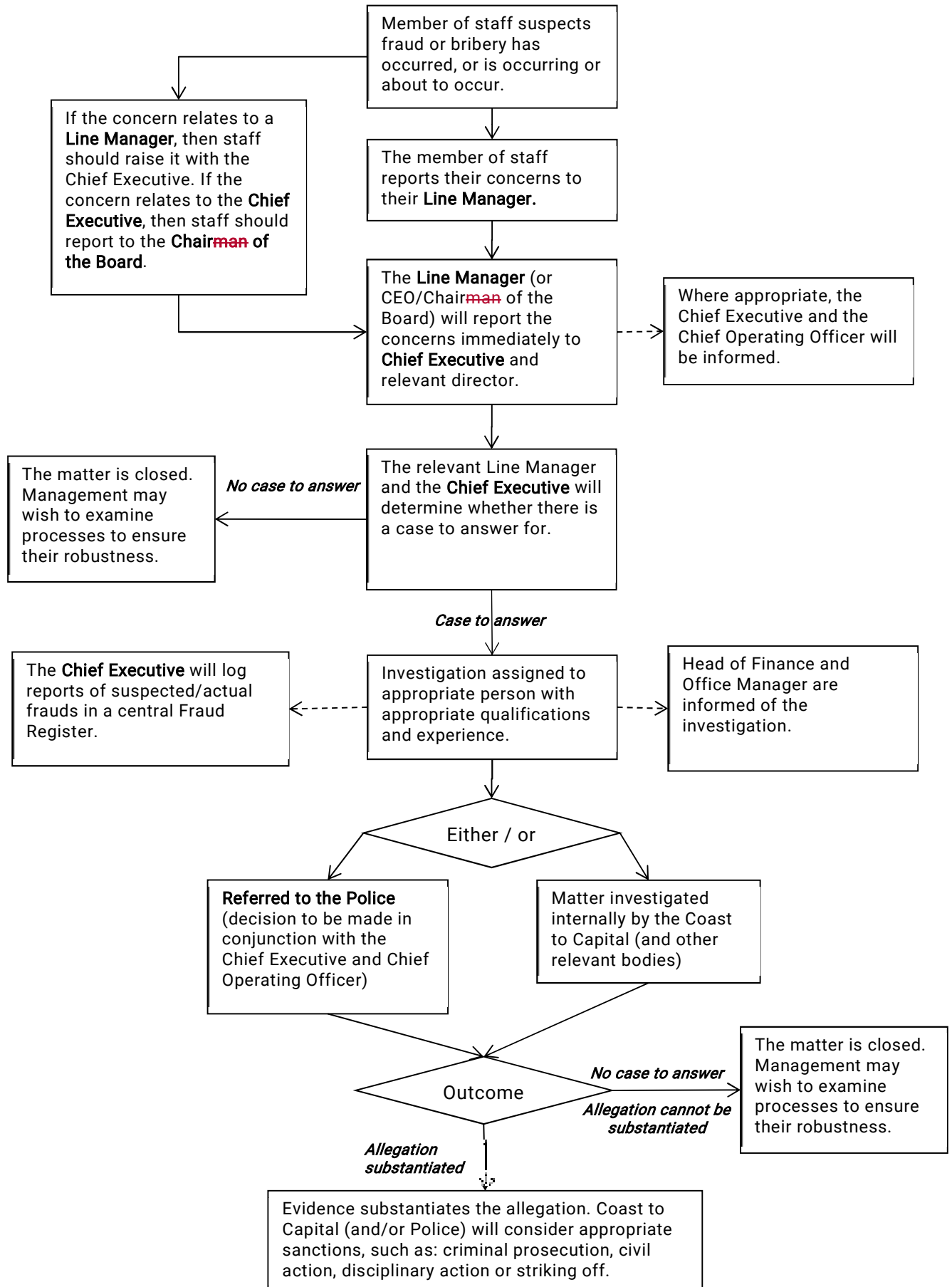
Accountability – holders of public office are accountable for their decisions and actions to the public and must submit themselves to whatever public scrutiny is appropriate to their role.

Openness – holders of public office should be as open as possible about all the decisions and actions they take. They should give clear reasons for their decisions and restrict information only when the wider public interest (or legislation) demands.

Honesty – holders of public office have a duty to declare any private interests relating to their public duties and to take steps to resolve any conflicts arising in a way that protects the public interest.

Leadership – holders of public office should promote and support these principles by leadership and example.

Annex 2 - Reporting Fraud Process Map and Guidance



Do:

- Stay calm – remember you are a witness not a complainant
- Write down your concerns immediately – make a note of all relevant details such as what was said in 'phone or other conversations, the date, the time and the names of anyone involved
- Do report your concerns as soon as possible (**see flowchart**), as any delay may cause the Coast to Capital to suffer further financial loss. We encourage you to raise your concerns - the Public Interest Disclosure Act 1998 protects employees who have reasonable concerns. You will not suffer discrimination or victimisation by following the correct procedures.

Don't:

- Do not investigate the matter yourself. Attempting to gather evidence yourself (unless it is about to be destroyed) may result in it becoming inadmissible and prejudice any criminal investigation. The gathering of evidence must be done in line with legal requirements in order for it to be admissible in court.
- Do not approach the person involved (this may lead ~~to him/her destroying evidence~~ being destroyed)
- Do not discuss your suspicions or with anyone other than those persons referred to above unless specifically asked to do so by them. Confronting the suspect or conveying concerns to anyone other than those authorised, could the suspect or lead to an innocent person being unjustly accused
- Do not use the process to pursue a personal grievance
- Don't do nothing!

Remember:

- You may be mistaken or there may be an innocent or good explanation – this will come out in the investigation
- The process may be complex and protracted. Investigations are carried out in confidence on a need to know basis. You will be updated as and when it is appropriate to do so; do not be alarmed if you have not heard anything from the investigators.



Complaints

Version Control

Version	Reason for update	Publication Date
V1 – 2019	Included in 2020 Assurance Framework	January 2020
V2 – 2021	Reviewed as part of Governance Review – minor changes to bring in line with new Assurance Framework and new Accountable Body.	April 2021

Introduction

Coast to Capital views complaints as an opportunity to learn and improve for the future, as well as a chance to put things right for the person or organisation that has made the complaint.

Our policy is:

1. To provide a fair complaints procedure which is clear and easy to use for anyone wishing to make a complaint
2. To publicise the existence of our complaints procedure so that people know how to contact us to make a complaint
3. To make sure everyone at Coast to Capital knows what to do if a complaint is received
4. To make sure all complaints are investigated fairly and in a timely way
5. To make sure that complaints are, wherever possible, resolved and that relationships are repaired
6. To gather information which helps us to improve what we do.

Definition of a Complaint

A complaint is any expression of dissatisfaction, whether justified or not, about any aspect of Coast to Capital activities.

Where Complaints Come From

Complaints may come from any person or organisation who has a legitimate interest in Coast to Capital.

A complaint can be received by email or in writing.

This policy does not cover complaints from members of the Coast to Capital Team who should use the Discipline and Grievance policy as laid out in the Team Manual.

Confidentiality

All complaint information will be handled sensitively, informing only those who need to know and following any relevant data protection requirements. Our arrangements to enable third parties and the public to confidentially report concerns about LEP processes and decisions can be found under our Confidential Complaints Procedure.

Responsibility

Overall responsibility for this policy lies with the Board of Coast to Capital and its implementation is one of the responsibilities of the Chief Executive.

Review

This policy is reviewed regularly and updated as required.

Complaints Procedure

Publicised Contact Details for Complaints:

Written complaints should be sent to Coast to Capital at Pacific House (Second Floor), Hazelwick Avenue, Three Bridges, Crawley, RH10 1EX or by e-mail at contact@coast2capital.org.uk. Complainants should provide any information or evidence that may be relevant to the complaint, including names, dates or documentation in this correspondence.

Complaints Procedure

We will try to resolve any issues, as quickly as possible; and in many cases is best resolved by the person responsible for the issue that is being complained about. However, if an issue cannot be resolved informally then the Complainant should refer to the formal complaints procedure as detailed below.

Stage One

~~In many cases, a complaint is best resolved by the person responsible for the issue that is being complained about. If the complaint has been received by that person, they may be able to resolve it swiftly and should do so if possible and appropriate.~~

~~Whether or not the complaint has been resolved, a~~ All information regarding ~~the~~ a formal complaint should be passed to the Chief Executive and the designated Complaints Officer (Coast to Capital Governance Officer) within five working days including any information about informal resolution efforts. We may request additional information relevant to the complaint.

On receiving the complaint, the ~~Chief Executive~~Complaints Officer records it in the Coast to Capital Complaints Log. ~~If it has not already been resolved, t~~The Chief Executive will delegate to an appropriate person to investigate and to take the appropriate actions.

If the complaint relates to a specific person, they should be informed and given a fair opportunity to respond.

Complaints should be acknowledged by the person handling the complaint within five working days. The acknowledgement should say who is dealing with the complaint and when the person complaining can expect a reply. A copy of this complaints procedure should be attached.

Ideally complainants should receive a definitive reply within four weeks. If this is not possible because for example, an investigation has not been fully completed, a progress report should be sent with an indication of when a full reply will be given.

Whether the complaint is justified or not, the reply to the complainant should describe the action taken to investigate the complaint, the conclusions from the investigation, and any action taken as a result of the complaint.

Stage Two

If the complainant feels that the problem has not been satisfactorily resolved at Stage One, they can request that the complaint is reviewed at Board level.

At this stage, the complaint will be passed ~~to the Coast to Capital Chairman's Committee~~to a Working Group of unconflicted Board Directors.

The request for Board level review should be acknowledged within five working days of receiving it. The acknowledgement should say who will deal with the case and when the complainant can expect a reply.

The ~~Coast to Capital Chairman's Committee~~Working Group may investigate the facts of the case themselves or delegate a suitably senior person to do so. This may involve reviewing the paperwork of the case and speaking with the person who dealt with the complaint at Stage One.

If the complaint relates to a specific person, they should be informed and given a further opportunity to respond.

The person who dealt with the original complaint at Stage One should be kept informed of what is happening.

Ideally complainants should receive a definitive reply within four weeks. If this is not possible because for example, an investigation has not been fully completed, a progress report should be sent with an indication of when a full reply will be given.

Whether the complaint is upheld or not, the reply to the complainant should describe the action taken to investigate the complaint, the conclusions from the investigation, and any action taken as a result of the complaint. The decision taken at this stage is final.

Stage Three

If the complainant is not satisfied with the outcome of the complaint the complainant can approach the Accountable Body. The Accountable Body will, in investigating complaint liaise with Coast to Capital to ensure that the matter is properly investigated and responded to. The Accountable Body will consider whether the LEP has followed its complaints procedure correctly.

Failing adequate resolution by the Accountable Body the complainant can report it directly to the Cities and Local Growth Unit ~~in the Ministry of Housing, Communities and Local Government~~ in the Ministry of Housing, Communities and Local Government and the Department for Business, Energy and Industrial Strategy, at the following email address:

localgrowthassurance@communities.gov.uk or by writing to: LEP Compliance Deputy Director, Cities and Local Growth Unit, Fry Block. 2 Marsham Street, London, SW1P 4DF. You should clearly mark your email or letter as 'Official – complaints'.

If you would like help making a complaint, you can contact your ~~Local~~ ~~e~~Councillor or MP. You can also get help from a specialist advice agency or organisation which represents people, such as Citizens Advice Bureau (CAB).

Confidential Complaints Procedure

Coast to Capital is committed to creating a work environment with the highest possible standards of openness, probity and accountability. In view of this commitment we encourage employees and others with serious concerns about

any aspect of the LEP's work to come forward and voice those concerns without fear of reprisal. For employees and those working closely with Coast to Capital, please follow the [whistleblowing-Whistleblowing policy Policy](#) on our website. For third parties and members of the public, please follow the confidential complaints procedure outlined below.

However, if a member of the public or third party believes that their complaint fits the description below; they can elect to report their concerns through the whistleblowing policy procedure.

Whistleblowing - where an individual who has concerns about a danger, risk, contravention of rules or illegality provides useful information to address this. In doing so they are acting in the wider public interest, usually because it threatens others or impacts on public funds. By contrast, a grievance or private complaint is a dispute about the individual's own position and has no or very limited public interest.

Confidentiality

If a member of the public or a third party wants to make a confidential complaint or raise a concern, it will be treated in confidence and every effort will be made to protect the person's identity if they wish to remain anonymous. Coast to Capital will investigate all complaints or allegations.

Anonymous allegations

Coast to Capital takes all complaints and concerns raised by members of the public and third parties seriously. We will investigate anonymous allegations. However we remind complainants that when people put their names to an allegation the ability to investigate and therefore reach firm conclusions is strengthened. Concerns expressed anonymously will be considered at the discretion of Coast to Capital. When exercising this discretion the factors to be taken into account would include:

- the seriousness of the issue raised;
- the credibility of the concern; and
- the likelihood of confirming the allegation from attributable sources.

The Ministry of Housing, Communities and Local Government may request information arising from this process if they have concerns regarding a LEP or have been approached with similar complaints. The expectation is that this information will be provided on an anonymous basis. However it may be necessary to provide personal details to progress a complaint.

Where details are gathered, Coast to Capital will put in place appropriate data protection arrangements in line with the ~~Data Protection Act 1998 and~~ Data Protection Act 2018.

Procedure

Coast to Capital is aware that the organisation's ordinary complaints procedure may not be suitable if someone wants the complaint to remain confidential. If you would like to make a confidential complaint please write or email to:

- Jonathan Sharrock – Chief Executive – jonathan.sharrock@coast2capital.org.uk
- Katie Nurcombe – Head of Corporate Affairs – katie.nurcombe@coast2capital.org.uk

Alternatively, you can use our secure website form which can be accessed on our website - <http://www.coast2capital.org.uk/contact-us/>.

Please include all the relevant information regarding the complaint and state that you want the complaint to remain confidential. Please note that we may request supplementary information.

Action Taken

The ~~designated~~ ~~Co~~complaints ~~Officer~~ (~~Coast to Capital Governance Officer~~) will raise your concern and investigate the complaint. You can expect the officer to:

- Contact you within 10 clear working days to acknowledge the complaint and discuss the appropriate course of action.
- Write to you within 28 clear working days with findings of the investigation. If the investigation has not concluded within 28 clear working days, the officer will write to you to give reasons for the delay in resolving the complaint.
- Take the necessary steps to rectify the issue.

If you are unhappy with the outcome of the complaint or the complaint involves those responsible for the confidential complaints procedure:

- You can escalate your concerns through Coast to Capital's Accountable Body which is ~~Croydon-Brighton and Hove City~~ Council who will have their own confidentiality procedures.
- If you are either unable to raise the matter with Coast to Capital or you are dissatisfied with the action taken you can report it direct to the Cities and Local Growth Unit in the Ministry of Housing, Communities and Local

Government and the Department for Business, Energy and Industrial Strategy, at the following email address:
localgrowthassurance@communities.gov.uk or by writing to: LEP Policy Deputy Director, Cities and Local Growth Unit, Fry Block, 2 Marsham Street, London, SW1P 4DF. You should clearly mark your email or letter as "Official - complaints".

Date Approved: April 2021

Approved by: Board

Next review date: March 2022



Conflicts of Interest Policy

Version Control

Version	Reason for update	Publication Date
V1 – 2019	Included in 2020 Assurance Framework	January 2020
V2 – 2020	Reviewed as part of Governance Review – minor changes to bring in line with new Assurance Framework.	April 2021

1. Introduction

- 1.1 Coast to Capital is committed to ensuring that all Directors, Committee Members and Officers act in line with the Nolan Principles of public life. This policy applies to any/all involvement with the work of Coast to Capital and provides detail of how Coast to Capital Members-Directors, Committee Members and employees should consider conflicts and the requirements to declare any interests in line with Coast to Capital processes.
- 1.2 A conflict of interest is any situation in which Coast to Capital Board Member's-Director's, Committee Member's (including Co-opted Members-Directors and Independent Committee Members) or employee's personal interests, or interests that they owe to another body, may (or may appear to) influence or affect their decision making.
- 1.3 This policy explains ~~the~~ how Coast to Capital Board Members-Directors, Committee Members and employees involved in decision making should declare and manage commercial, actual, and potential conflicts of interest. Board Members-Directors, Committee Members and employees are personally responsible for declaring interests and avoiding perception of bias that may or may not affect Coast to Capital's reputation in the public eye. Board Members-Directors, Committee Members, Senior Officers and anyone in the organisation involved in a funding decision making process, including Growth Grants should read this policy in conjunction with the relevant Code of Conduct ~~(Assurance Framework Annex V)~~.
- 1.4 To demonstrate this commitment all Board Members-Directors, Committee Members, Senior Officers and decision making staff complete and sign a register of interests ~~(Assurance Framework Annex W)~~.
- 1.5 The Register of Interests for Board Members-Directors and Committee Members is published on our website which is reviewed every six months and updated as required.

- 1.6 The Register of interests for all Senior Officers and anyone in the organisation involved in a funding decision making process, including Growth Grants, is published on our [website](#) which is reviewed every six months and updated as required.
- 1.7 Entries to the Register will be removed when they cease to be interests or if the Director, Member or Officer in question leaves Coast to Capital or ceases their work on the relevant Committee.
- 1.8 Declaration of interests are not a resolution of the conflict but assists Coast to Capital with managing the conflict. All declarations will be formally reviewed every 6 months and all Board ~~Members~~Directors, Committee Members and employees are to declare any interests as they arise.

2. Identifying conflicts of interest

- 2.1 A conflict of interest is a set of circumstances that creates a risk that an individual's ability to apply judgement or act in one role is, or could be, impaired or influenced by a secondary interest. It can occur in any situation where an individual or organisation can exploit a professional or official role for personal or other benefit. Conflicts may be commercial, actual or potential and may inhibit open discussion, influence decisions or actions made that are not in the interests of Coast to Capital or risk creating the impression that Coast to Capital has acted improperly.
- 2.2 Conflicts can exist if the circumstances create a risk that decisions *may* be influenced, regardless of whether the individual actually benefits. The perception of competing interests, impaired judgement or undue influence can also be a conflict of interest.
- 2.3 Conflicts might occur if individuals have, for example:
- a direct or indirect financial interest;
 - non-financial or personal interests; or
 - conflicts of loyalty where decision-makers have competing loyalties between an organisation they owe a primary duty to and some other person or entity.
- 2.4 Conflicts of interest exist on a spectrum of severity. In public/publicly funded services, they can take many forms, for example:
- accepting hospitality or gifts from companies during a procurement exercise;

- providing policy advice to government while also working, or consulting, for industry;
- awarding contracts to suppliers in which the decision-maker has a personal or financial interest; and
- in the delivery of public or publicly funded services, where individuals or organisations assess service needs as well as providing the services.

2.5 Any interest of which a Director, Committee Member or employee has no knowledge and which is unreasonable to expect them to have knowledge shall not be treated as a conflict.

3. Registering and declaring pecuniary and non-pecuniary interests

3.1 As a Board Director Member, Committee Member or staff member of Coast to Capital, you must:

3.2 Within 28 days of taking office, notify the Chief Executive of any disclosable pecuniary interest, where the pecuniary interest is yours, your spouse's or civil partner's, or is the pecuniary interest of somebody with whom you are living with as a spouse, or as if you were civil partners¹.

3.3 Within 28 days of taking office, notify the Chief Executive of any non-pecuniary interest which Coast to Capital has decided should be included in the register or which you consider should be included if you are to fulfil your duty to act in conformity with the Seven Principles of Public Life. These non-pecuniary interests will necessarily include your membership of any Trade Union.

3.4 Review your individual register of interest before each board meeting and decision making committee meeting and declare any relevant interest(s) at the start of the meeting.

3.5 If an interest has not been entered onto the Coast to Capital register, then ~~the~~ you must disclose the interest at any meeting of Coast to Capital where you are present, where you have a disclosable interest in any matter being considered and where the matter is not a 'sensitive interest'. For these purposes a 'sensitive interest' is described as a Director member or co-opted memberDirector of Coast to Capital having an interest, and the nature of the interest being such that the memberDirector or Ceo-opted memberDirector, and the Chief Executive, consider that disclosure of the

¹ spouse or partner means anyone who meets the definition in the Localism Act i.e. my spouse or civil partner, or a person with whom I am living as a spouse or a person with whom I am living as if we are civil partners.

details of the interest could lead to the ~~member~~ Director or co-opted ~~member~~ Director, or a person connected with the ~~member~~ Director or co-opted ~~member~~ Director, being subject to violence or intimidation.

- 3.6 Following any disclosure of an interest not on the Coast to Capital register or the subject of pending notification, you must notify the Coast to Capital Chief Executive of the interest within 28 days beginning with the date of disclosure.
- 3.7 Unless dispensation has been granted, you may not participate in any discussion of, vote on, or discharge any function related to any matter in which you have a pecuniary interest. Additionally, you must observe the restrictions Coast to Capital places on your involvement in matters where you have a pecuniary or non-pecuniary interest as defined in this policy.
- 3.8 Categories of disclosable interest are stated in the Coast to Capital register of interest.

4. Procedure for managing conflicts

- 4.1 At the start of each meeting the following statement will be read by the Chair:

Should any ~~Member~~ Director, ~~Committee~~ Member or employee consider themselves or another present to have a conflict of interest, this must be declared at this point. Should you become aware of an interest during the course of the meeting, this shall be declared at that point within the meeting. Any interests not already on the register need to be included in an updated register within 28 days of you becoming aware of the interest.

- 4.2 Non-conflicted ~~Members~~ individuals will consider, with legal advice where necessary, what the nature of the conflict is, what the risk or threat is to decision making, if a conflicted ~~Members~~ individual's interest is trivial or non-trivial and then what steps need to be taken to avoid or manage the conflict. Should the interest be deemed non-trivial, the non-conflicted ~~Members~~ individual will determine what action is appropriate in light of the nature and extent of the conflict. A number of steps can be taken to deal with the conflict and may include:

- excluding the conflicted ~~member~~ individual from discussions in relation to the matter to avoid inadvertently influencing the non-conflicted ~~members~~ individuals and should be asked to leave the room at this point ;
- excluding the conflicted ~~members~~ individuals from decision-making in relation to the matter while the conflict exists;

- considering an authorisation under Article 14.6 of the Articles of Association (or any successor article thereto)
- delegating the matter to a Committee of non-conflicted ~~members~~individuals;
- seeking independent advice to help with a decision;
- appointing alternative, non-conflicted ~~member~~individual/s;
- resignation of the conflicted ~~member~~individual where the conflict is acute or pervasive.

4.3 Should the conflicted ~~Member-Director~~ be the Chair, the Deputy Chair will act as Chair or if no Deputy Chair is elected for that body, a Vice Chair should be selected.

4.4 In either circumstance the Chair will inform the conflicted ~~member~~individual of the non-conflicted ~~members'~~Director/Members' decision. The ~~secretary person responsible for producing~~of the Board/Committee ~~minutes~~minutes will note in the minutes of the meeting the conflict declared, an outline of the discussion and the actions taken to manage the conflict so that a clear record is made within the meeting minutes.

4.5 In the case of a conflict of interest that is of a sensitive nature, any information deemed as sensitive will be redacted from all publicised minutes which is a matter for the Chief Executive to determine.

5. Non-compliance

5.1 Non-compliance of this policy is a breach of the Coast to Capital Code of Conduct (~~Director and Staff~~), and contrary to the Coast to Capital Anti-Fraud and Anti-Bribery Policy and may lead to disciplinary proceedings.

Date Approved: **April 2021**

Approved by: **Board**

Next review date: **March 2022**



Gifts and Hospitality Policy

Version Control

Version	Reason for update	Publication Date
V1 – 2019	Included in 2020 Assurance Framework	January 2020
V2 – 2020	Reviewed as part of Governance Review – minor changes to bring in line with new Assurance Framework.	April 2021

Introduction

The Coast to Capital Gift & Hospitality policy will be to decline gifts or hospitality exceeding £50. However, Coast to Capital will accept offers of free venues to deliver our Board meetings, Stakeholder events and team away days which is the only benefit in-kind we receive from partners.

Gifts and Hospitality Registers

We manage four separate Gifts and Hospitality Registers:

- one for Board ~~Members~~ Directors including the Chair~~man~~ which is managed by the Governance Officer
- one for the Chief Executive which is managed by the PA to the Chief Executive
- one for Officers which is the responsibility of the team to ensure is kept up to date with the Governance Officer as a central contact point
- one Corporate Register which details the event spaces we are provided free of charge and is managed by the Governance Officer

These registers are updated monthly and published on our website.

Process

Any gift declined over the £50 threshold should be noted in the individual's register of interest and included in the relevant Gifts and Hospitality register. Any gift below the £50 threshold does not need to be included in the registers.

The Gifts and Hospitality registers will start from ~~01~~ January of each year and a new one saved each year. Previous year's registers are kept for reference.

The process for Board ~~members~~ Directors will be on declining a gift or hospitality over the threshold to update their individual register of interest and share with the Governance Officer who will update the relevant Gifts and Hospitality register.

~~The process for the Chief Executive will be on declining a gift or hospitality over the threshold for T~~the PA to the Chief Executive ~~to will~~ update the Chief Executive's

register of interest and ~~relevant Chief Executive~~ Gifts and Hospitality register when the Chief Executive declines gifts or hospitality over the threshold.

~~The process for s~~Staff will ~~be to~~ inform their Line Manager and Governance Officer of any gift or hospitality over the threshold declined. The Governance Officer who will update the relevant Gifts and Hospitality register and provide guidance on updating their individual register of interest if they have one.

~~The process for updating registers of interest should follow the agreed process.~~ Only the current year's gifts or hospitality declined are recorded on the individual's declaration of interest forms.

It may be the case that the value of the gift or hospitality needs to be estimated. For ease, it is assumed that an invitation to an evening three course dinner with drinks is below the £50 threshold and can be accepted if appropriate.

Date Approved: April 2021

Approved by: Board

Next review date: March 2022



Whistle- blowing Policy

Version Control

Version	Reason for update	Publication Date
V1 – 2019	Included in 2020 Assurance Framework	January 2020
V2 – 2020	Reviewed as part of Governance Review – minor changes to bring in line with new Assurance Framework.	April 2021

Introduction

A Discloser is the person who is the whistle-blower.

This procedure outlines the process to follow for a Discloser when reporting a perceived wrongdoing within Coast to Capital, including something they believe goes against the core values of Standards in Public Life (the Nolan Principles) and the Code of Conduct for LEP Board ~~Members~~Directors and staff. The Standards in Public Life include the principles of; integrity, objectivity, accountability, openness, honesty, leadership and impartiality.

In particular Coast to Capital Board ~~Members~~Directors, as the key decision makers of the LEP, have a right and a responsibility to speak up and report behaviour that contravenes these values.

It is important that this procedure is followed when raising any concerns, to ensure that the matter is dealt with correctly.

Definitions

This document uses the following definitions:

- Whistleblowing - where an individual who has concerns about a danger, risk, contravention of rules or illegality provides useful information to address this. In doing so they are acting in the wider public interest, usually because it threatens others or impacts on public funds. By contrast, a grievance or private complaint is a dispute about the individual's own position and has no or very limited public interest.
- The LEP – Coast to Capital
- Discloser – this is the person who is the whistle-blower. They might be an employee, a LEP Board ~~Member~~Director, a contractor, a third party or a member of the public.
- Responsible Officer - this is the person, appointed by the LEP, with overall responsibility for maintaining and operating this whistleblowing policy. They will maintain a record of concerns raised and the outcomes (but will do so in a form that does not endanger confidentiality) and will report to senior decision makers as necessary. Their name is Katie Nurcombe (Head of Corporate

Affairs) and their contact details are

katie.nurcombe@coast2capital@coast2capital.org.uk, 01293 305965, Pacific House, Hazelwick Avenue, Three Bridges, Crawley, West Sussex, RH10 1EX. If the concern relates to the Responsible Officer then the concern should be raised with Jonathan Sharrock (Chief Executive), 01293 305965, Pacific House, Hazelwick Avenue, Three Bridges, Crawley, West Sussex, RH10 1EX. If the concern relates to both of these members of the organisation then the concern should be raised with the Accountable Body. ~~Croydon Brighton and Hove City~~ Council - contact Lisa.Taylor@croydon.gov.ukTBC.

- Relevant Concern – something the Discloser has been asked to do, or is aware of, which they consider to be wrong-doing and is in the public interest.

Scope

The LEP is committed to creating a work environment with the highest possible standards of openness, probity and accountability. In view of this commitment, we encourage Disclosers with serious concerns about the work of the LEP to come forward and voice their concerns without fear of reprisal.

Disclosers should note that where the concern is one that might fall under the LEP's staff or work force policies on equality and diversity or harassment and bullying or other staff policies, they should consider using the reporting mechanisms for those other policies first.

The LEP has a pre-existing complaints procedure that in many cases will be more appropriate for third parties or members of the public to follow. Third parties or members of the public should review the separate confidential complaints procedure outlined in the LEP's complaints policy on the LEP's website first before going through the whistleblowing process.

However, if a member of the public or third party believes that their complaint fits the description of a 'relevant concern' outlined below, they may report their concerns through the whistleblowing policy procedure.

Policy Statement

The LEP acknowledges that Disclosers may often be the first people to realise that there may be something seriously wrong within the organisation.

This policy aims to:

- Encourage people to feel confident about raising serious concerns and to question and act upon their concerns without fear of victimisation or harassment;
- Provide avenues for Disclosers to raise those concerns and receive feedback on any action taken;
- Allow Disclosers to take the matter further if they are dissatisfied with the LEP's response; and

- Reassure all Disclosers, employees in particular who may have specific concerns about their position and employment status in the LEP, that they will be protected from possible reprisals or victimisation if they have a reasonable belief that they have made any disclosure in the public interest.

What is a relevant concern?

If a Discloser is asked to do something, or is aware of the actions of another, which they consider to be wrongdoing, they can raise it using this procedure. The Discloser must have a reasonable belief that raising the concern is in the public interest.

A Discloser may decide to raise a concern under the whistleblowing policy if they are aware of a situation that they feel:

- is against the LEP's procedures and protocols as set out in its code of conduct and individual LEP Assurance Framework;
- falls below established standards of practice the LEP subscribes to;
- amounts to improper conduct; or
- is an abuse of power for personal gain.

The types of matters regarded as a relevant concern for the purpose of this procedure include, but are not limited to, the following:

- Fraud or financial irregularity;
- Corruption, bribery or blackmail;
- Other Criminal offences;
- Failure to comply with a legal or regulatory duty or obligation;
- Miscarriage of justice;
- Endangering the health or safety of any individual;
- Endangering the environment;
- Improper use of authority; and
- Concealment of any of the above.

Disclosers should not raise malicious or vexatious concerns, nor should they raise knowingly untrue concerns. In addition, this procedure should not be used to raise concerns of a HR/personal nature, such as, complaints relating to a management decision or terms and conditions of employment. These matters should be dealt with using the relevant alternative procedure, for example, the LEP grievance procedure. Equally, this policy would not apply to matters of individual conscience where there is no suggestion of wrongdoing by the LEP but, for example, an employee or LEP Board Member-Director is required to act in a way which conflicts with a deeply held personal belief.

Safeguards

The Public Interest Disclosure Act (1999) gives legal protection to employees against being dismissed or penalised by their employers as a result of publicly disclosing certain serious concerns. The LEP believes that no member of staff

should be at a disadvantage because they raise a legitimate concern.

The LEP will not tolerate harassment or victimisation and will take action to protect Disclosers when they raise a concern in the public interest.

Raising a concern

If a Discloser experiences something in the workplace which they consider a relevant concern, it is important that the concern is raised as early as possible. Proof is not required at this point – it is for the LEP to investigate. The Discloser must, however, have a reasonable belief that disclosing the information is in the public interest before raising a concern.

All concerns will be treated in confidence and every effort will be made to protect the Discloser's identity if they wish to remain anonymous. However, at the appropriate time, it is possible that the Discloser will need to come forward as a witness for the matter to progress.

It is important to follow the correct procedure when raising a whistleblowing concern. The following steps should be adhered to:

- a) It is important that the concern is raised with the person best placed to deal with the matter, in most cases this will be the Responsible Officer. However, the Discloser may want to raise the concern with someone they know and trust, such as their Line ~~m~~anager who can raise it with the Responsible Officer on their behalf.
- b) If it is suspected that the concern may implicate the ~~L~~ine ~~m~~anager in some way, then it could be raised with a more Senior Manager in the line management chain.
- c) If the Discloser is unable to raise a relevant concern with a ~~L~~ine ~~m~~anager or a Senior Manager or feel that it has not been adequately addressed, it should be raised directly with the Responsible Officer.
- d) Ultimately, the Discloser can raise their concern with the LEP Chief Executive.

Information needed to raise a concern

When raising a concern under the procedure the Discloser should try to provide the following information:

- The background and reason behind the concern;
- Whether they have already raised a concern with anyone and the response; and
- Any relevant dates when actions related to the concern took place.

This information should demonstrate that there are reasonable grounds for the concern to be acted upon. It is important that matters are not investigated by the Discloser themselves.

If applicable, personal interests must be declared from the outset.

How the concern will be handled

All investigations will be conducted sensitively and as quickly as possible. While the LEP cannot guarantee that the outcome will be as the Discloser may wish, it will handle the matter fairly and in accordance with this procedure.

Once a concern has been raised with either the Line Manager or Responsible Officer, Senior Manager or Chief Executive, a meeting may be arranged with them to determine how the concern should be taken forward.

The LEP may decide to take the matter forward by a number of methods, including:

- An internal inquiry or other formal investigation;
- An internal or external audit;
- Referring the matter to the police;
- Referring the matter to another relevant authority for investigation.

Before a final decision is taken on how to proceed, or as part of the investigation, the Discloser may be asked to meet with those investigating their allegation.

If a meeting is arranged, the Discloser may wish to be accompanied by a trade union representative, colleague or friend. The person who accompanies the Discloser should not be involved or have a direct interest in the area of work to which the concern relates. The meeting can be conducted over the telephone rather than face to face.

Within 10 clear working days of a concern being raised, the LEP's Responsible Officer will write to the Discloser to:

- Acknowledge that the concern has been received;
- Indicate how they propose to deal with the matter;
- Give an estimate of how long it will take to provide a final response;
- Tell the Discloser whether any initial investigation or enquiry has been made;
- Tell the Discloser whether further investigation will be made, and if not, why not;
- Tell the Discloser how frequently the LEP will keep them up to date on progress of the investigation.

The amount of contact between the LEP and the Discloser concerned will vary depending on the concern raised, any difficult issues and any further clarity required. If necessary, the LEP will seek further information from the Discloser.

The LEP will confirm when the matter is concluded and, if appropriate, the outcome of the investigation, maintaining security and confidentiality for all parties as far as possible.

Throughout any investigation, the Discloser will still be expected to continue their duties/role as normal unless deemed inappropriate.

Confidentiality and anonymity

The LEP always encourages potential Disclosers to speak up about potential serious wrongdoing in a way that they feel comfortable. The best way to raise a concern is to do so openly, as this makes it easier for the LEP to investigate and provide feedback.

Any disclosures made under this procedure will be treated in a sensitive manner. However the LEP recognises that the Discloser may want to raise a concern in confidence, i.e. they may want to raise a concern on the basis that their name ~~it~~ is not revealed without their consent.

The LEP will respect any request for confidentiality as far as possible, restricting it to a 'need to know' basis. However, if the situation arises where it is not possible to resolve the concern without revealing the Discloser (for example in matters of criminal law), the LEP will advise them before proceeding. The same considerations of confidentiality should be afforded to the recipient(s) at the centre of the concern, as far as appropriate.

Disclosers may choose to raise concerns anonymously, i.e. without providing their name at all. If this is the case, the investigation itself may serve to reveal the source of information. Disclosers are therefore encouraged, where possible to put their names to concerns raised. When anonymous concerns are raised, they will be treated as credible and investigated so far as possible.

Protection

If a concern is raised in the reasonable belief that it is in the public interest and procedures have been followed correctly, the Discloser raising the concern will be protected by the terms of this policy and, where applicable, by whistleblowing legislation (see gov.uk for more information on who is covered by whistleblowing legislation). Where a Discloser has been victimised for raising a concern, the LEP concerned will take appropriate action against those responsible, in line with the LEP's disciplinary policy and procedures.

Changes to procedures or policy as a result of whistleblowing

If changes are made to LEP ~~policies and processes~~ procedures or policy as result of whistleblowing investigations, the LEP will publicise the changes as appropriate, taking into consideration the importance of protecting the anonymity and confidentiality of individuals.

Untrue allegations

If a Discloser makes an allegation but it is not confirmed by the investigation, no action will be taken against them. However, if a malicious or vexatious allegation is

made without good reason to: cause trouble; for personal gain; or to discredit the LEP an investigation may take place. Where the Discloser is an employee or a LEP Board Member or a contractor this may result in disciplinary or other action if they have broken the terms of their employment, acted against the LEP Code of Conduct or broken a clause in a contract.

How this matter can be taken forward if you are not satisfied

This procedure is intended to provide Disclosers with an avenue to raise legitimate concerns. If you are either unable to raise the matter with the LEP or you are dissatisfied with the action taken you can report it directly to the Cities and Local Growth Unit in the Ministry of Housing, Communities and Local Government and the Department for Business Energy and Industrial Strategy, at the following email address: localgrowthassurance@communities.gsi.gov.uk or by writing to: LEP Policy Deputy Director, Cities and Local Growth Unit, Fry Block, 2 Marsham Street, London, SW1P 4DF. You should clearly mark your email or letter as "Official - whistleblowing".

In addition, if you are either unable to raise the matter with the LEP or you are dissatisfied with the action taken you may consider raising it with:

- The LEP's Accountable Body – ~~Croydon Brighton and Hove City~~ Council – contact Lisa.Taylor@croydon.gov.ukTBC
- The police;
- The relevant regulatory body or professional body;
- Your Trade Union;
- Your solicitor;
- Your Citizens Advice Bureau; or
- A prescribed person or body.

Further information and signposting for potential Disclosers is available on www.gov.uk.

If a Discloser does take the matter outside the LEP, to an external body, they should ensure they do not disclose information that is confidential, for example, if you are an employee your contract of employment may set out expectations ~~of your~~ regarding what is confidential.

~~Feedback on Whistleblowing Policy~~

~~Any feedback or comments on this policy should be directed to the LEP's Responsible Officer.~~

Date Approved: April 2021

Approved by: Board

Next review date: March 2022

Procurement Policy

Dated December 2020

1. Document Scope

The purpose of the Coast to Capital Procurement Policy is to structure purchasing processes and sourcing strategies to ensure that the services and goods acquired are the result of transparent, objective, time and cost-effective decision making and risk management.

The policy covers third party purchases, it excludes the expenses policy and pay policy which are covered in their respective policy documents.

2. Overview

Coast to Capital is committed to the highest standards of public accountability and transparency, as set out in the Assurance Framework, and applies this to its way of operating as a business including the approach to purchasing. It is key that purchase decisions include consideration of the following in the criteria for selection -

- provide value for money, considering quality in relation to cost
- are sustainable suppliers and consider this in their production or delivery
- consider local suppliers, in order to improve the social economic and environmental wellbeing of the Coast to Capital region
- recognise suppliers that are ethical in their operations
- act in line with the Coast to Capital diversity strategy
- are fairly considered through inviting competition, unless there are compelling reasons otherwise

3. Purchase Delegation of Authority

3.1 Procurement activity in line with budget

At the start of each financial year, Coast to Capital presents and agrees the budget with the Board. For spend that falls within the budget, decisions to procure goods or services is subject to the following process:

Procurement Process thresholds

Value for money must be upheld at all times irrespective of value of the proposed spend and competitive quotations obtained wherever possible.

- **£25,000** Review and document prices of 3+ suppliers
- **£25,000- £50,000** Invite 3 written quotes
- **Over £50,000** Request quotes to allow for an open review of the market pricing and offers

Approval Levels

- **Up to £25,000** SMT Budget holder approval with Head of Finance review. Budget holder must satisfy themselves that value for money has been achieved.

- **£25,000 – £100,000** Budget Holder to make a recommendation to the Chief Executive & Head of Finance for their review and ultimate approval prior to commitment
- **£100,000+** Budget Holder to make recommendation to the Chief Executive, Head of Finance plus one Board Director for their review and ultimate approval prior to commitment

3.2 Procurement activity outside budget

The Chief Executive must be engaged in all Procurement activity sitting outside budget spend, apart from in de minimis circumstances.

There are two scenarios where procurement activity is required outside of the budget

1. Coast to Capital may be awarded funding, in addition to the budget agreed by the Board, which may require additional procurement activity.
2. There may be business requirements which could result in additional external spend. This will be in exceptional circumstances.

Threshold levels will remain the same.

Approval levels

- **Up to £25,000** Budget Holder to make a recommendation to the Chief Executive & Head of Finance for their review and ultimate approval prior to commitment
- **£25,000+** Budget Holder to make recommendation to the Chief Executive, Head of Finance and one Board Director for their review and ultimate approval prior to commitment

3.3 Consideration for all Procurement

Budget Holder to consider spend within a period of 12 months or contract term. If £25,000 or more will be spent over 12 months or less with one supplier, budget holders are to follow the relevant approval process for the level of spend.

Purchases require a business justification and deliver outcomes that meet with the objectives of the organisation. This is to be articulated by the budget holder in the request for approval.

Circumstances may arise where it is not possible to follow the above process, for example when procuring highly specialist services. Any deviation from this policy must be discussed and approved by the Chief Executive and Head of Finance before making any commitments to purchase. If approval is granted then the rationale for the departure from the policy must be documented and retained in the Procurement folder on the shared area.

Tracking and reporting for all Procurement activity is detailed below and will be overseen by the Head of Finance.

4. Process

In line with the **Purchase Delegation of Authority**, Coast to Capital operates a process whereby companies are invited to quote for work in order to provide a fair and transparent selection process.

Prior to going out to requesting quotes,

1. Decide what level of information you require - RFQ (Request for Quotation) this is where you know what you want to purchase but asking the vendor how they will meet the requirements and the cost; or a RFP (Request for Proposal) is where you would like to procure a solution to a problem and would like to consider the options available together with a cost. The Head of Finance will provide support to identify which approach should be adopted.
2. The budget holder is to confirm that there is no existing commitment to another supplier to provide the service being sought, and confirm this when they seek approval to spend
3. Confirmation from the Head of Finance that the funds required are available

In the document (Annex A and B) you will clearly state what is required, the outcomes and timeframes for delivery and when the procurement will be completed. Should there be any delays in the process it is the responsibility of the Budget holder lead to notify all those who have responded.

Invitations for RFQ/Ps will be advertised on the Coast to Capital website, with a minimum of one week for responses. Coast to Capital will also share the opportunity on social media.

4.1 Panel

The panel for the review of the responses should comprise a minimum of 3 people, these can include either Coast to Capital team, Accountable Body or Board Directors. The decision to include a Board Director will be based on the complexity and value of the procurement activity. A Board Director must be part of the panel for **contracts over £150,000**; or Board Director may be invited to be part of a panel due to **expert knowledge** that they can contribute to the selection process.

Each member of the panel involved in the paper sift will conduct a numerical exercise to score each of the vendors against a defined set of criteria, as set out in the RFQ/P. The individual scores will be consolidated into one sheet. Where there are large differences in scores the panel should discuss as a panel and a collegiate view taken, updating scores as necessary and documenting the reason for the change in score. The panel will also agree the supplier proposals to progress to interview stage.

The interviews can be carried out via video call or face to face, depending on contact restrictions. The budget holder is responsible for ensuring the potential suppliers are aware of the format of the meeting in advance. A suggestion is the "interview" part of the meeting lasts 45 minutes which will allow the panel to discuss initial thoughts for 15 minutes –

1. Introductions
2. 10 minute presentation by potential vendor
3. Panel ask questions (pre agreed with the panel) with opportunity for panel to ask other questions as appropriate
4. Potential supplier to ask questions
5. Wrap up and advise of next steps

The Budget holder, or their delegate, is responsible to compiling feedback within 48 hours of the meetings to share recommendations with the panel. Once the recommendation is made, the budget holder is responsible for taking the proposal to the next level of sign off, as required.

4.1.1 Value for Money

It is important to ensure that the procurement decision is value for money.

Before considering value for money, it is important to assess whether minimum acceptable standard across all criteria is met, then complete a list of suppliers to be ranked for both value for money as well as other criteria.

There are lots of considerations of how to assess this and may depend on the scenario. If you have similar prices, a weighted calculation may be appropriate, this is not recommended where prices are very different. Alternatively the decision could be made on ranking the prices in a scale and rated accordingly. Or proposals can be marked on how close to the budget the price is.

4.2 Board member engagement

It is the budget holder's responsibility to liaise with stakeholders. If the spend requires Board approval, the selected Board Director should be advised of the proposal, the timeframes as well as the background of procurement exercise. They should be kept informed throughout the process as an interested stakeholder. It is important to agree at the start how the relationship will be managed.

The budget holder should provide an outline the process to the approving / reviewing stakeholders, an example email for procurement activity involving a reviewing Board Member:

- Invitation to quote for xx work, with a maximum budget of £xx
- RFQ/P to be launched on xx of month, with a view to commence contract xx of month
- The stages will be
 - Initial sift of candidates, this panel will comprise, x, x and x (the Board Director may be part of the panel). This will be numerical based on the criteria provided in the proposal document. Taking place week commencing xx
 - The final three will be invited to interview by the panel, comprising x, x and x. this will take place the week commencing xx
 - You will be sent the final recommendation (if not on the panel) on xx and politely request that you respond in 2 working days to enable you to set expectations with the vendor.
- Please find attached the RFQ/P that we plan to load for your reference. (The Budget holder to determine whether feedback from the Board Director is required prior to launch)

Note that this is an example only

4.3 No Open Market Process

In **exceptional circumstances**, such as there is one supplier in the region and regional expertise is key, a process to gather pricing may not be required. Time limitation is not a justification for not following the procurement process. The same levels of approval will be applied as stated in the **Purchase Delegation of Authority**.

A business justification detailing why the procurement process has not been followed will be required and the decision recorded, this will require approval from the Head of Finance and the Chief Executive. Documented approval referencing not following the procurement process will be sought from the approver as set out in the **Purchase Delegation of Authority**. These approvals will be saved in the Procurement folder.

5. Approval

For work over £25,000, once a preferred supplier has been identified, the Budget holder will write a summary to the Head of Finance and Chief Executive to request approval. This is to include –

- Overview of the project
- Recommended supplier following interview or quote search
- Reason for the recommendation
- Panel scores (if a panel)
- Copy of the proposal from the recommended supplier (if suppliers are invited to quote process is undertaken)

The Chief Executive will send to the Board Director for their review, if required.

Once approval is received for the procurement activity, the Coast to Capital lead will advise the suppliers whether they have been successful, or otherwise. The responses to the unsuccessful suppliers are to be in a timely manner. A summary of why they have not be successful is to be included as appropriate.

6. Internal process

It is essential that the actions taken during the procurement process and decisions are recorded. This will allow for tracking spend and review of when a contract is to be renegotiated. This information will also be required for future audits, on behalf of the Audit and Risk Committee.

The documents relating to the contract including the quote and proposal documents, recommendation and approvals are to be saved in a central folder by the Budget holder who is seeking approval.

The format would be

S:\7.Operations\6.Procurement\Procurement Activity\“Vendor name”

- Quote / proposal documents for all those who bid
- Recommendation paper/email
- Approval emails from the authorisers
- All subsequent correspondence and forms, including those regarding Overspend/Underspend

In order to track spend and ensure that everyone is clear of remaining budget. A tracker will be loaded in the folder S:\7.Operations\6.Procurement\Reporting

This is to be updated by the Budget Holder’s admin team with the approved spend and a forecast for spend over one or more financial years, this is to be on a cash basis only.

Each month end the Head of Finance will update the tracker with the spend against the supplier. If there is more than one type of spend with the same supplier in a month, it is responsibility of the Budget holder to advise how the costs should be allocated to each contract.

7. Overspend

If there is a risk of overspend or additional spend commitments of 10% or more, to the original approved spend, the Budget holder will present a paper to the original approvers as well as confirming budget availability. If this takes spend into a new spend level, the process for that level of spend is to be followed.

8. Retrospective Approval Process

Where it is identified that more than £25,000 has been spent with one vendor over the contract term, or it is evident that spend will be above £25,000, an overview of the service and spend will be sent to the required approver in line with the Delegation of Authority.

This is to be in **exceptional circumstances** and should be avoided. Where this occurs, the Budget holder will be required to set out a business justification for the over-spend, together with a case for approval. If further spend is expected, the Procurement Policy is to be followed with reference to spend to date in internal communications.

9. Compliance

Non-compliance with this policy may result disciplinary action.

Annex A: Document RFQ

Annex B: Document RFP

Request for Quotation – [RFQ title]

[Add brief description of the goods or services to be acquired]

This request for quotation (RFQ) for the supply of [goods or services] is issued by Coast to Capital

Coast to Capital Contact	[Enter Contact name and details at Coast to Capital]
Response Deadline	[Enter response deadline. Minimum of 1 week for a simple response and minimum of 2 weeks for a more complex response, complexity of the response verses the value to be considered]

Section 1: Company Information

Company	[Company name]
RFQ Title	[Name of RFQ]
Response Date	[Enter response date]
Company Description	[Provide overview of the company]
Contact Details	[RFQ lead name and contact number and email]

Section 2: Overview of Project & Submission Instructions**Overview of Project [C2C to complete]**

[Insert overview of the procurement project, including, but not limited to -

- Detailed description of service needed
- Technical Requirements/criteria
- Quantity
- Criteria for decision making
- Include the statement: In responding to this, Coast to Capital may exercise the option to extend the terms of the contract up to xx months. This is not a commitment by Coast to Capital.]

Submission Instructions [C2C to complete]

[Insert submission instructions including the

- Format of the response
- Timeline that decision will be made in
- Include weightings, this will depend on the purchasing activity, please include Value for Money and Diversity as a weighting. Diversity, 10% suggested.
- Methodology for scoring. Example: Diversity 10% (0-5) 0 = no consideration of diversity, 3 = some consideration of diversity demonstrated, 5 = detailed consideration of diversity in line with the Coast to Capital strategy]

Section 3: Proposal & Pricing

[How you format this will depend on the service or product required. This can be a table or written proposal, it is recommended the instructions are as clear to have a level of consistency between quotes.

It is recommended that budget is not included]

To note

Although Coast to Capital has invited you to submit a quote, Coast to Capital makes no commitment

By providing a quote you accept that no guarantee of volume or value of business will be given by Coast to Capital at any point. The provision of a quotation is made only to compile a list of suitable providers who can offer [enter the name of the service].

Acceptance of your quotation and confirmation, or otherwise, of your place on the approved supplier list will be given following a review of the quotes in line with the Coast to capital procurement policy as contained within the Coast to Capital [Assurance Statement](#).

Prices quoted shall be all-inclusive and represent completion of all elements of the due diligence report. This will include time, materials and disbursements. Prices quoted shall be inclusive of VAT.

You should also provide details of your standard payment terms.

Costs Associated with Preparation of the Vendor's Response

Coast to Capital will not be liable for any costs incurred by the respondents in preparing responses to this RFQ.

Price Stability

The fixed price and cap will be fixed for the period up to [enter date] from the date of confirmation of acceptance of your proposal. In no case shall the price exceed the Approved Supplier price cap unless agreed in writing between both parties.

Compliance with Laws and Regulations



The Approved Suppliers performance of the work shall comply with all applicable English laws, rules, and regulations.

Liability and Insurance

The Supplier shall assume the full duty, obligation, and expense of obtaining and maintaining necessary insurance relevant to the provision of the service and / or required by law.

Cancellation

In the event provisions of this RFQ are violated by the appointed supplier, Coast to Capital may give written notice to the Supplier stating the deficiencies and removing them from the Approved Supplier list.

Advertising

The Vendor agrees not to use the results from this RFQ a part of any commercial advertising or promotion without prior written approval of Coast to Capital.

Request for Proposal – [RFP title]

[Add brief description of the problem to be solved]

This request for proposal (RFP) for the supply of [goods or services] is issued by Coast to Capital

Coast to Capital Contact	[Enter Contact name and details at Coast to Capital]
Response Deadline	[Enter response deadline]

Section 1: Company Information

Company	[Company name]
RFP Title	[Name of RFP]
Response Date	[Enter response date]
Company Description	[Provide overview of the company]
Contact Details	[RFP lead name and contact number and email]

Section 2: Overview of Project & Submission Instructions**Overview of Project** *[C2C to complete]*

[Insert overview of the procurement project / problem to be solved, including, but not limited to -

- Detailed description of outcome needed
- Technical outcomes/criteria
- Quantity
- Criteria for decision making
- Include the statement: In responding to this, Coast to Capital may exercise the option to extend the terms of the contract up to xx months. This is not a commitment by Coast to Capital.]

Submission Instructions *[C2C to complete]*

Insert submission instructions including the

- Format of the response
- Timeline that decision will be made in

- Include weightings, this will depend on the purchasing activity, please include Value for Money and Diversity as a weighting. Diversity, 10% suggested.
- Methodology for scoring. Example: Diversity 10% (0-5) 0 = no consideration of diversity, 3 = some consideration of diversity demonstrated, 5 = detailed consideration of diversity in line with the Coast to Capital strategy]

Section 3: Proposal & Pricing

[How you format this will depend on the service or product required. This can be a table or written proposal].

To note

Although Coast to Capital has invited you to submit a quote, Coast to Capital makes no commitment. By providing a quote you accept that no guarantee of volume or value of business will be given by Coast to Capital at any point. The provision of a quotation is made only to compile a list of suitable providers who can offer [enter the name of the service].

Acceptance of your quotation and confirmation, or otherwise of your place on the approved supplier list will be given following a review of the quotes by in line with the Coast to capital procurement policy as contained within the Coast to Capital [Assurance Statement](#).

Prices quoted shall be all-inclusive and represent completion of all elements of the due diligence report. This will include time, materials and disbursements. Prices quoted shall be inclusive of VAT.

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Costs Associated with Preparation of the Vendor's Response

Coast to Capital will not be liable for any costs incurred by the respondents in preparing responses to this RFP.

Price Stability

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Liability and Insurance



The Supplier shall assume the full duty, obligation, and expense of obtaining and maintaining necessary insurance relevant to the provision of the service and / or required by law.

Cancellation

In the event provisions of this RFP are violated by the appointed supplier, Coast to Capital may give written notice to the Supplier stating the deficiencies and removing them from the Approved Supplier list.

Advertising

The Vendor agrees not to use the results from this RFP a part of any commercial advertising or promotion without prior written approval of Coast to Capital.

Coast to Capital Local Enterprise Partnership Assurance Framework

April 2021

Version 8

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In addition, the following policies can be found on the Coast to Capital website:

- Coast to Capital Conflicts of Interest Policy
- Coast to Capital Gifts and Hospitality Policy
- Coast to Capital Complaints Policy (including Confidential Complaints Procedure)
- Coast to Capital Whistleblowing Policy
- Coast to Capital Anti-Fraud and Anti-Bribery Policy
- Coast to Capital Risk Policy
- Coast to Capital Equality, Diversity and Inclusion Policy
- Coast to Capital Directors Expenses and Remuneration Policy
- Coast to Capital Procurement Policy

The following documents can also be found on our website:

- Board Director Code of Conduct

- Declaration of Interest Form

www.coast2capital.org.uk

Version Control

Version	Reason for update	Publication date
V8	Updated following a Governance Review in line with our annual review of the Assurance Framework	April 2021
V7	Updated to respond to annual review of Assurance Framework	January 2020
V6.3 - 2019	Compliant with 'National Local Growth Assurance Framework' (January 2019) – Signed off by Accountable Body and Board	March 2019
V6.2 - 2019	Draft version shared with Board members and updated with feedback	-
V6.1 - 2019	Draft version reviewed by Accountable Body	-
V6 – 2019	Updated to comply with 'National Local Growth Assurance Framework' (January 2019) – Draft for Board consideration	-
V5 – 2018	Updated to comply with 'Local Enterprise Partnership governance and transparency: best practice guidance' (January 2018)	February 2018
V4 – 2017	Final version 2017	February 2017
V3 – 2016	Draft version produced to comply with 'Local Enterprise Partnership National Assurance Framework' (November 2016)	November 2016
V2.1 - 2016	Updated for 2016	March 2016
V2 – 2015	Final version 2015	March 2015
V1 – 2015	Draft version produced for Growth Deal 2015	January 2015

1. Introduction

1.1 Coast to Capital Local Enterprise Partnership

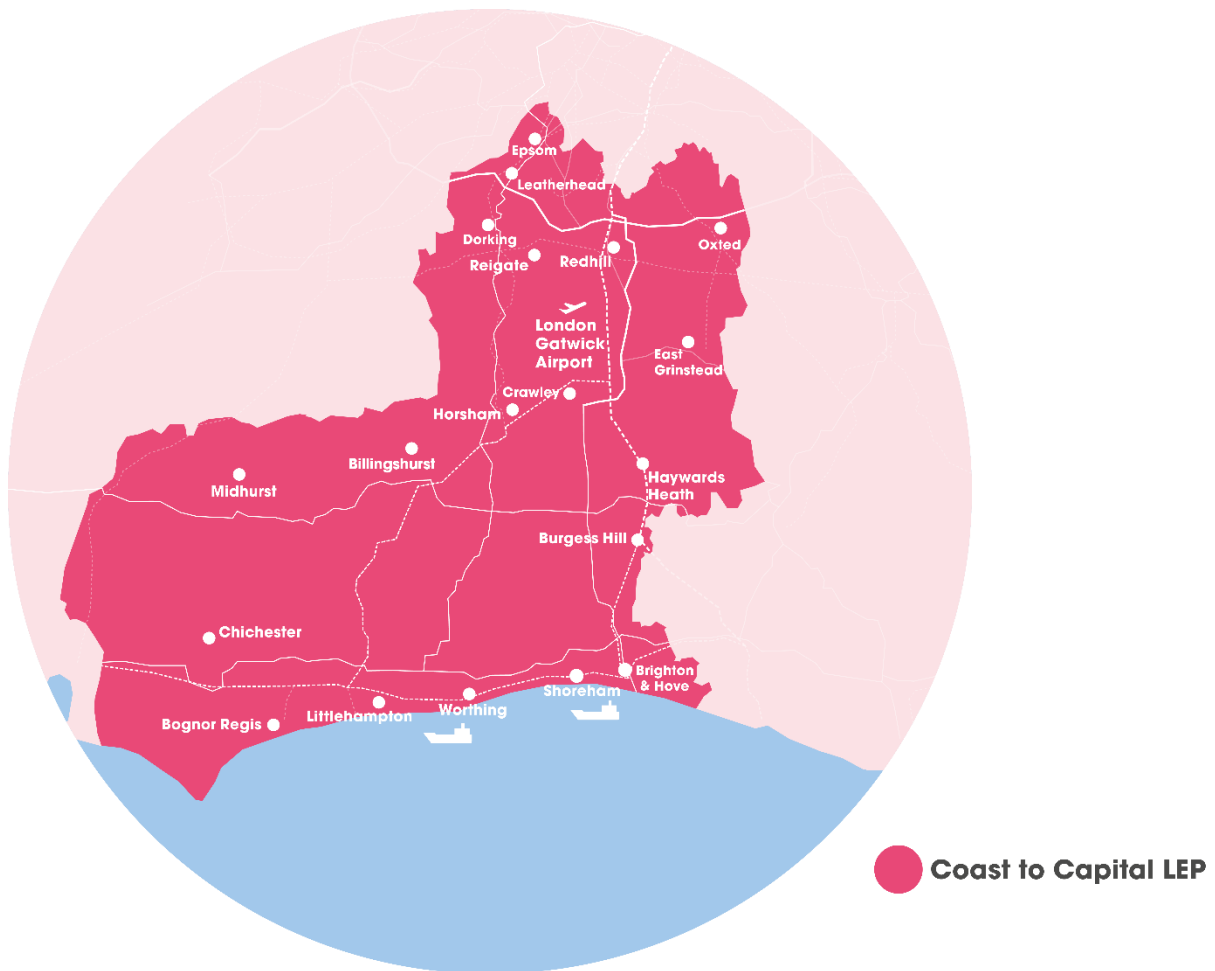
Coast to Capital is one of 38 Local Enterprise Partnerships (LEPs) across England. As a LEP, we are here to provide strategic leadership, connect business with support and act as a catalyst for transformational change. As an ambitious and professional business-led collaboration between the private, public and education sectors, we work in partnership to deliver a successful strategy for economic growth.

In its National Assurance Framework Government confirms that LEPs should focus their activities on the following four activities:

- **Strategy:** Developing an evidence-based Local Industrial Strategy that identifies local strengths and challenges, future opportunities and the action needed to boost productivity, earning power and competitiveness across their area.
- **Allocation of funds:** Identifying and developing investment opportunities; prioritising the award of local growth funding; and monitoring and evaluating the impacts of its activities to improve productivity across the local economy.
- **Co-ordination:** Using their convening power, for example to co-ordinate responses to economic shocks; and bringing together partners from the private, public and third sectors.
- **Advocacy:** Collaborating with a wide-range of local partners to act as an informed and independent voice for their area.

1.2 Our Area

The Coast to Capital region has long been the UK economy's unpolished gem. Unprecedented global connections, enviable links into the heart of London, one of the world's greatest cities, and home to the most entrepreneurial coastal city region in the country.



As Croydon is a gateway between our region and London, Croydon Council and the London LEAP continue to be a key strategic partner. In recognition of the wider Greater Brighton area which includes Lewes and Newhaven we work closely with Lewes District Council and the South East LEP.

1.3 Our Funding

We prepare our annual budget so that there is transparency to our funders, partners and the public about how we use our funding. Our budget is published in our Business Plan each year which is available on our [website](#). Our activities and expenditure fall into four categories which includes core, investment, contracted and discretionary expenditure.

- **Core** - includes provision for our corporate affairs function including the Chief Executive, Governance, Board and Accountable Body services. It also includes the administration of the office and corporate overheads, and our business engagement and communication function. This is funded primarily by our Core Grant from Government and contributions from our Local Authority partners.
- **Investment** - includes provision for the costs of administering and monitoring the Local Growth Fund (LGF), Growing Places Fund (GPF) and the Growth

Grant Programme (GGP). LGF, GPF and Growth Grants are fully capitalised and we receive commercial revenue from our Growing Places Fund.

- **Contracted** - includes provision for delivering services for Government such as the Growth Hub and Enterprise Advisor Network. We receive grants to fully fund the Growth Hub and part fund the Enterprise Adviser Network (50%).
- **Discretionary** - includes provision for delivering our Policy & Strategy work.

Coast to Capital is a company limited by guarantee (company number 08166412) and our accounts are published on Companies House and our website. We also include a financial statement each year in our Annual Report which is published on our [website](#) and includes the total:

- amount of funds within the LEP's direction or control at the start and end of the financial year¹;
- amounts committed by the LEP to external organisations through grants and risk finance (loans, equity, guarantees and quasi-equity);
- amounts committed to suppliers to purchase goods, works or services; and
- amounts incurred in running the LEP (for example salary costs, lease payments and expenses).

The financial statement includes a link to our accounts on the Companies House website. We also provide a link to the Accountable Body accounts on our website.

Coast to Capital looks to trade fairly with all suppliers and therefore seeks to pay all invoices recognised as accurate and in line with expectations within 30 days of receipt in the mail box accounts@coast2capital.org.uk.

1.4 Our Assurance Framework

This Assurance Framework sets out clearly how Coast to Capital operates. It ensures that Government, our partners, stakeholders and members of the public have confidence in the way that we conduct our business and that we have high quality governance arrangements in place. Governance means the way we operate our organisation and the way we make decisions, as well as our scrutiny, audit, transparency, probity and professionalism in the way that we conduct business.

Coast to Capital's governance and assurance mechanisms have been designed to be compliant with the Government's National Local Growth Assurance Framework and follows its guidance in relation to best practice in the way we run our organisation and make our decisions. This demonstrates our absolute commitment to public accountability. Coast to Capital is predominantly publicly funded and therefore we have a legal duty to be transparent and accountable for the public money we spend. Our commitment is to demonstrating that a transparent and robust decision-making process is at the heart of everything we do.

¹ This shall include money committed to the LEP but paid into the Accountable Body's bank account to be invested at the LEP's direction, any commercial funds which it has generated and legacy funds generated from investments, but not including the value of any assets which it holds. It shall also not include funds which the LEP has a role in allocating but does not currently commit such as European Structural and Investment Funds.

Our Assurance Framework is published on the Governance page of our [website](#) and reviewed annually. It is updated in line with any changes to the National Local Growth Assurance Framework. We notify the Ministry of Housing Communities and Local Government (MHCLG) if we are considering any significant changes to our Assurance Framework.

This document focuses on 'how' Coast to Capital operates rather than what it does. The Coast to Capital website www.coast2capital.org.uk contains full and up to date details on our activities.

1.5 Our Principles

Transparency and accountability are at the heart of everything we do and fundamental to our culture as an organisation. This section details our commitment to transparency.

Transparency

We hold ourselves to operating to the highest standards of public accountability and transparency. In our governance framework there is a presumption on decision making being transparent and in the public domain unless there is very good reason for it to not be (for example because of commercial confidentiality or legal privilege).

To this end we have adopted specific measures within this Assurance Framework to ensure that when we make decisions regarding the deployment of public funding, we allow members of the public to express their views in advance of those decisions being taken; and that when we make decisions, they are published in an open and transparent manner.

However, as we are a private company we need to be able to conduct business in an entrepreneurial style, as is common place within the private sector and also adopt an associated private sector risk appetite for investment. It is essential that we operate a risk appetite in line with best in class private sector organisations bringing innovation and entrepreneurship to the work we do, whilst simultaneously ensuring the highest standards of transparency and governance when spending public funds.

Therefore, papers and minutes for the Board and any Committees which involve discussions, recommendations or decisions about public money will be published; however, commercially sensitive information may be redacted. We are committed to meeting the timelines below:

- meeting agendas and papers to be published 5 clear working days before the meeting takes place; and
- minutes of Board meetings to be published within 10 clear working days of the meeting taking place. This may be in draft if internal LEP processes require clearance before the minutes are finalised. The final minutes of Board meetings must be published within 10 clear working days of being approved.

The Board and Committees will make decisions on merit having taken into account all of the relevant information available at the time of evaluation. Any decision is that is made in contravention of the processes set out in the Assurance Framework will be invalid on the basis of non-compliance unless the Board has given prior approval for variation in the decision making process.

Commitments

Our Board Directors and Officers demonstrate the highest standards of conduct when carrying out their responsibilities and have regard to the following principles in their work. Our Board Directors and Officers are committed to:

- Acting solely in the public interest in line with the Nolan principles; making decisions purely on merit, in accordance with agreed LEP processes and act with regularity and propriety when managing public money;
- Keeping records which demonstrate they meet all their legal obligations and all other compliance requirements placed upon them ensuring these are accessible if requested;
- Actively cooperating with stakeholders and other regeneration organisations, including other LEPs. This involves engaging deliberately and constructively with all stakeholders and partners in order to collect information which can be factored into decisions;
- Ensuring partnership working and engagement on projects or decisions which are likely to have an effect across LEP borders or significantly affect the plans of another LEP;
- Championing successes within their communities, including bringing to the attention of Government local growth projects which should be recognised as innovative or examples of best practice and ensuring that stakeholders are able to make informed decisions on local growth matters;
- Championing diversity and operating in line with our Diversity Statement, including reporting to the Board on progress and how improvements can be made at each Board meeting and nominating a Diversity Champion; and
- Working with LEP Network.

2. Our Strategy

In 2018 we published our ambitious Strategic Economic Plan, 'Gatwick 360'. Following this, we undertook extensive research, analysis, and stakeholder engagement to prepare a Local Industrial Strategy. This put us in an extremely strong position to prepare a recovery strategy following the pandemic in 2020. We were pleased to publish 'Build Back Stronger, Smarter, Greener' in September 2020. These strategy documents and our evidence base can be found on our website.

2.1 Our Vision

Our vision is to build back stronger, smarter and greener – working with our partners to make a difference to people and places and ensuring that our region is a fantastic place to live, grow and succeed.

2.2 Our Approach

Coast to Capital produces an annual Business Plan which explains what we aim to do in order to deliver our vision and priorities. Our Business Plan is published at the start of each financial year on our [website](#).

2.3 Build Back Stronger Smarter Greener

[To add latest strategy status nearer publication date]

2.4 Our Engagement with Local Partners and the Public

Strategy development is led by our Strategy & Policy team. We are committed to consulting and deliberately and constructively engaging with key stakeholders on everything that we do, in particular strategy development. This includes:

- Our Board
- Area Partnerships
- Private sector stakeholders
- County and Local Authorities
- Government departments
- Subnational bodies
- Third sector representatives
- Community interest groups
- Universities and research institutions
- Further education stakeholders
- Other LEPs
- Task and Finish groups as required
- Public consultation (via our website)

Our Communications Framework guides the work we do to communicate our work to local partners and the public which also includes how we inform them of future strategy development. This Framework is available on request and includes up to

date website information, marketing strategies including social media, monthly newsletters, press releases and targeted communications.

2.5 Our Collaboration with other LEPs

Our economic interests are served by identifying as part of the wider South East region, across Local Enterprise Partnership boundaries. We value our relationships with our LEP partners and are currently working successfully as part of Transport for the South East and the Greater South East Energy Hub. Up to date information on these partnerships and related strategies can be found on our website.

We engage bilaterally with our partner LEPs and are also part of 'Catalyst South' which brings together LEPs across the wider South East to identify areas for collaboration and to maximise the impact of our engagement with Government. Coast to Capital, Enterprise M3, Hertfordshire, Solent, South East and Thames Valley Berkshire LEP are members of Catalyst South.

Collaborative Working

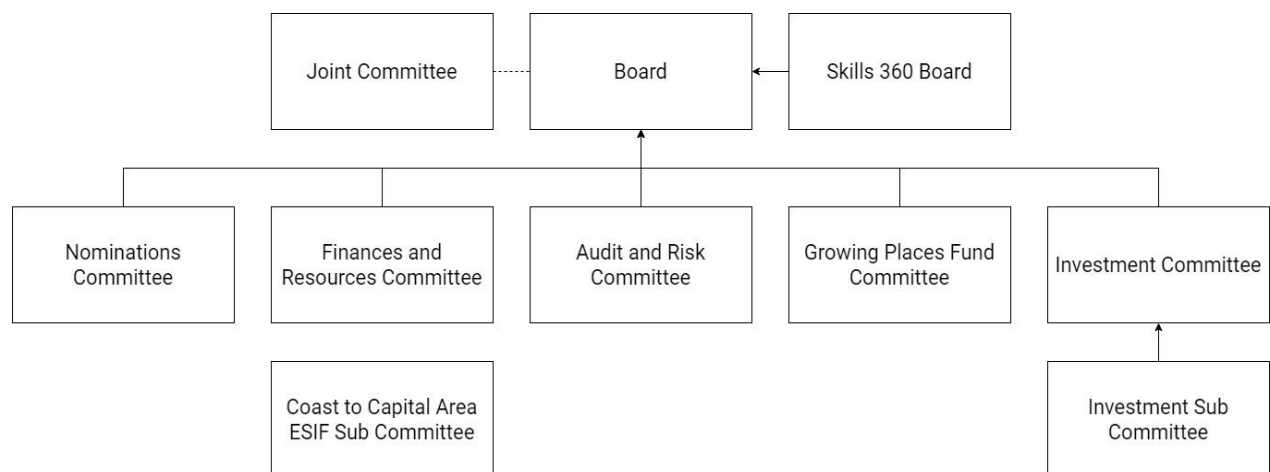
We are committed to working with other LEPs to maximise the impact of our strategy and investment across local geographies. We engage with other LEPs on projects and decisions which are likely to have an effect across our boundaries. Our collaborative activity and opportunities for collaboration is reported to the Board as appropriate at each meeting as part of the Chief Executive report.

Coast to Capital is also committed to working with the LEP Network to discuss issues of shared importance as a sector, engage with Government, and share knowledge and good practice.

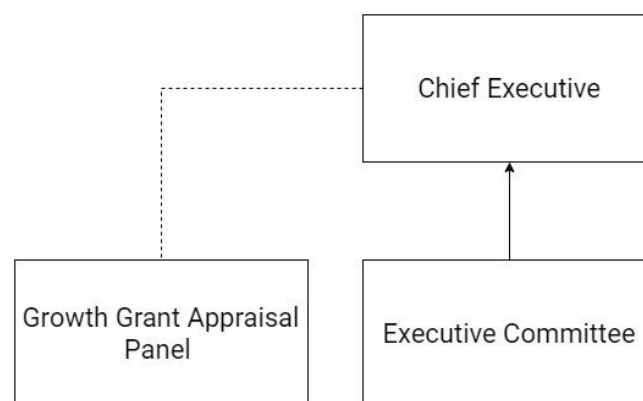
3. Our Governance

3.1 Our Governance at a Glance

The Board governs our organisation and takes the key strategic decisions to determine our strategic direction and our region's strategic economic plan. The Board delegates certain responsibilities and authority to its Committees. These report back into the Board and operate at a more operational level ensuring that there is oversight and governance around the day to day running of the LEP.



The day to day operation of the LEP is in turn managed through the Executive Committee which is chaired by the Chief Executive and attended by the senior leadership team. Operational teams are organised around three separate areas of work, Strategy & Policy, Investments and Services which are all supported by the Communication & Corporate Affairs team. .



3.2 Our Board

Coast to Capital has a Board of Directors (the Board) comprising:

- the Chair who is drawn from the private sector;
- the Vice Chair who is drawn from the private sector;
- the Chief Executive;

- ten Directors drawn from the private sector;
- three Directors drawn from local authorities;
- two District Council Directors;
- a Director from further education; and
- a Director from higher education.

The composition of the Board is in accordance with the Government guidance that the maximum number of Directors should be 20.

We are also able to appoint up to three persons as co-opted Directors for their specific skills and expertise and to bring diversity to the Board for a term length of one year. Any persons so co-opted will be required to adhere to the same standards as Business Board Directors.

We also appoint Independent Members to our Committees to bring relevant skills and expertise as required. This is set out in our Committee Terms of Reference.

A named Board Director represents and engages with the Small and Medium Enterprise (SME) business community as our SME Champion. Details of Board Directors and their specific roles, including our SME Champion and Equality and Diversity Champion within Coast to Capital, are set out on our website. We have also identified Board Sponsors for key sector/priority areas. These are also set out on the website.

A representative of the Accountable Body, which ensures that Board decisions are consistent with best practice on public expenditure also attends Board meetings in an advisory capacity.

Board Directors must live and/or work in the Coast to Capital area or have strong connections to the area.

Board Director Duties and Accountability

Every Board Director is bound by the legal duties of Directorship under the Companies Act 2006. These include acting in the interest of the LEP as a company and avoid conflicts of interest in conducting LEP company business.

Board Directors have to adhere to the seven principles of public life, also known as the Nolan Principles. All Board Directors are required to sign an undertaking to abide by the Nolan Principles as part of our Board Director Code of Conduct.

The Board is responsible for ensuring Coast to Capital achieves its purpose and is properly and legally managed. The key function of Board Directors is one of governance rather than management ensuring that the organisation operates effectively rather than doing the work themselves. The scope of responsibilities include:

- Organisational purpose
- Leadership
- Integrity
- Decision-making, risk and control
- Board effectiveness
- Diversity
- Openness and accountability

As stated in the Board Director Code of Conduct Board Directors are accountable for their decisions and must co-operate fully with whatever scrutiny is appropriate to their position. Board Directors must be as open as possible about both their decisions and actions and the decisions and actions of the LEP. In addition, Board Directors should be prepared to give reasons for those decisions and actions.

Board Directors are appointed on the basis of their skills / knowledge and their ability. On this basis they have a duty to share knowledge of that sector and in taking decisions to put forward the collective views of that sector to aid the Board in making high quality decisions. In discharging this duty, Board Directors are expected to consult and canvas as relevant their respective sectors to inform Board discussions and decisions.

In exceptional circumstances, a Board Director may be asked to perform an executive role where their expertise or experience is required. This will be for a defined period only and on advice by the Chief Executive and agreement by the Chair. Any arrangement agreed will be confirmed in writing and shared with the Board.

Board Remuneration Policy

All Board Director roles as described above, but with the exception of the Chief Executive and Chair are non-remunerated.

The Chief Executive is paid a salary which reflects market rate for the role. This is set in consultation with recruitment advisors, reflecting market rates for equivalent roles including in Local Government. The pay rate is reviewed periodically, most recently in January 2018. The Chief Executive is not eligible for a bonus. The salary is adjusted annually in line with the Coast to Capital pay settlement, which is agreed by the Finance and Resources Committee.

The Chair role became remunerated in August 2020 currently set at £20,000 per annum. This is flat for three years after which it will be reviewed.

Diversity Statement

Coast to Capital is an inclusive organisation that values and promotes diversity. We work across a diverse and vibrant region and believe that our impact is enhanced through championing inclusion and reflecting the dynamic businesses and communities that we support. Diversity fosters growth and innovation and is integral to the delivery of our strategy.

We meet the current requirement that at least one third of our Board Directors are women. We are also committed to equal representation of men and women on our Board by the end of the 2022-2023 financial year. A named Member of the Board is our Diversity Champion which is set out on our website.

Coast to Capital is committed to diversity on all its Committees and when recruiting to these and the Board, we look to ensure diverse representation which is reflective of the local population as a key requirement of filling vacant posts. Diversity considerations are an integral part of our Board and Committee recruitment processes, from advertisement to interview and subsequent appointment. Our Committees will be reviewed annually to ensure they are reflective of the local population with guidance from our Diversity Champion.

A report on diversity will be provided in the Chief Executive Report at every Board meeting. This will include a progress update and recommendations about how improvements can be made.

Our Board papers consider diversity implications across all our projects and programmes. Ensuring diversity in our engagement with local communities and businesses is a key part of our engagement plans in relation to our Local Industrial Strategy. Our approach to engagement will be kept under review and reported to the Board.

We publish an Equality and Diversity policy which can be found on our [website](#) and includes more detail on how we operate in line with the commitments above.

Our Chair

Our Chair's responsibilities are to:

- Provide leadership and set the strategic direction of Coast to Capital - to ensure the development and implementation of our strategy to promote economic growth in the area
- Being a champion at a national level through the LEP Network and Ministerial engagement, and at the South East level through the Catalyst South Chairs Group
- Be a figurehead for the wider regional business community and our partners, demonstrating an understanding of the economy and building traction on the issues raised to support and attract business growth
- Advocate for the economic, commercial and demographic issues facing the area, particularly strengths and opportunities that should be taken to drive forward economic growth
- Chair the Board of Directors meetings
- Take a leading role in determining the structure of the Board and leading the appointment of Board Directors and the Vice Chair
- Work collaboratively with the Board and executive team to build a strong organisation based on best practice from the Private Sector

- Ensure that Coast to Capital is run in a transparent and accountable way, in compliance with the Assurance Framework and adhering to the seven Nolan Principles of public life
- Be the line Manager for the Chief Executive and provide support, advice and challenge to them
- Ensure that relevant, accurate, timely and clear information is provided to the Board through the executive team in order to make sound decisions, monitor issues and provide advice. In particular in relation to setting priorities, developing plans, monitoring performance, managing risks and ensuring that there are enough resources available
- Contributing to the development of an effective private, public and education sector partnership to achieve practical outcomes with a consensual approach
- Attending and chairing working groups and other meetings on specific issues and engaging with stakeholder groups and forums such as Transport for the South East or seek nominations from others to do so
- Declare any interests that may be relevant to any Coast to Capital decisions and comply with the Code of Conduct and relevant policy
- Represent Coast to Capital at high profile events including speaking opportunities
- Understand and commit to Coast to Capital's Equality and Diversity aspirations and policy

The Chair may be a member of Coast to Capital Committees and provide contributions and expertise; however, they would not be expected to Chair any Committees.

Our Vice Chair

Our Vice Chair's responsibilities are to:

- Support the Chair to deliver their duties;
- Deputise for the Chair at Board and other meetings as required as a proxy, also in instances when the Chair is conflicted;
- Support the Chief Executive with operational matters and key relationships;
- Foster positive working relationships amongst Board Directors and exemplify Board Director behaviour and input;
- Attend Coast to Capital Board meetings and provide support to Board members and Committees as required;
- Act as an ambassador and champion for Coast to Capital, engaging in projects which require Board member leadership;
- Advise the Executive Team and support strategy development; and
- Ensure that the LEP acts in a transparent, efficient and effective way.

Our Business Directors

As a business-led organisation our success depends on the strength of our Business Directors and we are committed to promoting strong business sector representation

on the Board. Through our recruitment processes and succession planning we ensure that we have business representation which is reflective of the culture and diversity of our area and businesses.

At least two-thirds of the Board must be representatives from the private sector. A Private Sector Director must be or have been employed by an organisation not including Central Government, Local Government or a public corporation as defined for the UK National Accounts Sector Classification. Those from Higher Education, Further Educational Institutions or third sector organisations are not classified as public sector organisations for this purpose.

Our Public Sector Directors

The Board is directly accountable to the public through the three democratically elected directors drawn from the upper tier and unitary authorities in our area. Our Public Sector Directors are the Leaders of Surrey County Council, West Sussex County Council and Brighton and Hove City Council.

There are two District Council Directors on the Board. One representing the District and Boroughs of the area around Gatwick and one representing the Districts and Boroughs across the coastal strip. The role of these representatives is to promote the voice of the Districts and Boroughs and support the delivery of the Coast to Capital mission. Both Directors are appointed by the Chair following a nomination by the Districts and Boroughs they represent. Unless they cease to be the nominated members of their respective authorities prior to the end of the term/s, they will serve a term of two-years with the possibility of serving a further one-year term following approval by the Districts and Boroughs they represent and the Chair. The District Council representatives are also the Chair and Vice Chair of the Joint Committee to ensure continuity and consistency of engagement.

Our FE and HE Directors

There is one Further Education Director and one Higher Education Director on the Board. The role of these Directors is to promote the voice of the education sector to support the delivery of the Coast to Capital mission.

The Further Education Director is appointed by the Coast to Capital Board following a nomination by the Principals in the Coast to Capital area.

The Higher Education Director is appointed by the Coast to Capital Board following a nomination by the Chancellors / Vice Chancellors of the Universities in the Coast to Capital area.

Third Sector Representation

Our Third Sector Board representation is under review. We have a named Third Sector Sponsor on the Board which is set out on the website.

Board appointment process

Board members drawn from the private sector are appointed through public advertisement against a role profile and person specification and are interviewed by the Nominations Committee with appointment recommendations being made to the full Board. Appointments to the Board are made by decision of the Board.

Co-opted Board Directors are chosen for their unique and specific experience and are appointed in the same way as a private sector Board Directors (unless the Board decides otherwise).

The Chair and Vice Chair of the Board is appointed by recommendation of the Nominations Committee following open advertisement and consultation with business, to the Board which makes the final decision.

The appointment of any new director to the Board must be by a majority vote in favour.

The Nominations Committee Terms of Reference can be found in Annex A.

Director Due Diligence Checks

Prior to the Board considering the appointment of a new Director a full director check will be undertaken by an appointed external reference agency. The check will include but not be limited to:

- Reference checks from two suitable referees;
- Director disqualification and bankruptcy checks;
- Other Directorships checks; and
- A press check.

Where we are legally permitted to do so we will undertake Disclosure and Barring Service checks for unspent criminal records as required.

The results of these checks will be provided to Board Members before consideration of the new director's appointment to the Board.

Board Resignation

The arrangements for the resignation of Board Members is set out in our Articles which can be found on our website.

Terms of office

The period of appointment of a Private Sector Director is three years. On expiry a Private Sector Director shall be eligible for re-election for up to two further three-year periods subject to the recommendation of the Nominations Committee and approval of the Board.

The Chair and Vice Chair's terms of office will run for three years from their appointment with the potential to renew for one further term of a maximum of three years in exceptional circumstances and upon a recommendation from the Nominations Committee to the Board. Final agreement to renew must be from a Board majority.

The period of appointment of a co-opted Director shall be one year in line with Government guidance.

Unless they cease to be employed by one of the nominating organisations prior to the end of the term, the Further Education Director and Higher Education Director will serve a maximum term of three-years with no option for re-appointment.

Deputies

Local Authority Directors (excluding District Council Directors) and Higher Education Directors are able to nominate a named Deputy to attend a Board meeting if they are unable to attend. Such nominations shall be notified by the Director to the Chief Executive and Governance Officer in advance. On nomination and prior to attending any meeting in the role of Deputy, the their Deputy must complete a Declaration of Interest Form and submit the completed form to the Chief Executive in accordance with Coast to Capital requirements. When acting in the role of Deputy, the Deputy so nominated shall comply with all duties and have the same rights as the Director that they are deputising for. The interests declared by the named Deputy and any expenses incurred by the Deputy in performance of the role on Coast to Capital shall be included on the register/s maintained and published by Coast to Capital for these purposes.

Decision making on the Board

The Board is responsible for making key strategic decisions, for providing strategic direction and for setting priorities for the Executive team. The Board has the following specific responsibilities:

- Approval of the strategy;
- Approval of any submissions made to Government for funding;
- Approval of investments of more than £2 million (or lesser amounts in exceptional circumstances); and
- Accountable to HM Government for full delivery of the Growth Deal.

In the absence of a formal Board meeting the process for allowing decision by exception will be for the Executive to request approval via email. Board approval will be confirmed by the executive receiving a majority of positive responses to the proposal via email. These emails will be recorded and saved centrally. Exceptions include decisions which need to be taken urgently outside of the formal meeting timetable, however decisions on the award of funding will not be taken outside the formal meeting arrangements.

Frequency of meetings and Quorum

Board meetings are held at least four times a year. The quorum for Board meetings is seven Directors the majority of whom shall be Private Sector Directors.

Publication of meeting papers and agendas

The Board meeting agenda and papers will be published no later than five clear working days before the meeting. Agenda items will be marked either Part A or Part B.

- a) Part A items are those which are not subject to restriction under Part B. Papers accompanying Part A agenda items will be published on the website.
- b) Part B items are those items which include confidential information under The Local Authorities (Executive Arrangements) (Meeting and Access to Information) (England) Regulations 2012 (where applicable) which includes:
 - Information provided by a Government department on terms which forbid the disclosure of the information to the public;
 - Where disclosure to the public is prohibited by a court;
 - Where the LEP holds “exempt information” under Schedule 12A of the Local Government Act 1972. This includes information relating to an individual, relating to the financial or business affairs of a particular person, negotiations, labour relations, legal professional privilege and in connection to the investigation or prosecution of a crime. or
 - As included in Schedule 12A, commercially sensitive information to either Coast to Capital or another party.

Papers accompanying Part B agenda items will be clearly marked “Confidential” and will not be published or discussed in the public domain.

The Chief Executive in discussion with the Chair, and partners if relevant, will determine how agenda items are marked.

Any member of the public can submit a comment or view on any agenda item; however we reserve the right to not consider any vexatious, repetitive or malicious comments. Comments must be sent so that they reach Coast to Capital no later than 36 hours before the meeting. Public comments will be considered by the Board at the time of the agenda item being discussed. In this way the Board can take into account public comments before making decisions. Public comments will be shared in full on the website after the meeting when the minutes are published.

Minutes of Board meetings are to be published within 10 clear working days of the meeting taking place. At the Board’s discretion, decisions reached about items marked Part B may be published in the public domain with or without redaction. The Board reserves the right not to publish Part B decisions if those decisions are in themselves commercially sensitive, confidential or not to be placed in the public

domain, including any decisions that have legal confidentiality issues, or those which are legally privileged.

Any declaration of interest made at the meeting will be included in the minutes unless agreed with the Chief Executive that the declaration is a 'sensitive interest' as described in the Localism Act 2011 and should be kept confidential. A new declaration of interest will be updated on the relevant Member's register of interest.

Where the Board delegates under the 'Scheme of Delegation' decision making powers to Committees, these have their own transparency arrangements that are detailed later in this document, however are also bound by the requirements of the National Assurance Framework.

Board Secretariat

Coast to Capital provides strong support to the Board through the Chief Executive and the Senior Management Team who are always available to Board Directors and the main point of contact.

We also employ a Governance Officer who provides additional support and an independent Secretariat service to the Board. It functions as a bespoke and specific role with responsibilities to deliver our Board meetings, support Board Directors in addition to help deliver the Governance requirements of Coast to Capital.

We also work in close collaboration with our Accountable Body to support the Board.

Board Performance

On joining the Coast to Capital Board, Members are given a full induction within the first quarter that they are in post. This, along with continuous training, will ensure that Board Directors are adequately supported to provide challenge and direction to the organisation and understand how best to work with Government. Coast to Capital will utilise the induction and training offer from Government and the LEP Network once this is available.

Annually the performance of the Board is reviewed by the Chair and individual feedback is provided to all members. An annual Board development programme is agreed based on a skills analysis and feedback from the Board. Our Board Development process is currently under review.

Along with the organisational strategy, this process informs Board succession planning and underpins the specific role profile and person specification for planned upcoming Board Director vacancies. Our succession planning includes continually monitoring Board term end dates and forward planning for recruitment of upcoming vacancies in line with current organisational priorities. This is kept under review by the Finance and Resources Committee.

3.3 Policies

Conflicts of Interest Policy

Coast to Capital has a Conflicts of Interest Policy that applies to the Directors of the Board (Directors) of Coast to Capital, Members of Committees of the Board (Members) and all employees. The policy sets out guidelines and procedures for identifying, declaring, monitoring, reporting and managing commercial, actual and potential conflicts of interest and can be found on our website.

Coast to Capital recognises that Directors, members and employees will have legitimate interests that arise out of their private capacity and that there are situations in which the private interests and affiliations appear to or have the potential to conflict with the proper performance of official duties within Coast to Capital.

Coast to Capital further recognises that conflicts of interest are a matter of public interest and that when situations are not properly identified and managed, they can seriously endanger the integrity of the organisation and decision making.

The main elements include:

- Full disclosure of interests;
- Clear procedure for identifying conflicts;
- Clear procedure for the Board and Committees to ensure that its decisions are not affected by any conflicts which may exist; and
- Full disclosure of material facts which may impact holding of office.

Prior to appointment as a Director or acting as a nominated Deputy, a Declaration of Interests form must be completed and once appointed/nominated this will be published on our website. Declarations of interest of our Committee Members will also be published on our website. Declarations of interests should be formally reviewed every six months and prior to each meeting. A Declaration of Interest form must be updated within 28 days of a change occurring. Further detail on the operation of our Conflicts of Interest Policy can be found on our website.

Gifts and Hospitality Policy

The Coast to Capital Gift & Hospitality policy will be to decline gifts or hospitality exceeding £50. However, Coast to Capital will accept offers of free venues to deliver our Board meetings, Stakeholder events and team away days provided that these venues reflects the values and ethos of the organisation. Our Gift and Hospitality Policy can be found on our website.

Expenses

Board Directors are entitled to claim reasonable travel, subsistence and associated expenses in accordance with their Coast to Capital related duties. The Board

Expenses Policy has been reviewed in 2020 and shared with Board Directors. These should be submitted to the Head of Finance on a monthly basis. Chief Executive expenses are approved by the Chair and other Board Director expenses are approved by the Head of Finance. Expense claim forms are kept on file for audit and budget monitoring purposes.

Coast to Capital employees are entitled to claim reasonable travel, subsistence and associated expenses in accordance with the Coast to Capital Travel and Subsistence Policy. These should be submitted to the Head of Finance on a monthly basis. Expense claim forms are kept on file for audit and budget monitoring purposes.

Complaints and Whistleblowing

Coast to Capital operates a complaints policy including confidential reporting of complaints and full details are set out in Annex S. Our Whistleblowing Policy can be found on our website.

Anti-Fraud and Anti-Bribery Policy

Coast to Capital will not tolerate any level of fraud, bribery or corruption. We are committed to protecting our assets and are committed to promoting honesty and integrity in all of our activities. Coast to Capital is determined to prevent, deter and detect all forms of fraud, bribery and corruption in relation to the work of Coast to Capital whether committed by internal or external parties. Our Anti-Fraud and Anti-Bribery Policy can be found on our website.

Procurement Policy

The purpose of the Coast to Capital Procurement Policy is to structure purchasing processes and sourcing strategies to ensure that the services and goods acquired are the result of transparent, objective, time and cost-effective decision making and risk management. Our Procurement Policy can be found on our website.

3.4 Our Committees

The matrix below shows how decisions are taken within the LEP governance structure working from the bottom up. It shows the role that is played by our Committees in discharging the responsibilities of the organisation.

Activity	Award of Local Growth Fund Grants	Award of Growing Places Loans	Day to day company operations	Risk Management	Strategy & Policy	Services
Assurance & Audit by :	<i>Audit and Risk Committee (process) Investment Committee (delivery)</i>	<i>Audit and Risk Committee</i>	<i>Audit and Risk Committee</i>	<i>Audit and Risk Committee</i>	<i>Audit and Risk Committee Joint Committee</i>	<i>Audit and Risk Committee</i>
Reporting to & Oversight by :	<i>Board</i>	<i>Board</i>	<i>Finance and Resources Committee</i>	<i>Board</i>	<i>Board</i>	<i>Board</i>
Decisions by :	<i>Investment Committee and Board (subject to funding level)</i>	<i>Growing Places Committee</i>	<i>Chief Executive and Executive Committee (subject to mandate)</i>	<i>Board (risk appetite) Audit and Risk Committee (interventions) Executive Committee (day-to-day)</i>	<i>Board</i>	<i>Board</i>
Refinement & validation of Recommendations by:	<i>Investment Sub Committee or Executive Team</i>	<i>Executive Committee</i>	<i>Executive Committee</i>	<i>Executive Committee</i>	<i>Executive Committee</i>	<i>Executive Committee</i>
Recommendations by:	<i>Executive Team Member with portfolio remit</i>	<i>Executive Team Member with portfolio remit</i>	<i>Executive Team Member with portfolio remit</i>	<i>Executive Team Member with portfolio remit</i>	<i>Executive Team Member with portfolio remit</i>	<i>Executive Team Member with portfolio remit</i>
Initiation request by :	<i>Grant applicant</i>	<i>Loan applicant</i>	<i>LEP Officer</i>	<i>The Risk Manager</i>	<i>Government</i>	<i>Government</i>

The Board oversees the work of the Chief Executive and their executive team. The executive team work streams are divided into teams and each of these is governed through a number of Committees which comprise LEP officers and other stakeholders as appropriate.

The Board delegates to a number of Committees responsibility for certain tasks. The following sections explain the constitution, membership and role of each Committee.

In line with our Articles at least two Directors must be on a Committee. Any member of a Committee may give one month's notice in writing of intention to withdraw from the membership of a Committee.

The membership of the Committees will be reviewed annually by its Chair.

Nominations Committee

The Nominations Committee is responsible for Coast to Capital Board recruitment and reappointment including the Chair, Vice Chair, Chief Executive, Private Sector Directors and Co-opted Directors.

The terms of reference of this Committee are set out in Annex A.

Finance and Resources Committee

The Finance and Resources Committee is responsible for the oversight of the company's financial strategy and performance, and the effective use of the company's resources.

The terms of reference of this Committee are set out in Annex B.

Audit and Risk Committee

The Audit and Risk Committee is responsible for overseeing the Coast to Capital Assurance Framework, Annual Audit Plan, External Audit and Risk Management process.

The terms of reference of this Committee are set out in Annex C.

Joint Committee

This Committee consists of the Leaders of all the local authorities within the Coast to Capital area, together with the Chief Executive of the LEP.

It considers business as set by the LEP Board and is convened as required by the Board. The Joint Committee has a key role in reviewing and agreeing the Strategic Economic Plan and the priorities for growth across the LEP area.

The terms of reference of this Committee are set out in Annex D.

Investment Committee

The Investment Committee has delegated powers on behalf of the Board up to £2 million to approve all LEP investment decisions relating to the public funding streams that the LEP stewards. These include the Local Growth Fund and Legacy Funding issues.

The terms of reference of this Committee are at Annex E.

Investment Committee Sub-Committee

The Investment Committee Sub-Committee is responsible for the scrutiny and appraisal of projects prior to the approval of funding by the Investment Committee or Board.

The terms of reference of this Committee are at Annex F.

Growing Places Committee

The Growing Places Committee has delegated powers up to £2 million on behalf of the Board to approve all LEP investment decisions relating to the Growing Places Fund. The Growing Places Fund is a revolving business loan fund which provides loan finance and /or equity investment to growth businesses where banks have not been willing to lend. The fund lends only to items that are considered capital investment and which can be capitalised under standard accounting practice. All investment decisions must be consistent with the Coast to Capital investment strategy.

The terms of reference of this Committee are set out in Annex G.

Skills 360 Board

The Skills 360 Board will focus on building the evidence base, establishing local priorities, developing local solutions and policy and identifying the investment needs in relation to the skills needs of the area. These are set out in the Skills Strategy and Action Plan published in September 2020 and in our annual Local Skills Report to the Department for Education.

The terms of reference of this Committee are set out in Annex H.

EU Structural and Investment Funds Committee

Coast to Capital are representative members of the ESIF Committee which has an advisory role to the managing authority on the implementation of EU structural funds in our region.

The terms of reference of this Committee are set out in Annex I.

3.5 The Operation of our Executive team

The LEP maintains a permanent team led by a Chief Executive and their senior team.

Staff are organised around three separate work areas: Strategy and Policy, Investments and Services. In addition, the Chief Executive has other direct reports covering cross cutting corporate support functions e.g. Finance, and Communications and Corporate Affairs. The commercial function sits under the Chief Operating Officer as this role also covers management of the Growing Places Fund.

Details of staff employed by Coast to Capital and the roles that they fulfil within the company are set out on our website. In line with public sector best practice, details of the number of staff paid more than £50,000 per year is also set out on the website.

On joining Coast to Capital all staff are given a full induction on the operation of the organisation within the first quarter they are in post. We are committed to the training and development of our workforce. All staff also have to sign the Coast to Capital Employee Code of Conduct.

All Senior Officers and anyone in the organisation involved in a funding decision making process, including Growth Grants, must complete a Declaration of Interest form which will form part of the register published on the website.

Our Chief Executive

The Chief Executive is fully accountable within the Governance structure of the company and works closely with the Chair to deliver the Business Plan. The Chief Executive is an independent and impartial advisor working under the direction of the LEP Board and is employed by Coast to Capital.

Our Chief Executive's responsibilities are to:

- provide high quality leadership for the LEP, so that we are a strong partner making a positive difference in economic performance across our region;
- make Coast to Capital amongst the strongest LEPs in the country, influential within the LEP network and with Government;
- maximise the impact of the Board, with highly engaged Board Directors adding value to our business and exemplifying the role of the LEP;
- lead a highly effective and professional executive team, benchmarked against best practice from public and private sector comparators;
- build understanding and engagement across the region in the work of the LEP, from business, public sector and education sectors;

- achieve outstanding delivery of projects which builds our national reputation as an excellent place for public investment;
- broaden the scope and impact of our business services in order to maximise our influence and engagement with business in the region;
- develop clearly prioritised and well-articulated positions on the most important strategic issues facing the region, which influence national policy and decision making.

The Executive Committee

Governance and management of the executive staff functions and work stream structure of the LEP is through an Executive Committee, chaired by the Chief Executive.

The terms of reference of the Executive Committee are set out in Annex J.

Scheme of Delegation

Coast to Capital operates to a clear scheme of delegation, as set out on the following page, which details who in the organisation takes decisions and their authority limits to do so.

All decisions can only be made at quorate meetings, and it is the responsibility of the executive officer responsible for organising the relevant meeting to ensure quorate attendance of members.

Scheme of Delegation

Action	Chief Executive	Internal Heads	Board	Investment Committee	Growing Places Committee	Finance and Resources Committee	Executive Committee	Audit and Risk Committee
Operational day to day expenditure that exceeds overall gross LEP budget	Recommends to Finance and Resources Committee		Approves			Recommends		Audits & reports to Board
Award of Grant Funding (including LGF)		Recommends	Approves above £2m	Approves up to £2m Audits & Reports to Board (delivery)				Audits & reports to Board (process)
Withdrawal of Grant Funding			Approves	Recommends				Audits process and Reports to Board
Award of Recovery Grants		Grants under £50k approved by Chief Executive and Internal Heads.	Approves over £2m	Approves £50k to up to £2m Approves operation of Recovery Grant Appraisal Panel				Audits & reports to Board
Operational budget setting & approval			Approves			Recommends	Recommends to Finance and Resources Committee	Audits & reports to Board

Agreement of Policy & Strategy		Recommends	Approves					
Recruitment Decisions	Approves	Recommends						
Remuneration decisions	Recommends					Approves unlimited		Audits & reports to Board
Award of Growing Places fund loans		Recommends	Approves above £2m		Approves up to £2m			Audits process & reports to Board
Virements of funding on LGF projects		Recommends		Approves unlimited				Audits process & reports to Board
Material changes to LGF outputs		Recommends	Approves significant changes		Approves			Audits process & reports to Board
Operational day to day management decisions within financial delegation limits	Approves	Approves					Approves	Audits & reports to Board
Initiation of debt recovery action on loan defaults					Approves		Recommends	Audits process & reports to Board
Material changes to loan agreements			Approves significant changes		Approves		Recommends	Audits process & reports to Board
Governance Changes			Approves				Recommends to Audit and Risk Committee	Recommends to Board

Calls for bids for grants or loans			Approves	Recommends	Recommends			
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Corporate Functions

As a private company, Coast to Capital runs its own corporate functions including office management, administration, procurement, human resources and communications. This work is led by the Head of Communications and Corporate Affairs.

We are committed to meeting the Government branding guidelines for projects and ensuring that our website includes the information specified by Government.

Stakeholder Relations and Engagement

As a unique partnership between key business and political stakeholders in our region, Coast to Capital puts a premium on high quality and informative engagement with external partners.

Our communications framework and stakeholder strategy sets out the core principles for how we do this, with a particular focus on:

- **Engagement events with business:** we hold regular engagement events with business including our AGM and Annual Partnership event. This is how we engage with area partnerships, statutory bodies and business representative organisations from across the region. These events allow partners to voice their opinions on and feed into the work of the LEP. It also provides an opportunity for stakeholders and partners to update the forum on their work and to collaborate. We will continue to run consultation events for partners to engage on the Local Industrial Strategy.
- **Engagement with business:** the Chief Executive, Senior Officers and other staff meet regularly with businesses in the region, including speaking at business conferences and events.
- **Engagement with local authorities, FE colleges and Universities:** open and honest dialogue with all local authorities, Higher Education and Further Education providers in the Coast to Capital area is a key part of delivering our businesses. We engage regularly at senior and working level with local politicians and officers across the region.
- **Press engagement:** we highlight our successes and the issues we are working on and engage with regional media to bring attention to this.
- **Website and social media:** we maintain a high quality website with up to date information on all our activity and have an active social media presence.

We evidence our engagement:

- through our new CRM system which will log our interaction with businesses and stakeholders;
- by reporting on our press activity; and
- providing minutes and reports on our meetings and consultation events on our website.

This will be kept under review as our stakeholder function matures.

The Board also identifies key issues within the Coast to Capital business plan on which it wants to form **Working Groups**. Led by a private sector Board Member, Task Groups focus on a specific challenge for the organisation and include input from informed and influential partners from across the region. This is a way of maximising the diverse leadership that LEPs bring to addressing problems in our regional economy and give space for innovation and bringing new approaches to solving complex issues.

Our relationship with area partnerships helps develop our Strategic Economic Plan and negotiation of our Local Industrial Strategy. These groups are also useful in disseminating information in two directions to businesses and local partners. The four area partnerships in the Coast to Capital region are autonomous groupings which represent business and other stakeholders in different parts of the region:

- The **Gatwick Diamond Partnership** is a business-led group whose aim is to grow the region's existing jobs base, attract new jobs and secure investments from companies that most closely match our industry strengths.
- The **Greater Brighton Economic Board** brings together political and business leaders to focus on issues around economic growth as identified in the 2014 City Deal for Greater Brighton.
- The **Rural West Sussex Partnership** brings together the key organisations that develop strategy and policy in West Sussex to ensure the best use of resources across the County to deliver projects and services in rural areas.
- The **Coastal West Sussex Partnership** brings together leaders from business, education and the public sector to work collectively on economic issues that affect the coast.

To support our Services function and the strategic development of our Growth Hub service we are establishing a Business Recovery and Growth Advisory Group which is an informal network of Board Directors, and external experts where appropriate, to bring additional guidance, skills and expertise to this area. It is not be part of the formal governance and will share key messages with the rest of the Board.

Freedom of Information Requests (FOIs)

Coast to Capital is not subject to the provisions of the Freedom of Information Act; however, our Accountable Body, public sector partners and Joint Committee are subject to the provisions in the Act. Coast to Capital will respond to all information requests in line with the spirit of the Act. In the first instance, FOIs should be directed to Coast to Capital via its website and Croydon Council, as Accountable Body, will provide advisory support to ensure FOI requests are appropriately dealt with. Any requests that involve our public sector partners will be forwarded to them to lead the response with our support as necessary.

General Data Protection Regulation (GDPR) and Data Protection

We have fully adopted the requirements of General Data Protection Regulation (GDPR) and comply with the provisions of the Data Protection Act 2018. Internal processes, procedures, data systems and documentation are compliant and will continue to be reviewed to ensure ongoing compliance. We process and handle data in line with our Privacy Notice which can be found on our website.

Monitoring our performance

We publish an annual report, financial statement and accounts at the end of our financial year. Our annual report, financial statement and accounts are published on our [website](#).

We hold an Annual General Meeting once a year which the public and stakeholders can attend. Public questions are invited in advance of the meeting. If it is not possible to hold this event in person it will be a fully accessible virtual event.

Each year we take part in an Annual Review with Government where our performance is reviewed.

Scrutiny and Audit

We have agreed the following appropriate scrutiny and audit arrangements with our Accountable Body as set out in the next two sections.

Scrutiny

Our approach to scrutiny is embedded throughout the organisation and relates strongly to our Risk Policy and the Board's agreed appetite to risk. For example:

- Our Local Growth Fund projects are scrutinised based on our robust risk management process and subject to our Funding Withdrawal Protocol (see section 4).
- Grant funds that we administer are subject to full due diligence processes.
- Our approach to the Stronger, Smarter, Greener Investment pipeline has agreed scrutiny arrangements focused on investment projects that have greater involvement from Coast to Capital (see section 4).

We are happy to participate in any Local Authority Overview and Scrutiny Committee. We will respond positively to requests to share information to ensure that the Committee is in possession of the necessary information to provide robust scrutiny and advice. Our attendance and the information and outcomes from our participation will be published on the governance page of our [website](#).

We may also commission an optional annual independent scrutiny report on an aspect of the governance of Coast to Capital at the discretion of the Audit and Risk Committee. This independently assesses our performance and compliance with this framework on a targeted risk basis. Reports from these reviews can be found on the governance page of our [website](#).

We are also able to call on our Accountable Body's internal audit function to undertake further scrutiny if required based on an assessment of risk.

As part of our Annual Review with Government we provide an annual assurance statement from the Chief Executive and Chair on the governance and transparency of Coast to Capital which includes an update on the scrutiny arrangement described above and is published on our [website](#).

Audit

Each year we agree an audit plan with our Accountable Body following the Annual Review with Government.

All feedback in relation to scrutiny or audit is considered by the Audit and Risk Committee and reported to the Board.

We are able to draw on the internal auditors of the Accountable Body as required.

Record Keeping

Coast to Capital keeps both hard copy and electronic records for a minimum of six years in a secure environment subject to The General Data Protection Regulation 2016/679, the Data Protection Act 2018, National and Local Assurance Framework, Government funding requirements and in line with our legal and data retention policies. Appropriate personnel will also be made available, with reasonable notice, to answer any questions arising from any monitoring process in connection with these records.

Office Manual and Day to Day Operating Procedures

Our employee handbook sets out our processes and procedures around human resource management and office practice from expense management through to sickness absence and holiday information. A copy is available for all Board Directors to inspect.

3.6 Our Accountable Body

Our Accountable Body

Coast to Capital has a single Accountable Body, Brighton and Hove City Council, which is responsible for overseeing the proper administration of the governance and financial affairs within Coast to Capital. Brighton and Hove City Council commenced the role of Accountable Body on 1 April 2021. The Service Level Agreement with Brighton and Hove City Council can be found on our website which defines the remit of the Accountable Body. This also ensures that the usual Local Authority checks and balances apply to the awards of funding directed by the LEP Board.

The Accountable Body is actively involved in all key Coast to Capital Committees including the Board, Investment Committee and Audit and Risk Committee. The Accountable Body also attends the Annual Review with Government and the Section 151 Officer has regular meetings with senior Coast to Capital staff.

Our Accountable Body is responsible for:

- Providing a finance function which involves holding funds under managed investment paid by Government on behalf of the LEP, administering and processing Government funds and delivering our operational finance requirements;
- An oversight function ensuring funds are handled with the relevant procedures and grant conditions and that funds are used with propriety, regularity and deliver value for money including:
 - Ensuring decisions and activities conform with all relevant law including state aid and public procurement and ensuring that records are maintained so this can be evidenced.
 - Ensuring that the funds are used in accordance with the conditions placed on each grant.
 - Oversight of LEP governance and transparency arrangements and ensuring that this assurance framework is adhered to.
 - Ensuring compliance with the National Assurance Framework and agreement on scrutiny arrangements.
 - Ensuring that there are arrangements for local audit of funding allocated by the LEP equivalent to those of local authorities.
 - Monitoring and audit arrangements.
- A support function providing technical advice on the relevant law, discussing risks, in particular:
 - The issue of funding agreements and terms and conditions precedent to those as detailed within the Coast to Capital model funding agreement available on our website.

With regards to the expenditure of public funds, the ultimate deployment of funds reside with the Section 151 Officer of the Accountable Body, and only takes place with their approval, following decisions made by the relevant Coast to Capital Board or Committee.

The accounts through which the Local Growth Fund passes will be published and available for public inspection. Our Accountable Body will publish its accounts in accordance with the provisions of The Accounts and Audit Regulations 2015; full details can be found on their website.

Our Accountable Body will not comply with a decision of Coast to Capital if any one, or more, of the following circumstances arose:

1. Evidence of non-compliance with applicable laws including State Aid and Procurement laws;
2. Evidence of non-compliance with grant conditions as set out under section 31 of the Local Government Act 2003;
3. Material departure from provisions of the Assurance Framework.

The process for resolving issues of this nature will initially be through collaborative working, advice and support. If not resolved, it would be put to the agreed dispute resolution procedure (as set out in the Accountable Body agreement). It is, however, anticipated that such an event will be avoided by the Accountable Bodies presence at all decision making meetings and at the Coast to Capital Board.

The Head of Finance, appointed jointly by the Accountable Body and Coast to Capital, liaises with Coast to Capital teams and delivery bodies to ensure data is correctly received and approved. There are close links with the Section 151 Officer at Brighton and Hove City Council and the Accountable Body's accounts payable team.

Our Section 151 Officer

The role of our Section 151 Officer in our Accountable Body is to oversee the proper administration of the governance and financial affairs within Coast to Capital.

The particular responsibilities of the Section 151 Officer are as follows:

- ensure the oversight of the proper administration of financial affairs within the LEP;
- Attend Board meetings;
- Attend Investment Committee meetings;
- Attend Audit and Risk Committee meetings;
- Provide an Assurance Statement as part of the Annual Performance Review;
- Submit a letter to MHCLG's Accounting Officer by 28 February each year which:
 - Details the checks that the Section 151 officer has taken to assure themselves that the LEP has in place the processes that ensure proper administration of financial affairs in the LEP
 - A statement whether, having considered all the relevant information, the Section 151 Officer is of the opinion that the affairs of the LEP are being properly administered in line with the National Assurance Framework and this Assurance Framework
 - If not, information about the main concerns and recommendations about the arrangements which need to be implemented in order to get the LEP to be properly administered

Coast to Capital will ensure that the Section 151 Officer is given sufficient access to information in order to carry out their role. All relevant documentation is provided to the Section 151 Officer, including agenda and papers of Board and Committee

meetings where decisions are being made. The Section 151 Officer has the opportunity to comment on all such relevant documentation.

The Section 151 Officer should exercise their duties in line with the CIPFA guidance and the National Assurance Framework.

Accountable Body arrangements for funding received from Government

The Accountable Body receives Coast to Capital's funding and holds this separately for draw down by Coast to Capital. The Accountable Body will be able to invest funds in the same way as Brighton and Hove City Council monies are invested when the LEP provide a cashflow.

Arrangements are currently being put in place to ensure funding from Government from Coast to Capital is invested in accordance with the cash flow requirements of Coast to Capital.

Chapter Four

4. Our Investments

Government chooses to administer regional investment funding in England through Local Enterprise Partnerships. Coast to Capital therefore takes responsibility for the correct administration of public funding streams in our area and commit to ensuring that public resources are managed appropriately. We seek to achieve accountability, transparency and value for the money in the work that we do to deliver these.

Coast to Capital funding is overseen by Brighton and Hove City Council as the Accountable Body. A Head of Finance is in post who reports to both the Coast to Capital Chief Executive and Brighton and Hove City Council's Section 151 Officer. The Section 151 Officer approves all payments and attends the Board, Investment and Audit and Risk Committee to ensure appropriate use of resources.

4.1 Our Accountability for Public Funding

It is vital that Coast to Capital fully conforms with the expectations on the good use of public funds. These are the key obligations on us and include:

- Ensuring that we obtain best value for money from our investments
- Ensuring we take transparent decisions on the way we spend public money
- Engaging and consulting our stakeholders when we update our SEP
- Ensuring we regularly engage and update our stakeholders on our activities
- Discharging duties required of us by the Department of Transport specifically in relation to funding of transport projects.

4.2 How we make Decisions on Grant Distribution and Loan Distribution

We make decisions to award grants and loans based on a robust and thorough process in line with our commitment to transparency. Annex L summarises the decision making processes accordingly.

4.3 Our Funding, Programmes and Schemes

This section sets our funding, programmes and schemes.

Local Growth Fund

Government has distributed the Local Growth Fund to LEPs in order to support delivery of the Growth Deal. This is an investment fund of £275m that we govern, deploy and monitor on behalf of Government. The LGF supports the delivery of infrastructure projects, which have been agreed with Government and are key in supporting economic growth in the region.

Growing Places Fund

This is a revolving business loan fund which provides loan finance and /or equity investment to growth businesses where banks have not been willing to lend. £23m was available through the Growing Places Fund. The fund is currently fully committed but if any further loan capital is made available, application details will be published on our website. The Growing Places Fund Committee is charged with monitoring the £23m deployed via the Growing Places Fund and reporting to the Board.

Getting Building Fund

Coast to Capital was allocated £19.2 million Getting Building Fund focused on supporting the delivery of shovel-ready infrastructure projects to boost economic growth, and fuel local recovery and jobs. This fund has been fully allocated. An Assurance Statement which sets out the Governance and decision making in relation to this programme is published on our website.

Backing Business Fund

The Coast to Capital Backing Business Grants is a £2 million fund that was set up to provide grants to independent small businesses and social enterprises (excluding charities) in our area who have been affected by COVID-19 during the emergency response to the pandemic. The Backing Business Grant fund is now closed as we have deployed the funding that we had available.

Business Recovery Grant Programme

The Coast to Capital Recovery Grant Programme is a capital equipment (capex) grant funded by Local Growth Fund (LGF). The grants part-fund projects undertaken by innovative, high growth small and medium sized enterprises (SMEs), charities and social enterprises in the Coast to Capital LEP area. Eligible projects will result in recovery of pre COVID-19 sales levels, job recruitment and retentions, innovation and social value. This Programme ends on 31 March 2021. An Assurance Statement which sets out the Governance and decision making in relation to this programme is published on our website.

Growth Hub

This is funding provided by Government, explicitly for the provision of a range of business support services provided through a team of staff known as Account Managers. Core public funding is provided to cover employment costs of the team and the operation of their service.

Enterprise Advisor Network and Careers Hub

We receive match funding from the Careers and Enterprise Company, which was established and is funded by Government since 2015, for the provision of Enterprise Co-ordinators in the Coast to Capital area. Enterprise Co-ordinators work with volunteer business leaders to develop and implement careers strategies for young people in schools and colleges across the region.

Peer Networks Programme

Launched in September 2020, the Peer Networks is a programme of expertly facilitated monthly meetings focused on a key topic of interest identified by the members themselves. The Peer Networks programme is funded by BEIS and runs to March 2021. This model of peer-to-peer roundtables is a professionally delivered programme. Each peer-to-peer group will be limited to no more than 11 businesses. The programme delivery partners was appointed following a rigorous tender process and awarded to MDHub.

Growth Champions

The Growth Champion Network is a collection of consultants, all carefully curated as experts in their respected field. The Champions are specialists across a broad range of industries and business practices. The Growth Champions work closely with the Coast to Capital Growth Hub's team of Growth Relationship Managers to provide specialist areas of support for business to unlock further growth. The Growth Champion activity is funded through the SEEDA Legacy funded which will be fully spent by the end of March 2021.

European Union Funding

Decisions on the administration of European Union Structural Funds are taken in line with the geography of Local Enterprise Partnerships. Coast to Capital supports the Government in the delivery of this work and aims to ensure that EU funds are fully administered in support of their objectives.

Revenue Grant from Government

In recognition of the role that we play in administering public funds and in support of the delivery of the Government's objectives, Ministers choose to give Coast to Capital (along with other LEPs) an annual funding allocation to help cover our operational costs.

Contributions from local authorities in the region

In recognition of the role that we play in promoting economic growth and prosperity in the region, Local Authorities in the Coast to Capital area make an annual funding allocation to match fund the core funding from Government, and help cover our operational costs.

4.4 Monitoring of Existing Grant Investments (LGF & GBF)

All investment decisions using public funds will be made with reference to statutory requirements and in addition with reference to conditions of funding and local transport objectives where applicable. The condition of Local Growth Funding and Getting Building Funds is that it is capital funding only. The LEP is fully involved, engaging with all relevant groups and stakeholders.

We are accountable to Government, and through them to Parliament, for the administration of these grant funds and the value for money and core outputs that it delivers. We make information available to the public through the mechanisms set out in this framework.

In line with the Growth Deal, Coast to Capital is fully responsible for ensuring the Local Growth Fund and since August 2020 the Getting Building Fund is correctly deployed and administrated within our region. In some circumstances, funds may become available – for example because certain projects can no longer be delivered. Coast to Capital then has discretion subject to discussions with BEIS to award or re-allocate this funding through the governance structures as detailed within Annex L and section 1.6 of this document below.

We are accountable to Government for the delivery of a range of outputs relating to economic growth, as part of our Growth Deal, and Getting Building Fund allocation. The key core outputs that we monitor and report, and the definitions/evidence as defined by us to our Delivery Bodies can be seen in Annex N.

The Investments team monitor all grant projects throughout their lifetime, to ensure that conditions and clauses within the funding agreement are being adhered to, and that project delivery, outputs and milestones are on track. The monitoring process includes but is not limited to;

- Quarterly project reporting. Delivery Bodies complete and submit quarterly claim forms, along with risk registers and highlight reports. Financial claims provide sufficient invoice evidence to allow sign off by the LEP and Accountable Body, to enable payment of LGF funds. Monitoring claim forms include reporting on project output delivery, milestones, and matched funding, and reporting is conducted up until project completion.
- Quarterly upstream reporting. The Investment team submit monitoring forms to BEIS in order to update Government on project delivery, finances, outcomes, and risks. This data is used to track the LEP's performance against our Growth Deal targets (LGF and GBF).
- Site Visits and Project Reviews. The Investment Programme Managers conduct regular site visits where possible, and project meetings with Delivery Bodies to ensure delivery is progressing to the anticipated timescale including milestones, and also to get updates around outcomes and risks. These are

conducted at various stages of the project, from funding approval, to completion/evaluation.

- **High Risk reporting.** As part of the High Risk Monitoring Protocol that the Investment Committee have been tasked with, the Investments Programme and Risk Manager regularly updates both Investment Committee and Board with a suite of documents in relation to project delivery risks and financial risks. These documents include the High Risk Report, Full Risk Register, Output Spreadsheet, and other financial updates.
- **Audit Reviews.** The Investments Committee, Board and Investment Programme and Risk Manager have the ability to commission an audit review by our Investments Audit and Compliance Officer, or to commission a 'deep dive' audit review on any of our grant funded projects. Audit reviews will be conducted to assess both high risk projects, and to ensure project delivery and outcome delivery is on track. Reports will be accessible to Board members on request. The reviews will enable the Investment Programme and Risk Manager to effectively risk assess projects as part of the Investment Committee reporting.

More detail of these processes can be found in Annex M.

The Coast to Capital Investment Committee is updated with project delivery updates, with a key focus on risk on milestones, outputs and finance. Where project delivery is at risk, the High Risk Monitoring Protocol, or Funding Withdrawal protocol may be invoked as set out in Annex O and Annex P. Following each Investment Committee meeting, a consent paper will be presented to the Board detailing all decisions (to note) and recommendations for approval made by the Investment Committee.

4.5 Action to Recover Funds

Coast to Capital, through its Investment and/or Growing Places Committees, will take steps to recover either grant or loan funding, in the event of non-compliance or underperformance by a delivery body, or where conditions precedent to the award of that funding are not complied with.

Breaches of conditions within funding or loan agreements are brought to the attention of the relevant Committee, which will then decide upon the steps to be taken to either require remediation of defaults or to immediately initiate recovery of funds. This includes where there is non-compliance, or underperformance, or failure to meet the terms of the funding agreement (outcomes and/or milestones). This starts with a risk assessment of the project which is developed by the Investments team, and if required, a legal opinion from the Accountable Body can be sought to set out the legal basis for recovery and likelihood of success.

The relevant Committee will receive reports providing information on projects which have received funding including:

- a. A description of projects where concerns have been identified;
- b. Relevant details including the amount of funding awarded and the sum at risk due to concerns; and
- c. Where recovery of funds is considered, a legal opinion from the Accountable Body which sets out the legal basis for recovery and the likelihood of success.

This information will form part of the High Risk Monitoring Protocol as set out in Annex O, whereby Committee members will take one of the following options; watch and wait, write to Government to request a funding carry forward, apply sanctions or withdrawal of funding. The Investment Committee who will then make decisions, or recommendations to the Board accordingly. Then if necessary the Board can decide to withdraw funding as part of the Investment Committee recommendation within Board consent paper. See Annex P for full details of the funding withdrawal process.

Where a decision is taken not to pursue recovering where non-compliance and there are legal grounds to do so this will be clearly justified in the record of the decision.

Where a delivery body also sets out plans to draw down funding within a particular year and those plans have been presented to a relevant Committee or represented to the LEP in written correspondence, the LEP will if required, in order to achieve overall expenditure draw down commitments that have been made to Government, withdraw such funding permanently from projects, to be redeployed to new schemes. Such decisions will be taken by the relevant Committee by recommendation to the Board.

4.6 Future Grant Investments & Pipeline Projects

If and when we have available funding, or returned grant funding to deploy, we may revert to our existing pipeline of projects or issue targeted commissioning 'project calls' to build a new pipeline of projects in line with Gatwick 360 , or Build Back: Stronger Smarter Greener Programme. **These project calls may identify different categories of projects to include;**

- Projects that the LEP will lead and broker partner involvement in.
- Projects that the LEP will invest future grant funding in.
- Projects that the LEP will advocate strongly for but is less likely to provide investment in.

We will have open and transparent calls for projects. We reserve the right to commission any single Delivery Body subject to public procurement and our procurement policy requirements provided the Investment Committee is satisfied that is the most suitable Body to deliver the project and that no other body would be equally equipped.

All calls for project expressions of interest (EOIs), or bids will be developed through our Integrated Programme Office (IPO), and advertised openly by being published on

the Coast to Capital [website](#) and notifications being sent out to our stakeholders and partners. The selection criteria and selection processes are transparent, and will be available through 'bid call' guidance. Both private and public sector organisations can apply for funding on the basis that necessary criteria is met, in addition to meeting a matched funding contribution.

Expressions of interest will be reviewed by the IPO and the Strategy and Policy team to determine strategic alignment and support. Project initiation documents would be issued by the IPO, with applications for funding, and business cases following our Gateway system as set out below;

- **Gate 1:** The Investment Committee Sub-Committee (Annex F) will evaluate and review applications/business cases.
- **Gate 2:** The Investment Committee (Annex E) will review and sign off business cases or applications with a value of up to £2 million of funding.
- **Gate 3:** The Board will receive recommendations from the Investment Committee for approving business cases with a value of over £2 million. The Board also notes any decisions taken by the Investment Committee on business cases or applications under £2 million.

The Board have the opportunity to raise questions against any decision or approval taken by the Investment Committee, but the Board cannot overturn decisions made and can only ask for their re-consideration.

Once a project application or business case has been approved, Brighton and Hove City Council in its role as Accountable Body, will agree that Coast to Capital can enter into a funding agreement with the successful Delivery Body; detailing the roles and responsibilities of the parties and setting out how grant funding will be released to the delivery body.

The projects will then be monitored robustly by the IPO through the lifetime of the project and a robust audit trail is kept to demonstrate compliance.

Any decision that is made in contravention of the gateway process set out here will be invalid on the basis of non-compliance unless the Board has given prior approval for variation in the decision making process.

Further information in relation to the IPO and Gateway process can be found in Annex L.

4.7 Achieving Value for Money

Coast to Capital strives to achieve the best value for money in its operation and expenditure of public funds through the below measures. The Chief Executive is the named officer responsible for ensuring value for money and the identification and management of risk associated with the same:

i. Procurement Policy for our own purchases

The Coast to Capital Procurement Policy is in Annex R. It sets out the standards by which we undertake procurement of goods and services to

ensure we obtain best value for money and operate in a fair and transparent way.

ii. Business Case Appraisal

We ensure that thorough reviews of business cases and their supporting documentation is undertaken prior to any funding approvals by the Investment Committee, or Board. This can include taking expert advice from consultants around the value for money of projects, in addition to the appraisal of strategic alignment, project risks and outcomes in line with the Government funding guidance.

iii. Conditions applied to funding agreements

We expect all of our delivery bodies to which we make funding grants, to operate to best practice in relation to the procurement of goods, services and contracts. Our funding clauses impose these requirements and we will audit through our reviews to ensure that delivery partners adhere to these standards. Delivery Bodies may be required to evidence prior to issuing funding agreements that they operate best practice procurement regimes; in most instances this will be by ensuring compliance with the Public Contract regulations 2015.

These standards include the delivery body demonstrating robust procurement procedures that follow best practice for the goods, services and contracts that they intend to purchase with Coast to Capital funding. This would include the delivery body demonstrating an appropriate written procurement procedure before funding awards are made, which details a robust and competitive approach to procurement through competitive quotations or tendering, with appropriate pre-qualified providers. We will also seek to ensure that delivery bodies operate fair and open tendering procedures, including pre-qualification of providers.

iv. Monitoring outputs and wider impacts from projects that we fund

We monitor projects that we fund, across their whole life cycle and use an audit process, based upon the Government's Gateway review system. Those staff undertaking these review audits will all be gateway trained via the Government's accredited Gateway training provider – Local Partnerships.

The gateway process is a comprehensive best practice approach to project monitoring and is an established methodology to ensure robust standards of project delivery. Unless each key gateway stage is satisfied by delivery bodies, staged funding payments will not be released. On the basis of these findings, project delivery bodies will be called to account including by being asked to attend Investment Committee meetings. Funding may be withdrawn on the recommendations of the Investment Committee to the Board if evidence of adequate performance is not provided. In general, funding payments are released by Coast to Capital on a quarterly basis in arrears through completion of a quarterly claim form.

v. Risk Management

Corporate risk management is governed as set out in the Risk Policy which can be found on our website.

A projects high risk report, and full risk register is published and reviewed by the Investment Committee at each meeting, upon advice from the Investments Team. The risk assessment process follows the MHCLG protocol as specified for LEPs. A specific High Risk Monitoring Protocol, and Funding Withdrawal protocol is operated by the Investment Committee and Board and is detailed in Annex Q.

vi. Social Value

How we approach and record Social Value is currently under review.

Social value is firmly in mind when evaluating projects that have received grant funding, for the purposes of sharing achievements and understanding the true value and impact of the project.

For future projects, we will be ensuring that social value becomes a key part of the business case review and appraisal to help inform decision making. Projects will then report on social value as part of monitoring processes.

Coast to Capital Nominations Committee Terms of Reference

1. Purpose

The Nominations Committee is responsible for Coast to Capital Board recruitment and reappointment including the Chair, Vice Chair, Chief Executive, Private Sector Directors and Co-opted Directors.

2. Accountability

The Committee is accountable to the Coast to Capital Board.

3. Responsibilities

The responsibilities of the Committee are to act in accordance with the Coast to Capital Articles and Assurance Framework to:

- Scrutinise, select and recommend to the Board the appointment of the Coast to Capital Chair.
- Scrutinise, select and recommend to the Board the appointment of the Coast to Capital Vice Chair.
- Scrutinise, select and recommend to the Board the appointment of the Coast to Capital Chief Executive.
- Scrutinise, select and recommend to the Board the appointment of Private Sector Board Directors and co-opted Directors (unless the Board decides otherwise).
- Recommend to the Board the single extension of the term of office of the Coast to Capital Chair or Vice Chair.
- Recommend to the Board the extension of the term of office of Private Sector Board Directors.

In recommending appointment/re-appointment to the Board the Committee shall give due regard to the Coast to Capital Diversity Statement.

4. Membership / Appointment / Terms of Office

The Nominations Committee is appointed by the Board to form a diverse and balanced representation from the public and private sectors represented on the Board. The Nominations Committee shall constitute no less than four Directors as per the Articles.

The Board will appoint one of the four Directors as Chair of the Nominations Committee who will report to the Board. The Board will also appoint a Vice-Chair from among the members of the Nominations Committee who may act in the event the Chair is unable to do so.

The Coast to Capital Chair will Chair the Nominations Committee established to appoint the Vice Chair and Chief Executive. The current Chair may not sit on the Nominations Committee established to appoint their successor but will be involved in an advisory capacity. The Coast to Capital Chair may be appointed to the Nominations Committee established to appoint Board Directors and Co-opted Directors.

The Chief Executive may not sit on the Nominations Committee established to appoint their successor or the Chair. They may be involved in the appointment of the Chair in an advisory capacity. The Chief Executive may be appointed to the Nominations Committee established to appoint the Vice Chair, Board Directors and Co-opted Directors.

The Nominations Committee may from time to time appoint persons from the business community to assist it in the selection of the Chair, provided that such appointed persons do not comprise more than one third of the number of the Nominations Committee. The Nominations Committee may also seek specialist advice from the business community (in addition to any appointed persons).

Members of the Committee are appointed for the duration of a specific recruitment campaign and agreed by the Board. Each time the Nominations Committee is established, at least one new member should be appointed.

A representative from the Accountable Body is invited to attend the meetings to ensure a robust and impartial process.

5. Quorum

No business shall be transacted at any meeting of the Committee unless three Board Directors are present, one of whom shall be a Private Sector Director and one of whom is either the Chair or Vice-Chair.

Decisions shall be made by a majority in attendance and voting at the meeting. In the event of an equality of votes on either side, the Chair shall have a second or casting vote and may use their casting vote even where they have not used their first vote.

6. Decision Making

The Nominations Committee is held in private.

Having due regard to the requirements of the Assurance Framework and Articles and following scrutiny, interview and selection of the eligible applicant/s, the Nominations Committee makes a recommendation to the Board which makes the final decision.

7. Frequency of Meetings

Committee meetings will be held as required.

The Committee may hold some meetings by telephone or by using electronic communication should this be necessary.

8. Conflicts of Interests

Members of the Committee are subject to the Coast to Capital Conflicts of Interest Policy as set out in the Assurance Framework. Committee meetings will operate in line with this policy.

9. Transparency

Minutes from the meetings are not published but will be shared with the Board on a confidential basis.

10. Sub Groups

No Working Groups or Task and Finish Groups are required to support the purpose of this Committee.

11. Duty to Collaborate

The Committee will have due regard for the need to collaborate with other Committees.

Finance and Resources Committee Terms of Reference

1. Purpose

The Finance and Resources Committee is responsible for the oversight of the company's financial strategy and performance, and the effective use of the company's resources.

2. Accountability

The Committee is accountable to the Coast to Capital Board.

3. Responsibilities

Finance

The **Finance** responsibilities of the Committee are to exercise the powers and duties of the Board in respect of the financial administration of the company, except for those items specifically reserved for the Board and those delegated to the Chief Executive and other staff. In particular to:

- Advise on the company's Strategic Financial Planning, Investment Planning and Commercial Strategy Development.
- Review the Annual Budget prior to the start of each financial year and recommend it to the Board.
- Review the Budget each quarter, including in-year adjustments and advise on appropriate action as required.
- Agree financial policies, such as the Procurement Policy.
- Ensure there is proper and complete separation between decisions to purchase and the payment of suppliers.
- Approve changes to the Company bank mandate.

The Audit and Risk Committee is responsible for recommending the draft Year-end Financial Statements to the Board; however, members of the Finance and Resources Committee will be invited to the Audit and Risk meeting where these are discussed.

Resources

The **Resources** responsibilities of the Committee are to:

- Authorise permanent changes to the company's establishment.
- Review Board development and performance.
- Determine conditions of employment for Coast to Capital employees.
- Take decisions on pay awards for Coast to Capital employees.
- Provide oversight and accountability of the Chief Executive.
- To monitor major corporate projects as required.

- Ensure that there are annual independent checks of assets and the asset register.
- Authorise the sustainable disposal of individual items of equipment and materials that have become surplus to requirements, unusable or obsolete with an original purchase value of up to £5,000 and reporting such authorisations to the Board.

4. Membership / Appointment / Terms of Office

Membership includes:

- A Chair
- A Vice Chair
- At least one other Board Director
- At least one independent Member

The Chair and Vice Chair must be Board Directors.

Members of the Committee are appointed by the Board based on their skills and experience.

The Chair, Vice Chair and Board Director terms on the Committee run concurrent with their Board Director terms.

The term of an Independent Member is three years. On expiry an Independent Member shall be eligible for reappointment for up to two further three-year terms subject to approval by the Board. Independent Member appointment to the Committee is subject to the same due diligence checks as Board Directors as set out in the Assurance Framework.

Members of the Audit and Risk Committee cannot be members of the Finance and Resources Committee and vice versa.

The Coast to Capital Chief Executive is a non-voting member of the Committee.

The Accountable Body attends the Committee meetings.

5. Quorum

No business shall be transacted at any meeting of the Committee unless at least three of the members are present including the Chair, or in their absence, the Vice Chair.

6. Decision making

Decision making will be by consensus. Where it is not possible to achieve a consensus, the Chair will refer the decision to the Coast to Capital Board.

7. Conflicts of Interest

Members of the Committee are subject to the Coast to Capital Conflicts of Interest Policy as set out in the Assurance Framework. Committee meetings will operate in line with this policy.

8. Transparency

Committee papers and minutes are published in line with the requirements set out in the Assurance Framework.

9. Sub Groups

The Committee may establish such Working Groups and Task and Finish Groups as it deems necessary. However, overall accountability to the Board will remain with the Committee.

10. Duty to Collaborate

The Committee recognises that there will some cross over in objectives and activities with other Committee, in particular the Audit and Risk Committee and the Nominations Committee and will have due regard for this and the need to collaborate.

Audit and Risk Committee Terms of Reference

1. Purpose

The Audit and Risk Committee is responsible for overseeing the Coast to Capital Assurance Framework, Annual Audit Plan, External Audit and Risk Management process.

2. Accountability

The Committee is accountable to the Coast to Capital Board.

3. Responsibilities

The responsibilities of the Committee are to:

- Oversee the Coast to Capital Assurance Framework and its compliance with the National Assurance Framework, ensuring company compliance.
- Agree the Annual Audit Plan and oversee its delivery.
- Review the draft Year-end Financial Statements and Annual External Auditor Report addressing any significant issues in advance of final recommendation to the Board for approval (Finance and Resources Committee members will be invited to attend the meeting where these are considered).
- Make recommendation to the Board on the appointment of the Accountable Body and monitor the arrangements.
- Oversee the Coast to Capital Risk Management process.
- Recommend to the Board the appointment of the external auditors.

4. Membership / Appointment / Terms of Office

Membership includes:

- Chair
- Vice Chair
- at least two other Board Directors
- at least two independent members reflecting business and local government expertise

The Chair and Vice Chair must be Board Directors.

Members of the Committee are appointed by the Board based on their skills and experience.

Chair, Vice Chair and Board Director terms on the Committee run concurrent with their Board Director terms.

The term of an Independent Member is three years. On expiry an Independent Member shall be eligible for reappointment for up to two further three-year terms subject to approval by the Board. Independent Member appointment to the Committee is subject to the same due diligence checks as Board Directors as set out in the Assurance Framework.

Members of the Audit and Risk Committee cannot be members of the Finance and Resources Committee and vice versa.

The Coast to Capital Chief Executive is a non-voting member of the Committee.

The Accountable Body attends the Committee meetings.

5. Quorum

No business shall be transacted at any meeting of the Committee unless at least three of the members are present including the Chair, or in their absence, the Vice Chair.

6. Decision making

Decision making will be by consensus. Where it is not possible to achieve a consensus, the Chair will refer the decision to the Coast to Capital Board.

7. Frequency of meetings

The Committee will meet quarterly. Two full meeting (June and November) and two risk focused meetings (September and February). Further meetings may be added at the Committee's discretion.

8. Conflicts of Interest

Members of the Committee are subject to the Coast to Capital Conflicts of Interest Policy as set out in the Assurance Framework. Committee meetings will operate in line with this policy.

9. Transparency

Committee papers and minutes are published in line with the requirements set out in the Assurance Framework.

10. Sub Groups

The Committee may establish such Working Groups and Task and Finish Groups as it deems necessary. However, overall accountability to the Board will remain with the Committee.

11. Duty to Collaborate

The Committee recognises that there will some cross over in objectives and activities with other Committees, in particular the Finances and Resources Committee and will have due regard for this and the need to collaborate.

Joint Committee Terms of Reference

1. Purpose

The over-arching purpose of the Joint Committee is to promote and support sustainable economic development and growth across the area served by the Coast to Capital Local Enterprise Partnership (“the LEP”). To achieve this, the Joint Committee will agree the Strategic Economic Plan as developed by the Board of the LEP (“the Board”) and also may advise the Board from time to time on the economic development and growth priorities of the area. The Committee is also responsible for ensuring the democratic accountability of the LEP to all local authorities within its area.

The Joint Committee is a joint committee appointed by two or more local authorities represented on the Joint Committee in accordance with section 102(1) (b) of the Local Government Act 1972.

The Joint Committee may appoint one or more sub-committees.

The lead authority for the Joint Committee is Croydon-Brighton and Hove City Council as the Accountable Body, whose functions in that capacity shall include financial, administrative and legal support.

2. Accountability

The Joint Committee shall submit an annual report to each of the bodies represented on the Joint Committee.

3. Responsibilities

The functions of the Joint Committee are specified below, and may be exercised only in respect of the LEP Area:

- To agree the Strategic Economic Plan and its revisions and amendments as proposed to the Joint Committee by the Board.
- To provide strategic advice to the Board from time to time on the economic development and growth priorities for the LEP Area.
- To nominate on request from the Board representatives from the district and borough local authorities who are members of the Joint Committee to serve as Directors on the Board.

4. Membership

The following bodies shall be members of the Joint Committee:

County/Unitary Authorities

Brighton & Hove City Council
~~London Borough of Croydon~~
Surrey County Council
West Sussex County Council

District and Borough Authorities

Adur District Council
Worthing Borough Council
~~Lewes District Council~~
Mid-Sussex District Council
Horsham District Council
Crawley District Council
Arun District Council
Chichester District Council
Epsom and Ewell District Council
Tandridge District Council
Mole Valley District Council
Reigate and Banstead District Council

South Downs National Park Authority

Each of the bodies listed above shall be represented at the Joint Committee by one person.

Each local authority member shall be represented at the Joint Committee by an elected Member nominated annually or a nominated substitute.

The South Downs National Park Authority shall be represented at the Joint Committee by its Chair

The Chair and Vice Chair of the Joint Committee shall be the District Council representatives on the Board as agreed by the Coast to Capital Chair.

Where a representative of a member of the Joint Committee is unable to attend a Joint Committee meeting, a substitute representative of that member (if approved by it) may attend, speak and vote, in their place for that meeting.

A substitute member must be appointed from a list of approved substitutes submitted by the respective member to the Joint Committee at the start of each municipal year.

The LEP shall have the right to attend meetings of the Joint Committee as an observer and to provide information and advice as requested by the Joint Committee, but will not have any role in voting or decision making.

5. Quorum

No business shall be transacted at any meeting of the Joint Committee unless at least eleven of the whole number of voting members are present.

In no case shall any business of the Joint Committee be transacted unless at least two voting representatives from the County/Unitary Authorities are present.

6. Decision Making

Decisions will be made on a simple majority of votes cast by members represented at a meeting.

Where voting at a meeting results in an equal number of votes cast in favour and against, the Chair of the Joint Committee shall have a casting vote.

7. Frequency of Meetings

The Joint Committee will meet annually.

The Chair of the Joint Committee may call a special meeting of the Joint Committee at any time, subject to providing members with minimum notice of ten working days.

8. Conflicts of Interest

Members of the Committee are subject to the Coast to Capital Conflicts of Interest Policy as set out in the Assurance Framework. Committee meetings will operate in line with this policy.

9. Transparency

Committee papers and minutes are published in line with the requirements set out in the Assurance Framework.

~~Joint Committee meeting agendas are published in advance of each meeting in two parts. Part A of the Agenda is published on our website in the public domain and any member of the public can submit a comment or view on any Part A agenda item. Public comments will be considered by the Committee at the time of the agenda item being discussed. In this way the Committee can take into account public comments before making decisions on Part A agenda items. Any items that are commercially confidential are covered under Part B of the Committee agenda. Due to the nature of these items these are not published in advance.~~

~~All Part A Committee papers are also published on our website in advance of meetings. Any member of the public wishing to comment on any Part A agenda item must send their comments to reach the Committee secretary no later than 24 hours before the meeting.~~

~~Part A agenda item minutes and decisions are published on our website following Committee meetings.~~

~~Part B agendas are not published in advance of Committee meetings, but where the Committee decides, decisions reached under Part B will be published in the public domain with or without redaction. The Committee reserves the right not to publish Part B decisions if those decisions are in themselves commercially sensitive or confidential, including any decisions that have legal confidentiality issues, or those which are legally privileged.~~

10. Administrative and legal support

Administrative and legal support to the Joint Committee shall be provided by the lead authority, such legal support to include Monitoring Officer and Proper Officer functions in relation to the Joint Committee meetings.

Other members of the Joint Committee shall contribute to the costs incurred by the lead authority in connection with the activities of the Joint Committee where such costs are incurred by the lead authority.

11. Procedure at meetings

The standing orders of the lead authority will apply to meetings of the Joint Committee.

12. Withdrawal

Any member of the Joint Committee may give six months' notice in writing of intention to withdraw from membership of the Joint Committee and involvement in the Strategic Economic Plan.

13. Review and Variation of Heads of Terms

These Heads of Terms may be varied only by complete agreement of all the members of the Joint Committee and in consultation with the LEP Board.

Investment Committee Terms of Reference - Draft

1. Purpose

The Investment Committee is responsible for the administration of grant funding streams, including the Local Growth Fund (LGF), Getting Building Fund (GBF) and future funding allocations. The Committee has delegated powers on behalf of the Coast to Capital Board to make investment decisions up to £2million, and recommendations on investments over £2million. These recommendations or approvals will be based on full business cases being fully scrutinised by either the Investment Committee, or its sub-committee.

The Investment Committee is accountable for the oversight, monitoring and governance of existing investments across both LGF and GBF portfolios, and future investments in line with Stronger, Smarter, Greener. The Committee have delegated authority to make decisions on all approved projects (whether approved by Board, or Investment Committee) in relation to risk management, business case revisions, project delivery scrutiny, output creation, and approval to issue funding agreements.

2. Accountability

The Investment Committee is a formal sub-committee of the Coast to Capital Board with delegated authority on behalf of, and accountability to the Board.

3. Responsibilities

- To approve full or part funding awards up to £2million, or recommended as relevant full or part funding awards over £2million, and to decide the terms under which this award is made.
- To receive full business cases under the Local Growth or Getting Building funds, and to determine to approve the award of a funding agreement.
- To monitor on behalf of the Board, the delivery of projects that have had funding allocations. This monitoring will include regular reporting from the Investment Team in relation to project reviews, output delivery, risk management, and financial updates. Projects that reach a high risk rating (RED or RED/AMBER) in line with the MHCLG RAG rating guidance, will follow the High Risk Monitoring Protocol.
- As part of project monitoring, the Investment Committee have the authority to call Delivery bodies into account at the Investment Committee meeting accordingly.
- To evaluate and approve project monitoring information to include; High Risk Project Report, Full Risk Register, Output Spreadsheet.

- To instruct or to give recommendations to the Board as required to ensure that the Coast to Capital Assurance Framework is discharged in relation to projects under LGF and GBF. This could include but not be limited to funding awards, setting funding conditions, imposing sanctions on delivery bodies and / or withdrawing funding in accordance with the provisions under the funding agreement, or any action as appropriate to ensure compliance with the Assurance Framework.
- To discharge the responsibilities of the decision making element of the Coast to Capital Transport Assurance Framework as required by the Department of Transport and as set out within the Coast to Capital Assurance Framework.

4. Membership

All Board members excluding the Chair of the Coast to Capital Board will be Investment Committee voting members, and are appointed to the Investment Committee by virtue of their appointment to the Board.

The LEP Chair can attend the Investment Committee as an observer, but will not have voting rights. The LEP Chair will preside over matters of contention if the Board request the Investment Committee to re-consider a decision and / or disagree with any decision taken. The LEP Chair holding observer status of the Investment Committee, ensures that when the Board is remitted decisions from the Committee, he/she will not be fettered in leading Board discussion on them.

The Chair of the Investment Committee and Deputy Chair of the Investment Committee shall be nominated by the Coast to Capital Board.

Leaders of Local Authorities may be allowed to send a Deputy in their place at the Investment Committee subject to advance approval from the Chair of the Investment Committee or Deputy Chair of the Investment Committee in the Chair's absence.

Adviser status

A number of adviser roles are in attendance at the Investment Committee to include;

- The S151 Officer or their delegate from the Accountable Body will offer administrative, financial and / or legal support to the Investment Committee insofar as that advice relates directly to the administration and management of the LGF and GBF.
- A BEIS representative
- A DFT representative when transport projects are on the agenda.
- Coast to Capital Investment Team who will provide advice to the Investment Committee.

Quorum

No business shall be transacted at any meeting of the Committee unless at least five of the total number of voting members, with a minimum of one of those voting members being Local Authority representatives, are present and voting.

Reporting & Decision making

Decision making will be by majority of vote's casts by members represented at a meeting. Where it is not possible to achieve a consensus majority, the Chair of the Investment Committee or Deputy Chair in the Chair's absence, shall have a casting vote.

Funding awards under £2million in value taken by the Investment Committee will be presented to the Board as a decision to note via the 'Investment consent paper'. Whilst these decisions are subject to the usual checks and balances in line with the Assurance Framework, the Board cannot overturn funding decisions made by the Investment Committee but can only ask for their re-consideration, after which the decision becomes final

Recommendations to the Board for funding awards over £2million, or in relation to the funding withdrawal protocol will be presented to the Board within the 'Investment consent paper'.

The Consent paper along with necessary supporting information will be circulated to all Board Members in advance of each Board meeting, giving Board Members the opportunity to raise questions against any of the items included within the consent paper. Questions must formally be raised to the Chair of the Investment Committee (copied to the Chief Operating Officer) in advance of the next Board meeting. Where comments are raised, the Board will formally discuss that particular item in the paper at the Board meeting.

Items recommended by the Investment Committee that have had no previous approval by the Board will be held until the consent paper is considered at the next Board meeting.

Conflicts of Interest

Members of the Investment Committee are subject to the Coast to Capital Conflicts of Interest Policy as set out in the Assurance Framework. Investment Committee meetings will operate in line with this policy.

Transparency

Investment Committee papers and minutes are published in line with the requirements set out in the Assurance Framework and as below;

Investment Committee meetings to cover grant funded projects (LGF & GBF) are held in private (Part B) due to the commercially sensitive/confidential nature of the Investments.

Decisions reached by this committee will be published in the public domain via the minutes with or without redaction.

Transport schemes coming forward for funding should be held in public (Part A of the Agenda) and commercially sensitive/confidential agenda items are held in private (Part B).

Sub Groups

The Committee have the authority to instruct the Investment Committee sub-committee as necessary to conduct further business case and/or project scrutiny to enable sufficient decisions to be taken. However, overall accountability to the Board will remain with the Investment Committee.

Duty to Collaborate

The Committee recognises that there will some cross over in objectives and activities with other Committee, in particular the Audit and Risk Committee and the Finance and Resources Committee and will have due regard for this and the need to collaborate.

Investment Committee Sub-Committee Terms of Reference

1. Purpose

The Investment Committee Sub-Committee is responsible for the scrutiny and appraisal of projects prior to the approval of funding by the Investment Committee or Board.

2. Accountability

The Investment Committee Sub-Committee is a formal sub-committee of the Coast to Capital Investment Committee, and is accountable to the Coast to Capital Investment Committee.

3. Responsibilities

- To exercise the duties of the Investment Committee in respect of the scrutiny and appraisal of projects and their business cases, in line with the set criteria deriving from 'Build Back Stronger, Smarter and Greener'.
- To consult where required with independent experts to determine project benefits, risk, and alignment to Stronger, Smarter, Greener.
- To recommend the Investment Committee on funding awards or project approvals following the necessary due-diligence.

4. Membership

Membership includes;

- The Coast to Capital Chief Executive – who is also chair of the sub-committee
- 2 x Board Directors
- 2 x Board Directors who are Local Authority representatives

Members of the Sub-Committee are appointed by the Investment Committee based on their skills and experience.

Adviser status

A number of adviser roles are in attendance at the Investment Committee Sub-Committee to include;

- The Accountable Body will offer administrative, financial and / or legal support to the Investment Committee Sub-Committee insofar as that advice relates directly to the administration and management of funding.
- A BEIS representative
- Coast to Capital Integrated Programme Office will provide advice to the Investment Committee Sub-Committee.

- Independent Experts – To assist with the scrutiny and appraisal of individual projects and business cases.

Quorum

No business shall be transacted at any meeting of the Committee unless at least three of the total number of members are present, including 1 Local Authority representative.

Reporting & Decision making

The Chair of the Investment Committee Sub-Committee is Accountable to the Investment Committee and therefore has full discretion over any recommendations to be made to the Investment Committee, following advice from the Sub-Committee.

Decisions and Recommendations will be presented to the Investment Committee where necessary by the Integrated Programme Office.

Conflicts of Interest

Members of the Investment Committee Sub-Committee are subject to the Coast to Capital Conflicts of Interest Policy as set out in the Assurance Framework. Investment Committee meetings will operate in line with this policy.

Transparency

Investment Committee Sub-Committee papers and minutes are published in line with the requirements set out in the Assurance Framework.

Duty to Collaborate

The Committee recognises that there will some cross over in objectives and activities with other Committee, in particular the Investment Committee, Audit and Risk Committee and the Finance and Resources Committee and will have due regard for this and the need to collaborate.

Growing Places Fund Committee Terms of Reference – Draft Revision November 2020

1. Purpose

The Growing Places Committee (GPFC) is a formal Committee of the Coast to Capital Board. The Coast to Capital Board has delegated decision making to the GPFC as detailed in the Coast to Capital Assurance Framework. This includes awards of funding (to a maximum level of £2 million), recovery action, re-statement of loans and general management of the loan portfolio.

2. Accountability

The GPFC is a formal sub-committee of the Coast to Capital Board with delegated authority on behalf of, and accountability to the Board.

The GPFC is accountable to the Coast to Capital Board for delivery of the Board's investment interventions and progress against the targets and performance indicators, agreed with the Board and which are set out in the Annual Business Plan.

The Board will be asked to approve recommendations to funding awards over £2 million as per the Assurance Framework.

3. Responsibilities

The functions of the GPFC are:

- To devise, steer, direct and implement the GPF activities of Coast to Capital LEP, as set out in its strategy.
- To review and approve GPF proposals in line to GPF criteria up to £2million, or recommended as relevant full or part funding awards over £2million, and to decide the terms under which this award is made.
- To drive and steer implementation of GPF objectives in line with strategic objectives set out by the Coast to Capital Board.
- To ensure there is effective communication with, and engagement of, stakeholders, partners and the business sector.
- To ensure revenue is generated to be able to assist in the delivery of objectives of Coast to Capital by commercial opportunities of the GPF loan portfolio.
- To monitor on behalf of the Board, the repayment of capital, the payment of loan interest and the payment of fees under any loan agreement. Also to monitor the objectives of the loan investment delivery. This monitoring will include regular reporting from the GPF Management Team in relation to loan investment reviews, risk management and financial updates.
- To consider, evaluate and provide direction to the GPF Management Team in regards to debt recovery action.

4. Membership / Appointment / Terms of Office

The standing membership will be a maximum of 8 Board members including at least one Public Sector Board Director. Unless Board Membership ceases for any of the reasons detailed in the Assurance Framework, the term of office on the Committee will be as per the term of office of their Board membership.

Board Directors will be invited to join the Committee by the Growing Places Committee and their nomination will be approved by the Board.

Appointments to the Committee will reflect the diverse demographics of the Coast to Capital area and the Coast to Capital Board's commitment to equality and diversity.

The Committee may invite further people to attend meetings if particular expertise/advice is required and any such attendees may, depending on the nature of the expertise/advice, be subject to confidentiality requirements if necessary.

The Chair will be one of the Private Sector Board Directors and shall be nominated by the Coast to Capital Board. The Deputy Chair is nominated and agreed by the Committee.

Public Sector Board Director Deputies, as agreed by the Board, will be permitted to act as a deputies for Public Sector GPFC Members where due process has been completed.

This is particularly important for this committee as it is not quorate without at least one Public Sector member being present. This is subject to advance approval from the Chair of the GPFC or the Deputy Chair of the GPFC in the Chair's absence. Nominated deputies can only be those already approved by the Board and cannot be varied.

Adviser status

A number of adviser roles are in attendance at the GPFC to include;

- The S151 Officer or their delegate from the Accountable Body will offer administrative, financial and / or legal support to the Investment Committee insofar as that advice relates directly to the administration and management of GPF.
- Coast to Capital GPF Management Team who will provide advice to the Investment Committee.

5. Quorum

No business shall be transacted at any meeting of the Committee unless at least four members, with a minimum of one of those members being Public Sector representatives, are present.

6. Reporting & Decision Making

Decision making will be by majority of vote's casts by members represented at a meeting (assuming the meeting is quorate).

Where it is not possible to achieve a consensus majority, the GPFC will refer the decision to the Coast to Capital Board.

All award of funding decisions shall be made at a formal GPFC meeting. Other decisions can be made in person at the GPFC meeting or by correspondence if a meeting cannot be arranged.

To ensure democratic accountability all decisions must involve a Public Sector Member of the Committee or their deputy.

Funding awards under £2 million in value taken by the GPFC will be presented to the Board as a decision to note via the 'GPF consent paper'.

Recommendations to the Board for funding awards over £2 million will be presented to the Board within the 'GPF consent paper'.

The Consent paper along with necessary supporting information will be circulated to all Board Directors in advance of each Board meeting, giving Board Directors the opportunity to raise questions against any of the items included within the consent paper. Questions must formally be raised to the Chair of the GPFC (copied to the Chief Operating Officer) in advance of the next Board meeting. Where comments are raised, the Board will formally discuss that particular item in the paper at the Board meeting.

7. Frequency of Meetings

The GPFC will meet four times a year. Further meetings may be added at the Committee's discretion particularly if a required decision is time critical.

8. Conflicts of Interest

Members of the GPFC are subject to the Coast to Capital Conflicts of Interest Policy as set out in the Assurance Framework. GPFC meetings will operate in line with this policy.

9. Transparency

GPFC papers and minutes are not published in the public domain due to the commercially sensitive/confidential nature of the Investments.

The Coast to Capital Board will be apprised on the status of the loan portfolio via the Chief Executive's Report and the 'GPF consent paper'.

A summary of all funding will be published in the public domain on the Coast to Capital website.

10. Duty to Collaborate

The Committee recognises that there will some cross over in objectives and activities with other Committee, in particular the Audit and Risk Committee and the Finance and Resources Committee and will have due regard for this and the need to collaborate.

Coast to Capital Skills 360 Board Terms of Reference

To be reviewed further by the Skills 360 Board.

Context

Coast to Capital's Strategic Economic Plan, Gatwick 360°, identifies the importance of skills to improving the productivity of our economy. Our area has one of the most highly skilled populations in the UK, with 44.6% of people holding a degree-level qualification. However, there are significant disparities between our towns and cities. We must address these if people across the area are to secure and maintain high quality jobs and earn an income that allows them to remain living within the area.

At the same time, our economy is evolving, shaped by new technology, the growth of new business sectors and an ageing population. Our area is typical of many, in needing to participate and invest in a strategy to change attitudes and approaches to skills development among employers, workers and parents.

Opportunity

Government's Industrial Strategy announced the introduction of Skills Advisory Panels, to be integrated into Local Enterprise Partnerships, to inform the analysis that feeds into Local Industrial Strategies. The Skills 360° Board has been established in line with the remit of a Skills Advisory Panel as set out by Government.

Being a member of the Skills 360° Board offers the opportunity to influence the way in which we create skills for the future in the Coast to Capital area. We are at a time of significant change in the UK as we move towards our exit of the European Union. This along with an ageing population and rapid advances in technology mean the skills debate is urgent and requires an innovative approach more so than ever before.

Your membership of the Skills 360 Board will involve you in policy and decision making at a regional level, helping to shape our negotiation of a Local Industrial Strategy with Government. You will support us to identify the major skills and recruitment challenges we currently face and to be a part of the solution. Your networks and influence will bring us the recognition and investment we need to deliver high quality skills education and training in the Coast to Capital area.

Purpose

Over the next 18 months, the Skills 360° Board will focus on building the evidence base and business cases which will inform Coast to Capital's development of its Local Industrial Strategy with Government.

Responsibilities

The Skills 360 Board will act as the Skills Advisory Panel for the Coast to Capital area, adhering to the full remit and responsibilities set out by Department for

Education in the [Skills Advisory Panels – Guidance on the Role and Governance](#) document at Appendix 1.

In brief the responsibilities include:

- Providing a strong leadership role on skills in the local area, engaging with employers and providers and providing skills advice to the Coast to Capital Board.
- Developing a clear understanding of current and future local skills needs and local labour market as well as the present skills and employment support provision in the local area
- Building on this high quality analysis to develop a clear approach to addressing skills and employment challenges within the local area, including by looking ahead to likely skills priorities in the coming decade
- Understanding the wider dependencies in the local area and working together with other parts of the LEP
- Acting as co-ordinator of local skills providers fostering cooperation between providers in mix of provision, planning for how skills needs are met and planning for T-level implementation and delivery
- Working closely with careers advisory services (National Careers Service and Careers Enterprise Company) to ensure that potential learners are informed about potential career routes within a local area, and that all careers information and guidance is informed by up-to-date local labour market information
- Raising the profile of apprenticeships with local employers and providers.
- Advising where skills and labour market resource should be directed to support local employers and residents, using its understanding of existing employment support provision in the local area and the needs of the local labour market.
- Sharing analysis and best practice, as widely and transparently as possible, with central government and other Skills Advisory Panels to learn from each other and tackle wider skills challenges

The Skills 360° Board will provide regular progress reports to the Coast to Capital Board.

Membership

Board structure

The Coast to Capital Skills 360° Board will be formed of up to 15 members including the Chair. Two thirds of members will be drawn from local private sector businesses.

Members will be from organisations within the Coast to Capital LEP area and comprise of:

- The Skills Priority Lead from the Coast to Capital Board who will be the Chair
- A minimum of nine senior representatives from private/public business sector
- One senior representative from the Higher Education (HE) sector
- One senior representative from the Further Education (FE) college sector
- One senior representative from an Independent Training Provider
- One senior representative from a community and voluntary sector organisation
- The Coast to Capital Chief Executive or nominated member of the executive team

The Skills 360 Board will report into the Coast to Capital Board via the Skills 360° Board Chair.

See Appendix 2 for the Skills 360 Board Structure.

Board member recruitment

Recruitment of Skills 360° Board members will be through an open and transparent application process

Board member roles

The role of business sector members is to represent the views and interest of private businesses, as well as to support understanding of the skills needs of businesses and identify where investment is needed to create the skills for the future of the Coast to Capital area.

The role of the education sector members is to represent the views and interests of the further and higher education sector and to bring a comprehensive knowledge of the education policy and funding landscape.

The role of the community and voluntary sector member is to represent the views and interests of their clients and communities and to bring a comprehensive knowledge of the community and voluntary sector landscape.

Members of the Coast to Capital Skills 360° Board will be of sufficient seniority to make decisions on behalf of their organisations and to influence the actions and decisions of other organisations and senior government officials.

Members of the Coast to Capital Skills 360° Board will:

- Make impartial decisions that progress the priorities within the Strategic Economic Plan leading to the agreement of a Local Industrial Strategy for the Coast to Capital area

- Promote the work and priorities of the Coast to Capital Skills 360°Board within their organisations, communities and partnerships
- Be the main link between Coast to Capital Skills 360°Board and those that they represent

The Coast to Capital Skills 360°Board Chair will:

- Chair the Coast to Capital Skills 360°Board meetings, and provide the casting vote where necessary.
- Ensure that all representatives have a fair and equal opportunity to contribute to debate without censor.
- Report on the progress of the Skills 360° Board to the Coast to Capital Board.
- Act as the key spokesperson for the Coast to Capital Skills 360° Board, where necessary.
- Make sure that conflicts of interest are properly managed or avoided.

Relevant local members of government organisations such as Education and Skills Funding Agency and Local Growth Unit will be invited to attend meetings as observers.

Other experts may be invited to present and to report on specific agenda items on an ad hoc basis.

Tenure

The remit, role and membership of the Skills 360° Board will be reviewed after two years as we move from negotiation to delivery of the Coast to Capital Local Industrial Strategy.

Board attendance

Members are expected to attend all meetings. In exceptional circumstances, with the written consent of the Chair, members may send a previously nominated substitute. Requests to send substitutes should be made to the Secretariat at least three days before the meeting.

Secretariat

The Secretariat for Coast to Capital Skills 360°Board will be provided by Coast to Capital LEP. Its main responsibilities will be to:

- Organise Skills 360°Board meetings, agreeing dates and venues, and providing agendas and background papers a week in advance
- Produce the minutes of meetings and ensure that these are circulated to Coast to Capital Skills 360°Board members

- Convene and facilitate Expert Groups and support the implementation and delivery of other actions, in accordance with decisions made by Coast to Capital Skills 360° Board
- Liaise with the Coast to Capital Skills 360° Board Chair and members on other matters as required

Meeting frequency and decision-making

The Coast to Capital Skills 360° Board will meet quarterly during the development of the Local Industrial Strategy. Meeting frequency will be reviewed after 18 months.

Half of the members of Coast to Capital Skills 360° Board will constitute a quorum. Decisions will be made by a majority of the number of members present and voting at meetings. In the event of a drawn vote, the Chair will make the casting vote.

Where decisions are required outside meetings, these can be made via written procedure (email) with the agreement of the Chair, co-ordinated by the Secretariat (Coast to Capital LEP). Five working days will be allowed for a response; a nil response will be taken as an abstention.

Conflict of Interest

The Coast to Capital Skills 360° Board will often be involved with commenting on or advising on investment decisions and/or significant policy recommendations.

A Register of Interests shall be held by the Coast to Capital Skills 360° Board Secretariat. All members are required to complete a Declaration of Interest form, recording details of any relationship or other financial or personal interest which might conflict with their duties to Skills 360° Board. Copies of all declarations are retained by the Secretariat of Skills 360° Board.

If any members, through personal interests, employment, relatives or close personal friendship, have any interest at all, these should be declared through the Chair at the beginning of each meeting and this will be recorded in the minutes.

Equality and Diversity

Coast to Capital is committed to achieving diversity and equality of opportunity. Members of the Coast to Capital Skills 360° Board are required to adhere to the Coast to Capital Equality & Diversity Policy and to maintain high standards in the way they undertake their duties. All members are de-facto representatives of Coast to Capital LEP, and therefore their actions impact on the way in which the Coast to Capital LEP is viewed by the public.

Transparency

Meetings are not public meetings but will endeavour to operate in an open and transparent manner at all times.

Approved minutes and other relevant documents such as Term of Reference and Board membership shall be made publically available via the Coast to Capital LEP website in line with the agreed process and timescales for the publication of agendas, papers and minutes.

EU Structural and Investment Funds (ESIF) Committee

The Coast to Capital ESIF Committee supervises the development and administration of the LEP's European Structural and Investment Funding Programme ('ESIF'). It is a local sub-committee of the national Growth Programme Board for ESIF. The ESIF Committee is not a sub-group of the LEP Board, however its geographical coverage is contiguous with that of Coast to Capital.

The ESIF committee will undertake a range of functions around the ESIF programme but is not a decision-making body, rather it will provide recommendations on strategic fit and value for money to the Managing Authorities for ESIF. The LEP has responsibility for recruitment to the ESIF committee.

The membership of the ESIF committee is subject to European regulations and includes a wide range of representation from across the public, private and not-for-profit sectors. The LEP supports the appointment of a Chair for the ESIF committee from amongst its network of partners. Other members have been appointed through nomination by their sector.

The membership of the ESIF committee comprises representatives from the following sectors:

- Coast to Capital
- Local authorities
- Private sector
- Not-for-profit sector
- Environmental
- Trade unions
- Higher education
- Further education
- Wider education and skills sectors
- Rural
- Equality and diversity; and
- ESIF Managing Authorities for European Structural Fund (ESF), European Regional Development Fund (ERDF) and European Agricultural Fund for Regional Development (EAFRD)

Executive Committee Terms of Reference

1. Purpose

The Executive Committee oversees all actions carried out by the Executive team of Coast to Capital including the delivery of the business plan, as well as operational day to day management of the LEP. It is the forum where cross cutting areas such as human resources, finance, communications, commercial and office management issues are discussed and agreed.

2. Accountability

The Executive Committee is accountable to the Chief Executive and operates in line with the scheme of delegation.

3. Responsibilities

The responsibilities of the Committee are to:

- Set and monitor the delivery of the annual business plan.
- Oversee and manage the operational budget including budget setting and monthly reporting.
- Oversee staff management and appraisal.
- Oversee the execution of the Board set strategy.
- Deliver its responsibilities in relation to risk management including reviewing company top risks and external risks.
- Manage key corporate projects.
- Manage cross cutting working.

4. Membership / Appointment / Terms of Office

Membership of the Committee is approved by the Chief Executive and includes:

- Chief Executive
- Chief Operating Officer
- Head of Corporate Affairs
- Head of Finance
- Head of Strategy & Policy
- Head of Services
- Investment Manager
- Office Manager
- Risk Manager
- and any other LEP staff member as invited by the Chief Executive

The term of office of members of the Executive Committee is contiguous with their individual employment term of office.

5. Quorum

No business shall be transacted at any meeting of the Executive Committee unless at least five of the members are present.

6. Decision Making

Decision making will be by majority vote, either for those present at the meeting or five if by correspondence.

7. Frequency of meetings

The Executive Committee meets monthly.

8. Conflicts of Interest

Members of the Committee are subject to the Coast to Capital Conflicts of Interest Policy as set out in the Assurance Framework. Committee meetings will operate in line with this policy.

9. Transparency

This is an executive management committee and is not held in the public domain. Action and decision points are recorded but not publically published. Board members have full access to these on request.

10. Sub Groups

The Committee may establish such Working Groups and Task and Finish Groups as it deems necessary.

11. Duty to Collaborate

The Committee recognises that there will some cross over in objectives and activities with other Committees, in particular the Finances and Resources Committee and the Audit and Risk Committee and will have due regard for this and the need to collaborate.

Annex K

The Transport Assurance Framework

- 1.0. This annex sets out the Coast to Capital approach for the assessment and administration of transport projects under the Local Growth Fund in line with the detailed framework prescribed by the Department for Transport and the National Local Growth Assurance Framework 2019.
- 2.0. The Investment Committee shall discharge the duties as required by the Department for Transport for making decisions or recommendations to the Board on the distribution of funding for Transport Schemes. This section of the LEP Assurance Framework details the Transport Assurance Framework that the LEP will operate through this Committee.

3.0. Transparency of decision making

Publication of meeting papers and agendas in relation to Transport and Resilience schemes coming forward for funding shall take place in accordance with Section 3 and the time frames in section 1.5 of the Assurance Framework. For the purposes of Transport Schemes, the publication of meeting papers will include the publication of business cases to publicise these and to allow for external comment prior to a decisions being taken as to whether or not to approve funding.

All funding applications and business cases, approved by the Investment Committee or Board along with any recommendations will be published on the Coast to Capital website.

Members of the public can comment on funding applications before the Investment Committee conducts its evaluation of bids. Opinions expressed by the public and stakeholders shall be available to decision makers when decisions are taken. The minutes of the Investment Committee will record the consideration of public comments taken by the Committee.

Coast to Capital will respond to all requests for information in regard to transport and resilience schemes in line with our Freedom of Information policy described in the Assurance Framework.

- 4.0. The Investment Committee or Board will be advised by an expert Transport Advisor on transport and resilience funding applications, to include Value for Money assessment.

The LEP will ensure that the Highways Agency and Network Rail are fully sighted on any strategic road or rail schemes that are to be considered for funding so that their views on deliverability and impact on the wider network can be considered and taken into account in the initial prioritisation exercise. In cases where schemes have any impact on train

services, the Train Operating Company and DfT (rail) will also be consulted.

5.0. Transport Scheme Eligibility

Only well-defined and thoroughly researched schemes with a minimum of 15% match funding from the scheme applicant will be considered for funding. Letters of support from the geographic local authorities in which the scheme will be delivered are mandatory.

- 6.0. Before any scheme comes forward to the Investment Committee or Board, an independent scheme assessment will be received from an Independent Transport Advisor along with recommendations.

Funding applications will all be considered by the Investment Committee, who have delegated authority to make decisions up to £2million. For applications over £2million, the Investment Committee will make recommendations to the Board for final approval within the consent paper.

Upon approval the Investments team will issue a funding agreement, which will contain a range of legal conditions that must be satisfied by delivery bodies in order to draw funding down.

Individual scheme business cases submitted by delivery bodies will be checked for compliance against the requirements of the DfT Business Case guidance as detailed more fully below.

7.0. Specific Transport Business Case Requirements

Major transport projects will be required to submit Business cases in accordance with the guidance published in WebTAG. Central case assessments must be based on forecasts which are consistent with the definitive version of NTEM which is the DfT's planning data set. This National Assurance Framework requirement shall not preclude Coast to Capital from considering alternative planning assumptions as sensitivity tests and considering the results of these in coming to a decision about whether to approve a scheme. For schemes with low costs (below £5million) it is expected that a more proportionate approach will be taken.

Scheme promoters are encouraged to consult with an independent Transport Advisor that can be recommended by the LEP prior to submitting scheme applications. The independent transport advisor will assess the modelling and appraisal of schemes to ensure it has been developed in accordance with the WebTAG and DfT advice on assessing Value for Money (VfM).

The appraisal and modelling will be scrutinised by an Independent Transport Advisor commissioned by Coast to Capital to ensure it has been

developed in accordance with the WebTAG. This will be undertaken independent of the management unit or authority promoting the scheme.

All business cases should contain a VfM statement in line with published DfT WebTAG guidance, and schemes will have an individual VfM assessment in accordance with DfT advice on assessing VfM, by the Coast to Capital's Independent Transport Advisor. This information will be presented for consideration by Coast to Capital at each approval stage as required by the National Assurance Framework. The VfM assessment shall be signed off as true and accurate by the Independent Transport Advisor commissioned by Coast to Capital. The Independent Transport advisor that is commissioned by Coast to Capital will also provide an assessment for consideration by Coast to Capital to enable a determination as to whether the scheme is fit for purpose in terms of modelling and social and distributional impacts. Coast to Capital's Independent Transport Advisor will be different from any Transport Advisor used by scheme promoters.

Only schemes that offer 'high' or 'very high' VfM as assessed using DfT guidance will be recommended for funding support.

8.0. Release of funding, approval conditions, evaluation and monitoring of outcomes

Funding contributions for transport schemes are capped at the award level with funding agreements specifying that the delivery body is contractually responsible for making up any shortfall in funding and contractually obliged to discharge the scheme fully in line with the committed outputs.

Each funding agreement will have a range of standard and scheme specific conditions. The agreement will be signed as a deed, therefore signalling full acceptance of the conditions by the promoting authority including their Section 151 Officer.

Evaluation and monitoring requirements for transport and resilience schemes will be set as per the funding agreements and specified by the LEP Investments Team. This will include a condition for an agreed evaluation plan.

The drawdown of funding on each scheme is through the submission of quarterly funding returns. Funding will only be paid in arrears subject to evidenced expenditure and match funding contributions from the delivery body. Funding release occurs only upon the LEP making recommendations to the accountable body to release payments.

The LEP monitoring processes will require regular provision of project delivery and financial information in addition to quarterly financial returns.

This approach will also involve the conducting of project audits by LEP trained gateway reviewers at key delivery stages.

Transport projects are evaluated and monitored under the processes set out in Annex M.

Annex L

How Funding Decisions are made

We have a bespoke decision making process for all Investment activity included within our governance structures. The following sections explore these in turn:

1.0. Legacy Projects

Grant funding is now fully allocated from both the Local Growth Fund (LGF) and Getting Building Fund (GBF). Coast to Capital distributes this funding on behalf of Government, following previous 'calls for projects' against criteria that has aligned with our strategy. Decisions on legacy LGF and GBF will have been taken by the Investment Committee and/or Board, and are captured within Committee minutes which are published on our website. For further information around historic decision making or processes please contact Coast to Capital.

Legacy projects from both LGF and GBF will be delivering up until 31st March 2025, and the Investment Committee will take decisions on projects to include;

- Flexibility funding release
- Changes to project scope
- Variations in project outputs
- Variations in project milestones
- Actions to mitigate risk

In the instance a project and the delivery of outcomes or milestones is at risk, the Investment Committee can recommend the Board to withdraw funding; as set out in Annex P. If any legacy funding becomes available, Coast to Capital then has discretion subject to discussions with BEIS to award or re-allocate this funding through the governance structures as set out below in section 2.0.

2.0. New Funding

If and when funding becomes available, we may revert to our existing pipeline of projects or issue targeted commissioning 'project calls' to build a new pipeline of projects in line with Gatwick 360, or Build Back: Stronger Smarter Greener Programme.

All funding calls for future projects will be developed through our Integrated Programme Office (IPO), and advertised openly by being published on the Coast to Capital [website](#) and notifications being sent out to our stakeholders and partners. This will include the publication of the necessary application or business case templates, and may include frequently asked questions (FAQ's) to provide further information that may not necessarily be covered in the standard guidance.

The Investment Team will lead this process, and will complete initial application/business case checks against the criteria and guidance as published on

the website. Any non-compliant applications/business cases, as deemed by the Investments Team, will be rejected and not considered as part of the 'funding call' in question. Applicants will be notified by letter of non-compliant applications. The initial compliance check also includes a review by our Accountable Body in relation to the funding and state aid checks to ensure that if the application was funded, the grant would comply with state aid legislation. If the application would not be compliant, it will be rejected and the applicant notified by letter accordingly.

Where required, the IPO can commission an independent consultant to undertake an appraisal on applications to help determine the value for money, and score each project against a set of criteria, which would have been published on the website. The appraisal process will include seeking further clarification points against information presented within the application/business case where required.

The scoring exercise will determine a long list of ranked projects, and the IPO will recommend to the Investment Committee the appropriate 'cut off threshold' for a shortlist of projects. All shortlisted projects to include the application/business cases, and the appraisal documentation will be sent to each member of the Investment Committee subject to no declarations of interest. Members' Declaration of Interest forms will be checked by the Investment team to identify conflicts. The position in relation to conflicted members is approved by the Chief Operating Officer before sending.

Members of the Investment Committee will evaluate and score each application against the same set of criteria. There will be no formal discussion of individual scores, and members must submit scores to the Investment Team, who will calculate the final average score for each project.

The Investment Committee will then be presented with a final ranked list of projects, with formal recommendations on funding allocations, with the highest scores determining the priority for funding. The Accountable Body attend each Investment Committee meeting and therefore are fully aware of all decisions made / recommended in their presence. All decisions can only be made at quorate meetings.

The Investment Committee will make decisions on merit having taken into account all of the relevant information available at the time of evaluation, and will also decide whether a recommendation for full or part funding of applications is made.

Funding awards up to £2million and recommendations for funding award approval over £2million shall be reported to the LEP Board through a single consent paper presented at each Board meeting. This will include a summary of the relevant information, with the relevant documents and information to support decisions and recommendations made available to Board Members in advance of the meeting via the Board Portal.

The Investment Committee is also responsible for deciding / recommending the terms and conditions attached to the funding in accordance with the above, together with the magnitude of funding.

Funding decisions and/or recommendations taken by the Investment Committee are formally noted within the meeting minutes, and distributed to all Investment Committee members for approval, prior to being published on our website. The Accountable Body also receives the minutes at this stage. Coast to Capital reserves the right to redact minutes based on its sole discretion to decide what information is commercially confidential.

2.1. Pipeline Projects

Where funding is not available, Coast to Capital may still publish calls for 'expressions of interest' (EOI), to help build a strong pipeline in line with Gatwick 360, or Build Back: Stronger Smarter Greener Programme. **These project calls may identify different categories of projects to include;**

- Projects that the LEP will lead and broker partner involvement in.
- Projects that the LEP will invest future grant funding in.
- Projects that the LEP will advocate strongly for but is less likely to provide investment in.

The Programme Delivery Team will review the EOI's and determine the strategic alignment, and categorise the level of support required. Projects arising from the EOI's will then follow the Gateway system, where the IPO will issue project documentation to help the development of business cases, which may lead to future funding decisions.

2.2. Integrated Programme Office

The IPO will act to provide a centre of excellence, through setting the standards, processes and expectations to support the successful delivery and management of the Build Back: Stronger, Smarter, Greener programme (SSG). This will include implementing the framework and ensuring quality assurance and gateway project reviews across the programme for a projects entire duration. Existing legacy projects (LGF and GBF) will continue to run through the existing Investment Committee Governance process.

The Integrated Programme Office will be responsible for:

- Developing a suite of project template documentation and resources that can be issued for individual projects to assist with project delivery, and to enable sufficient project monitoring, and reporting back to the IPO.

- Providing advice and guidance to the Programme Delivery team, to assist project delivery, including business case development and the application of a Gateway approval process in line with the Local Partnerships model.
- Receiving updates from the Programme Delivery team around stakeholder engagement and where required help to steer future strategic direction, and working collaboratively to develop pipeline projects.
- To agree the pipeline prioritisation process following recommendations from the Programme Delivery Team, with the IPO leading transparent and fair 'call' processes where Government Funding announcements are made, or commercial funding becomes available.
- Articulating the skill sets required to deliver individual projects arising from the pipeline to enable the Programme delivery team to take projects forward.
- Reviewing project documentation and agreeing funding allocations from the Smarter, Stronger, Greener 'designated fund' to enable projects and business cases to develop.
- Overseeing the production and development of project initiation documentation, and quality business cases (Strategic Outline Business Case (SOBC), Outline Business Case (OBC) and Full Business Case (FBC) to achieve the intended outcomes and vision.
- Arranging a tender process for a 'call-off contract' for an independent consultant to undertake FBC appraisals.
- Identifying key risks and potential issues arising across programme delivery and working with colleagues to resolve these where possible.
- Assessing whether projects and their business cases meet the necessary requirements to pass to the Investment Committee Sub Committee (Gate 1).
- Coordinating project assurance activities including the scheduling of SSG project reviews and monitoring from start to completion, with regular reporting back to the IPO on delivery status and project milestones.
- Approving change requests from project managers, when significant changes to project scope, funding, or outcomes arise.
- Regularly reporting on project delivery to the Investment Committee, and escalating projects to the Investment Committee where complications or problems arise that require Board level decisions to be made.
- Ensuring that communication strategies are implemented for the work programme, to make sure projects are well understood and supported (internally leading up to FBC approval, and externally during project delivery and completion).

Roles & Structure

The IPO will hold monthly meetings, to enable regular discussion, updates and approvals on the SSG programme. The following attendance at scheduled meetings is proposed;

- Senior Responsible Officer – Chief Executive

- Chief Operating Officer
- Senior Programme Lead
- Programme Administrator - to support the programme lead.
- Programme Delivery Team to include Project Leads/Managers where required leading on Smarter Stronger Greener projects

Other Additional support where required;

- Senior Management Team
- Investment Programme Manager
- Independent consultants, to provide expert advise
- External stakeholders
- Government representation
- Audit & Compliance Officer
- Communications Team member

Governance Structure/ Gateway Process

The new governance and gateway process as outlined below was agreed at the October 2020 Board meeting.

- IPO: Pipeline & Project Initiation, Business Case production and scrutiny, monitoring of approved projects until completion.
- Gate 1 Investment Committee Sub-Committee: Review and Evaluate SOBC/OBC/FBC and provide recommendations to the Investment Committee
- Gate 2 Investment Committee: Review and Approve SOBC, OBC, FBC up to £2million, receive delivery updates on escalated projects.
- Gate 3 Board: Review recommendations from the Investment Committee, and Approve SOBC, OBC, FBC over £2million.

Project Tools and Documentation

The IPO will develop, distribute and review all project tools and documentation to enable passing projects through the gateway system, and for effective project monitoring until completion. This includes;

- Expression of Interest form
- Project Initiation Document
- Business Case Templates
- Risk Register
- Cost Analysis Spreadsheet
- Gantt chart
- Programme Dashboard
- Communications Plan

- Highlight Report
- Project Dashboard

2.3. Value for Money

The approval and selection of projects to ensure best value for money is derived from the required discounted cash flow and options appraisal analysis contained within the application criteria. With regard to challenge, the Investment Committee Sub-Committee, and Investment Committee will be provided with suitable advice on specific economic analysis and financial appraisal expertise as required to allow challenge on value for money aspects.

When 'Calls for Projects' are announced, selection of projects is conducted through scoring, with value for money being a key weighted scoring criteria. In addition the Accountable Body finance team is commissioned to undertake a detailed appraisal of the financial and value for money aspects of each business case with regard to the requirements of Treasury Green Book appraisal and Annex D of the National Local Growth Assurance Framework (2019) for future bidding rounds.

3.0. Growing Places Fund

This is revolving business loan fund which provides loan finance and /or equity investment to growth businesses where banks have not been willing to lend. Applications for this fund are advertised on our website and are open to all small businesses that can provide demonstrable evidence that they cannot access any other finance to grow their operations. The fund is currently fully committed, and any decisions on future funding available will be taken by the Growing Places Committee.

Annex M

Monitoring and Governance for Projects with Grant Funding

Once a project has been awarded funding and a funding agreement has been signed, the project then moves into the delivery and monitoring phase. The Coast to Capital Investment Committee has the executive responsibility for overseeing project delivery including; considering project and programme status, monitoring and project risk assessments. Future projects and pipeline projects that go through the Gateway process, will be also be monitored through the IPO before reporting progress to the Investment Committee/Board.

Projects will be monitored using a suite of tools developed from the Local Partnerships Internal Assurance toolkit. With this Coast to Capital are able to conduct various levels of project assurance review. Projects are monitored through their lifetime and will include;

- Quarterly project reporting on expenditure, milestones, outputs, and risk.
- Risk reporting on project delivery to both the IPO and Investment Committee.

The Project risk assessment process follows the RAG rating guidance for LEPs that was distributed by MHCLG. The Investment Committee scrutinises and validates risk ratings and reviews project progress, before approving recommendations on actions to be taken. Projects deemed 'High Risk' will be monitored through the 'High Risk Monitoring Protocol' (Annex O) and 'Funding Withdrawal Protocol' (Annex P).

- Quarterly reporting to BEIS on LGF or GBF projects, against expenditure and outcomes.
- Site Visits and Project Audit Reviews on approved and delivering projects.

Projects delivering within the investment portfolio will receive a number of 'audit reviews' and/or site visits during their delivery lifecycle. Reviews will compliment Coast to Capital's project monitoring, and will provide independent and objective assurance of how Delivery Bodies are adhering to clauses laid out in their Funding Agreement. Reviews may be commissioned by the Investment Committee or Board for any of the following reasons;

- A project is deemed high risk (rated Red/ Red/Amber).
- The delivery of key milestones and/or outputs are not within the expected timescale.
- Further evidence is needed of project delivery or outputs, to gain sufficient assurance that the delivery body has met their funding obligations.

- When quarterly reporting and claims, or the Delivery Body identifies potential delays, financial risks, or changes to the project delivery milestones or outputs.
- A project requires review to gain understanding of scope, delivery and status.

Details of the various types of project review (drawn from the toolkit) are listed below;

Initial Project Review	Conducted on new projects following funding allocation forms part of the drafting of the funding agreement. Enables Coast to Capital to gain insight into the project delivery plan prior to funding draw down.
Level 1 Project Review	<p>Undertaken on all projects delivering, at least once per financial year where possible by the Audit and Compliance Officer. This is equivalent to the Local Partnerships 'Swift Sure Review' and will highlight any changes or potential changes to project delivery timescales, financial draw down, project scope, and new or changing risks. Site visits will be conducted where possible.</p> <p>The review can consist of the following components;</p> <ul style="list-style-type: none"> • Review of Funding Agreement and Business Case. • Review of current documents and quarterly reporting. • A pre-audit questionnaire that must be completed by the Delivery Body and returned at least 5 working days prior to the date of the Audit Review. • A site-visit or virtual meeting and interviews with key personnel. <p>The review feeds the RAG assessment which is signed off at IPO or Investment Committee meetings.</p>
Level 2 Project Review	Undertaken on Projects that have had a Level 1 review, where further information or clarity is required to validate the RAG assessment. This may be a more in depth review of the project with independent expert advice if required. Where risk needs mitigation, formal recommendations will be given to the Delivery Body in an attempt to get the project back on track, and prevent it from needing a further Deep Dive Review.
Level 3 Project Review	Undertaken after both Level 1& 2 project review, where we are unable to resolve or get an in-depth understanding around the risk areas. An independent consultant would be commissioned following agreement of the Investment Committee, to conduct a further Level 3 Project Review, similar to a full Gateway Audit. This review would attain and validate key information to accurately assess risk, and any areas requested by the Investment

	Committee. Reports and key decisions would be signed off/approved by the Investment Committee.
Closure Project Review & Evaluation	Once a Project has completed, the Audit and Compliance Officer will undertake a project closure review. This will include checking outputs and ensuring that all grant and match funding have been fully reported. If all areas have been satisfied, the project will be reported to MHCLG as completed. Once marked as completed, the Delivery Body will be asked to undertake an independent evaluation that will be reviewed by Coast to Capital. This evaluation will review whether the original scope and outcomes of the project as per the original Business Case/Funding agreement has been delivered.

Audit reviews are made available on request to any Board Member and the Accountable Body, where no conflict of Interest is present. A report summary detailing recommendations and the agreed risk rating is shared with the Delivery Body within 5 working days of the report being finalised.

Annex N

Coast to Capital Output Definition & Evidence Requirements

Output	Definitions	Examples of acceptable evidence
Jobs	<ul style="list-style-type: none"> The total number of newly created permanent full-time equivalent jobs as a direct result of the intervention. Exclude those created solely to deliver the intervention (e.g. construction). A job is deemed as permanent if it lasts at least a year. 	<ul style="list-style-type: none"> An anonymised list of new jobs number of hours worked and company name. Indirect jobs only – an economic impact assessment.
Additional construction jobs	<ul style="list-style-type: none"> The total number of new construction jobs to deliver the intervention. 	<ul style="list-style-type: none"> An anonymised list of new construction jobs with number of hours worked and company name.
Jobs Safeguarded	<ul style="list-style-type: none"> The total number of safeguarded permanent full-time equivalent jobs as a direct result of the intervention. Created jobs exclude those created solely to deliver the intervention (e.g. construction). A job is deemed as permanent if it lasts at least a year. 	<ul style="list-style-type: none"> An anonymised list of jobs employees with number of hours worked and company name.
Sqm Commercial floor space	<ul style="list-style-type: none"> The area and class of commercial floor space completed. Floor areas should be 	<ul style="list-style-type: none"> Contractor or Chartered Surveyor sign off report. Before & after photos acceptable for minor refurbishments only.

	<p>measured in accordance with the RICS code of measuring practice (6th edition) 2007.</p> <ul style="list-style-type: none"> • A building should be classified as completed once it is on the non-domestic rating list (sqm). 	
Sqm R&D facilities floor space	<ul style="list-style-type: none"> • The area of R&D facilities floor space completed. Floor areas should be measured in accordance with the RICS code of measuring practice (6th edition) 2007. • A building should be classified as completed once it is on the non-domestic rating list (sqm). 	<ul style="list-style-type: none"> • Contractor or Chartered Surveyor sign off report. • Before & after photos acceptable for minor refurbishments only.
Area of new or improved learning/ training floor space	<ul style="list-style-type: none"> • The amount of 'new build' training/ learning floor space constructed. Figures to be provided following completion. • The amount of training/ learning floor space refurbished to improve building condition and/or fitness for purpose, For FE colleges, this should be by estate grading. Figures to be 	<ul style="list-style-type: none"> • Contractor or Chartered Surveyor sign off report including updated estate grading. • Before & after photos acceptable for minor refurbishments only.

	provided following completion.	
Housing units unlocked	<ul style="list-style-type: none"> The number of housing units that would be unlocked by the intervention. 	<ul style="list-style-type: none"> Planning permission application number. Council plans.
Housing units delivered	<ul style="list-style-type: none"> The number if completed housing units. Complete refers to physical completion of the individual unit, or, in the case of flats, on physical completion of the block. Housing unit refers to one discrete housing unit (e.g. house, flat, live/work), regardless of size. 	<ul style="list-style-type: none"> Council tax registration details. Builder's practical completion or sale documentation.
New Learners / Apprenticeships assisted	<ul style="list-style-type: none"> The number of new learners assisted as a direct result of the intervention, in courses leading to a full qualification. 	<ul style="list-style-type: none"> Anonymised, per year college registrations detailing full or part time learners. Anonymised, per year registrations detailing apprentice numbers, qualification title and employer.
Sqm public realm or green space improved or created	<ul style="list-style-type: none"> The area (sqm) of public realm or green space improved or created by this intervention. 	<ul style="list-style-type: none"> Contractor's practical completion documentation. Photographic evidence – before & after view.
Km of roads, cycling lanes and walk ways maintained and built	<ul style="list-style-type: none"> The km of roads, cycling lanes and walkways maintained and built by this intervention. 	<ul style="list-style-type: none"> Contractor's practical completion documentation. Photographic evidence – before & after view. Updated map – before & after version.
Number of businesses or	<ul style="list-style-type: none"> The number of businesses or institutions 	<ul style="list-style-type: none"> A list of the businesses/institutions and the type of assistance provided.

institutions assisted	assisted by this intervention.	
Number of new super/ ultrafast broadband connections	<ul style="list-style-type: none"> • Number of additional commercial premises and domestic dwellings that, as a result of intervention, now have the option to access broadband of at least 30mbps (average), where this was not previously the case. 	<ul style="list-style-type: none"> • Number of new connections confirmed by broadband providers including if they are business or home connections.
Number of new retrofits delivered	<ul style="list-style-type: none"> • Number of domestic and non-domestic retrofits completed as a direct result of the intervention. 	<ul style="list-style-type: none"> • Contractor's practical completion documentation. • Photographic evidence – before & after
Kg of CO ² emissions avoided	<ul style="list-style-type: none"> • Kg of CO² emissions avoided as a direct result of the intervention. 	<ul style="list-style-type: none"> • Impact assessment detailing change.

Annex O

High Risk Monitoring Protocol

Projects at risk are reported to the Investment Committee through a High-Risk Report, to include key details around the risk areas. Projects are risk assessed by either the Investment Team, or IPO using the MHCLG risk assessment system, and those with an aggregate risk rating of either 'Red' or 'Red/Amber' will be reported to the committee as High Risk.

When a project reaches this status the Investment Committee will be invited to formally agree actions and recommendations. The Committee can take a range of actions in such situations:

Either:

1. Decide that project can proceed under close monitoring.
2. Agree a 'watch and wait' period based upon suitable delivery body assurances.
3. Write to Government requesting an extension of time for draw down of funding and then choose either action 1, 2 or 4.
4. Recommend to the Board to withdraw and re-allocate funding to pipeline projects.

In relation to action four above, the Chair of the Investment Committee will notify the Chair and all Board members in writing when a project reaches this stage, seeking Board approval to proceed. Board members will have fourteen days to scrutinise the evidence which has been gathered by Investment Committee to support this recommendation. Consent will be sought from Board Members in writing prior to proceeding to implement this decision.

Before deciding to take any of the above actions the Investment Committee will gain sufficient evidence to be able to confidently answer three 'key' lines of enquiry (KLOEs) questions, which are detailed within the decision-making protocol below. In order to answer these questions, the Investment Committee may choose to:

- 1 Decide that it has sufficient information to answer the KLOEs and take a decision.
- 2 Commission a 'deep dive' working group to report back.

The results of (2) above would then be reported back to the Investment Committee to allow one of the four actions listed earlier to be agreed.

The Coast to Capital Investment team and/or IPO will always work with delivery bodies and project partners to assist them to reduce project risks and to continue to support approved schemes, through providing any assistance. However, where such assistance cannot be confirmed, Coast to Capital has a duty to deliver value for money, approved outputs and overall programme expenditure in accordance with its commitment to Government.

Where projects are at risk of undermining this duty, Coast to Capital's risk assessment ratings will trigger the Investment Committee to examine what steps can be taken to assist delivery bodies to bring projects back on track. However, in the event that this cannot be achieved and the Investment Committee determines that the 'key' lines of enquiry below cannot be satisfied, it will recommend to the Board withdrawal of funding from projects and re-allocate it in accordance with the latest Strategic Economic Plan priorities.

'Deep dive' working groups will specifically focus on what assistance Coast to Capital can give to reduce project risk ratings and this may include recommendations that the Investment Committee write formally to Government to request specific dispensations to allow projects to continue. Where such assistance cannot be confirmed and all options have been exhausted to remediate the 'key' lines of enquiry detailed below, the Investment Committee may recommend to the Board to withdraw funding on projects. The decision-making protocol below outlines the steps that Coast to Capital will follow when projects are risk rated RED or RED/AMBER.

Prior to any decision to recommend withdrawal of funding on a project, the delivery body concerned will be invited to make representation to the Investment Committee.

In relation to funding withdrawal, the Board has the ultimate authority to take any decision that it wishes in relation to high risk projects.

Decision Making Process for High Risk Projects

Investment Committee undertakes initial review of RED and RED/AMBER rated projects based upon the High-Risk projects report with accompanying detail. Investment Committee then follows the below listed 'key' lines of enquiry.



The Investment Committee may choose to establish a specific 'deep dive' project working group to enable it to be informed sufficiently to decide, if it feels that it does not initially have sufficient information to answer the 'key' lines of enquiry detailed below.

Investment Committee or 'Deep Dive' review group establishes answers to the following Key Lines of Enquiry as relevant:

KLOE. QUESTION 1 (For Approved Projects without Business Cases):

Will, in the view of the Investment Committee or 'deep dive' review group, the Business Case for the project be forthcoming for approval, allowing sufficient subsequent time for the project to draw down funding in line with Government spend deadlines?

YES – Investment Committee decides project can proceed under close monitoring with suitable delivery body assurances. Investment Committee may choose to 'watch & wait' with further report back.

No – Investment Committee recommends to the Board to withdraw and re-allocate funding to other projects in accordance with strategic priorities.

NB. Prior to taking the above decision, the Investment Committee may choose to write to Government requesting carry forward of funding beyond the spend deadlines. If Government agree this, funding will not be withdrawn and the project will be closely monitored and continue. If Government do not agree – funding will be withdrawn.

KLOE. QUESTION 2:

Are the project outputs and/or value for money expected to be materially different in a negative direction from those stated within the original Strategic Economic Plan, Business Case or funding application?

No – Investment Committee decides project can proceed under close monitoring with suitable delivery body assurances. Investment Committee may choose to 'watch & wait' with further report back.

Yes – Investment Committee recommends to the Board to withdraw and re-allocate funding to other projects in accordance with strategic priorities.

KLOE. QUESTION 3:

Is the project expenditure draw down profile deemed to be highly likely to drift into the next spending period even if flexibility funding has been provided?

Yes – Specific dispensation from Government will be sought and if this cannot be obtained and remediation applied to draw down funding, the Investment Committee will recommend to the Board to withdraw funding or part funding.

No – Investment Committee decides project can proceed under close monitoring with suitable delivery body assurances. Investment Committee may choose to 'watch & wait' with further report back.

If at any stage the Investment Committee are unable to agree a conclusion on any of the above KLOEs they will defer decision making to a forthcoming meeting.

Annex P

Funding Withdrawal Protocol

The following protocol will be invoked by the Coast to Capital Board if it concludes that a project that has either earmarked and/or approved Funding, is unable to deliver contractual commitments.

Protocol

1. Coast to Capital Board has agreed an Investment Committee recommendation to follow option 2 of the 'High Risk Project Monitoring Protocol'.
2. The Chair of Coast to Capital writes to the Delivery Body informing them that unless one of the following options can be satisfactorily demonstrated to the Board via a commensurate recommendation from the Investment Committee, then funding will be withdrawn/ not awarded to the project in question:
 - A- That the Delivery Body puts in place remedial action to the satisfaction of the Investment Committee and Board, to ensure the full funding award can be fully drawn-down within the Government spend deadline.
 - B- That the Delivery Body obtains from the relevant Minister, a Government dispensation to extend the funding period. This option would only be applicable if Coast to Capital had already written to Government as part of 'High Risk Project Monitoring Protocol';
 - C- That the Delivery Body provides a credible proposal to be agreed by the LEP Accountable Body as satisfying the freedoms and flexibilities. This should include confirmation from Government of acceptability of such proposal, to allow the award of funding to be made and released as a capital swap.
3. Delivery Bodies are expected to respond within a 30 day period which may be extended by discretion of the Chair, for up to a further 30 days.
4. If the Delivery Body confirms option A or B above, and the Investment Committee are satisfied accordingly, the project will continue to be monitored via the 'High Risk Project Monitoring Protocol', and/or will be awarded funding via a funding agreement, if this is not already the case. The recommendation from the Investment Committee will be agreed by the Board via a consent paper.
5. If the Delivery Body provides satisfactory evidence under option C above, agreed by the Accountable Body and Government, then the project will continue to be monitored via the 'High Risk Project Monitoring Protocol', with the

necessary contract variations being made. The recommendation from the Investment Committee will be agreed by the Board via a consent paper.

6. If the Delivery Body fails to respond, or if none of the above can be demonstrated to the satisfaction of the Investment Committee, then the Board will be recommended to withdraw funding/ not award funding to the project.
7. The Board will have final opportunity to consider any other steps before taking the decision to withdraw funds.
8. The Chair of the Coast to Capital Board will then write on behalf of the Board to the Delivery Body to confirm the above decision, with copies to Central Government, Local MP's, the relevant Minister(s), key stakeholders, and will issue a relevant press release to ensure Coast to Capital's reputation is not damaged.

Meeting: Coast to Capital Board Meeting
Date: 27 January 2021
Report Title: Board and Committee Appointments
Report by: Katie Nurcombe
Item No: 6c
Part: A

Recommendation:

The Board is asked to:

- Approve the appointment of Mark Brunt to the Audit and Risk Committee
- Re-appoint the Independent members of the Audit and Risk Committee
- Appoint Jamie Arnell as the Natural Capital Board sponsor

1. Context

A recommendation from the Governance Review which has been taken on Board is that the Chair of each Committee reviews its membership each year.

2. Audit and Risk Committee

The Chair of the Audit and Risk Committee recently reviewed the membership of the Audit and Risk Committee which is as follows:

- Amanda Jones (Director member and Chair)
- Rosaleen Liard (Director member)
- Karen Hayes (Independent member – public sector)
- Chris Maidment (Independent member – private sector)
- Andrew Swayne (Independent member – private sector)
- Mike La Rooy (Independent member – private sector)

The Chair of the Committee is content that the Committee has the necessary skills and experience to fulfil its duties and meet the requirements in its Terms of Reference subject to the following being agreed by the Board:

- The appointment of Mark Brunt as a Board Director member.
- The re-appointment of Karen Hayes, Chris Maidment and Andrew Swayne for a second three-year term as an Independent member on the Committee.

3. Board sponsors

At the October Board meeting a number of Board sponsor positions were agreed. There are still a number of vacancies and the Board is asked to agree the following:

- The appointment of Jamie Arnell as the Natural Capital Sponsor
- The Skills 360 Board is approached to identify a Decarbonisation Project Sponsor

More clarity was requested at the October 2020 Board meeting in relation to the role of Board sponsors and as a result each Board sponsor/champion will be agreeing clear objectives in relation to their role. A number have already been agreed and initial meetings with the CEO and Chair are being arranged to confirm the remainder.

4. Board Recruitment

Board recruitment is under review by Chair's Committee as will have the following vacancies as of 1 April 2021:

- Vice Chair Vacancy
- Private Sector Director (current)
- Private Sector Director (as a result of Croydon Public Sector change)

This will be kept under review while the Business Plan is under development to ensure future appointments bring the required skills and experience to Board. We have a good understanding from initial analysis and the result of the Board Skills Audit which took place last year.

As it is clear that International Trade and Inward Investment is a priority we will be exploring our network to identify potential business leaders who can contribute to the work of Coast to Capital, either informally, as a co-opted Director or Board Director once the approach to recruitment has been agreed. Please share your suggestions with the Chair and Chief Executive. All appointments will follow our fair and open recruitment process set out in the Assurance Framework.

5. Next Steps

The next steps will be to review the membership of the other Committees.

6. Diversity Statement

Diversity was a key consideration of the review of the membership of the Audit and Risk Committee.

7. Legal Statement

The appointments are in line with our Assurance Framework.

8. Finance Statement

There are no financial considerations.

Annexes:

None

Further information on request:

None