



## Section F: Assurance Framework

February 2018



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# ASSURANCE FRAMEWORK

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# Part One: Introduction and background

## Introduction

1. The Swindon and Wiltshire Local Enterprise Partnership (SWLEP) is a non-statutory partnership between the public and private sectors, established to play a central role in determining local economic priorities and undertaking activities to drive economic growth and the creation of local jobs. The SWLEP is a partnership between Swindon Borough Council, Wiltshire Council, businesses in the area and the Military, with representatives from all these organisations on its Board. The SWLEP is able to access government funding to channel investment into the area – in particular to support its strategic objectives in skills and talent, transport infrastructure, digital capability, place shaping and business development.
2. This document sets out the SWLEP's Assurance Framework, outlining governance arrangements including the membership, roles and responsibilities of the Board, working arrangements between the partners, and arrangements for the management of delegated funding from Central Government budgets and programmes in accordance with the Central Government's LEP Assurance Framework.<sup>1</sup>
3. This Assurance Framework will support the developing confidence in delegating funding from Central Government budgets and programmes via a single pot mechanism (i.e. Local Growth Fund allocations through the Growth Deal programme) by demonstrating that there are robust local systems in place which ensure resources are spent with regularity, propriety, transparency and value for money.

## Background

4. Central Government requires all Local Enterprise Partnerships (LEPs), as part of their Growth Deal, to agree and implement a single Assurance Framework covering all Central Government funding flowing through LEPs to ensure robust value for money processes are in place. The SWLEP reviews its Assurance Framework annually and publishes its Assurance Framework on its website. The SWLEP Board is required to agree the finalised Assurance Framework ensuring key partners are signed up. The accountable local authority must also sign-off the Assurance Framework, and write to the Accounting Officer in DCLG certifying that the

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<sup>1</sup> Source: [https://www.gov.uk/Government/uploads/system/uploads/attachment\\_data/file/386642/bis-14-1241-local-enterprise-partnership-LEP-national-assurance-framework.pdf](https://www.gov.uk/Government/uploads/system/uploads/attachment_data/file/386642/bis-14-1241-local-enterprise-partnership-LEP-national-assurance-framework.pdf)

Assurance Framework has been agreed, is being implemented, and that it meets the standards articulated in the national framework.

### Strategic objectives

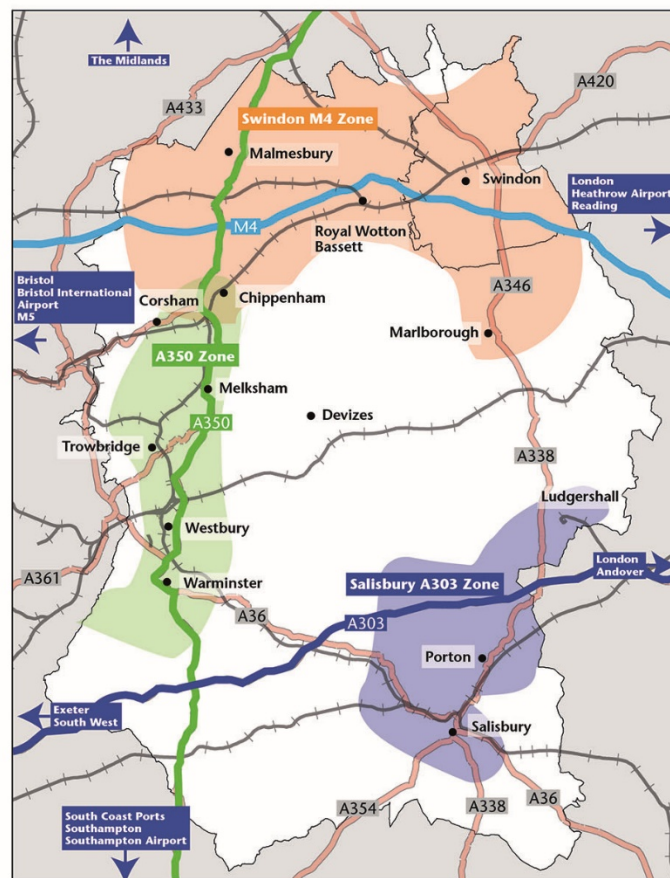
5. The Swindon and Wiltshire Strategic Economic Plan (SEP), sets out the SWLEP's strategic objectives. The latest version was adopted by the SWLEP Board in January 2016, following engagement with the public and business community. The strategic objectives are:
  - Skills and talent: we need an appropriately skilled and competitive workforce to achieve our growth ambitions.
  - Transport infrastructure improvements: we need a well-connected, reliable and resilient transport system to support economic and planned development growth at key locations.
  - Digital capability: we need to deliver excellence in digital connectivity and cyber transformation to achieve business growth, innovative public services and influence societal change.
  - Place shaping: we need to deliver the infrastructure required to deliver our planned growth and regenerate our city and town centres, and improve our visitor and cultural offer
  - Business development: we need to strengthen the competitiveness of small and medium sized businesses and attract a greater share of foreign and domestic investment into the area.

## Part Two: Local Enterprise Partnership governance

### Geography

- The SWLEP covers the same area as its two Unitary Authorities, Swindon Borough Council and Wiltshire Council (see Figure 1).

**Figure 1: Map of Swindon and Wiltshire Local Enterprise Partnership area and its Growth Zones**



Key Statistics	Swindon-M4 Zone	A350 Zone	Salisbury-A303 Zone	Chippenham and Corsham	SWLEP
GVA per job filled as % SWLEP	50%	21%	11%	9.8%	-
Employees 2014	161,700	79,400	41,800	26,500	303,800
% Growth in Employees 2012-2014	7.2%	12.4%	6.3%	27.4%	7.4%
% Employees in Knowledge Intensive Businesses	23.2%	18.6%	26.2%	16.6%	22.7%
% Growth in Employees in Knowledge Intensive Businesses 2012-2014	11.6%	25.7%	9.7%	9.6%	14.9%
No. businesses as % SWLEP	46%	25%	15%	8.7%	-
No. SMEs (0-249 emps)	15300	8200	4900	2320	33100
No. large businesses 2015 (>250 emps)	75	35	15	10	125
Rail journey time to London Swindon, Westbury, Salisbury & Chippenham	1 hr 1m	1hr 37m	1hr 29m	1 hr 16m	-
Distance to London from Swindon, Trowbridge, Salisbury & Chippenham (miles)	80	112	88	99	-

## The Swindon and Wiltshire Local Enterprise Partnership and Governance

7. In summary, the SWLEP is responsible for driving economic growth across Swindon and Wiltshire; for the development and maintenance of the Strategic Economic Plan; negotiation of City Deal and Growth Deals with Central Government; and administering the Local Growth Fund and Growing Places Infrastructure Fund through its Accountable Body (Wiltshire Council). For audit purposes the responsibilities of the Accountable Body are detailed further in paragraphs 31 to 34 and 74 to 83.
8. The SWLEP has a Board with a minimum of 14 and a maximum of 20 Members and is constituted in such a way as to ensure that it is business-led, with its Chair and at least 70% of all Members representing the business community. Alongside the business community is the active involvement of Local Government through the role of the Leaders of the two Unitary Authorities as Board Members and the Commander of the Military HQ South West. The structure of the SWLEP Board is displayed in Table 1. Board members representing a Unitary Authority may be accompanied at Board meetings by one other elected Member of that Authority who will be entitled to participate in discussions on the same basis as the Board member but will not be entitled to vote and are not counted as an attending Board member for the purposes of determining whether the meeting is quorate. In addition, the Senior Whitehall Sponsor, the BEIS Minister who acts as the SWLEP champion and the BEIS Relationship Manager will be invited to join SWLEP Board meetings as guests but will not be able to vote.

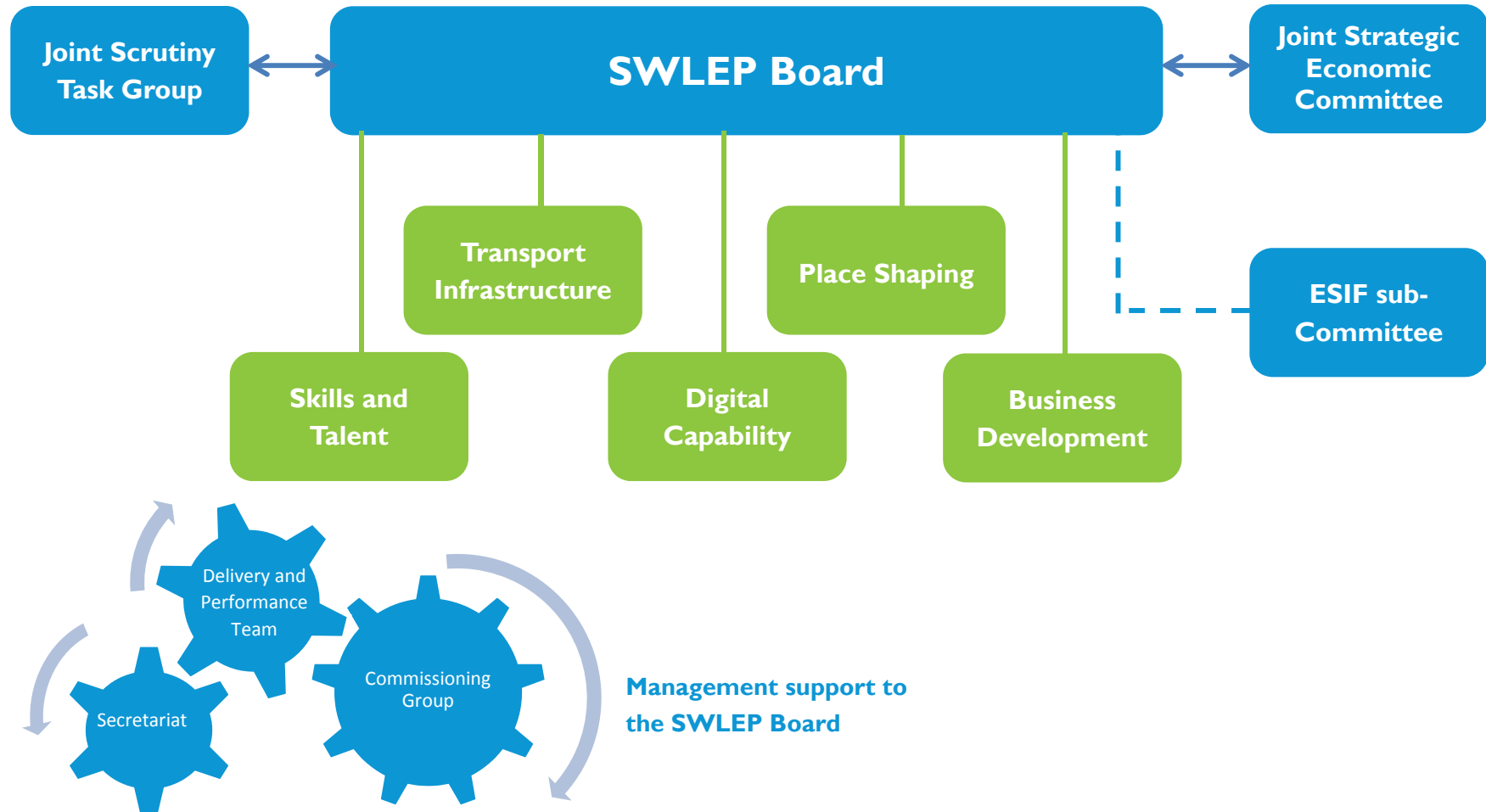
**Table 1: Local Enterprise Partnership Board Membership**

Role	Organisation	Appointment	Length of Tenure
Chair	Private sector (mandated)	Voted by SWLEP Board	3 years, but can be extended
Vice Chair	Private sector	Voted by SWLEP Board	3 years but can be extended
Local Authority Board Member	Leader, Swindon Borough Council	Permanent	Permanent
Local Authority Board Member	Leader, Wiltshire Council	Permanent	Permanent
Board Member	Commander Military HQ South West	Permanent	Permanent
Board Member	Education sector	Voted by SWLEP Board	3 years but can be extended
8 x Board Member	Private sector	Voted by SWLEP Board	3 years but can be extended

Role	Organisation	Appointment	Length of Tenure
Advisor	Swindon Borough Council Chief Executive	Permanent	Permanent
Advisor	Wiltshire Council Corporate Director	Permanent	Permanent

9. The SWLEP Board is responsible for:
- The development, review and refresh of the Strategic Economic Plan;
  - The successful and effective delivery of the City Deal, Strategic Economic Plan, the Growth Deal and projects resourced by the Growing Places Infrastructure Fund and;
  - The approval of scheme funding on the basis of recommendations from the relevant Sub-groups.
10. The Chair of the SWLEP and all business community representatives are elected by the SWLEP Board on a three year rotating basis. Permanent positions include the leaders of the two Unitary Authorities and the Commander of the Military Headquarters South West. A Vice-Chair will also be appointed who shall deputise for the Chair in their absence. As far as possible the SWLEP will conduct its business on a consensual basis. All voting will be carried out by a simple majority vote of the full Members including the Chair. Further details of the SWLEP purpose, Board Membership, and Board operations can be found in the SWLEP Constitution, which will be published on the SWLEP website.
11. Figure 2 shows the governance structure for the SWLEP which applies to the assurance of value for money with public expenditure. It shows the relationship between the SWLEP Board, Sub-groups, the Joint Strategic Economic Committee, the SWLEP Secretariat, SWLEP Commissioning Group, SWLEP Delivery and Performance Team, Accountable Body (Wiltshire Council); Joint Scrutiny Task Group and the European Structural and Investment Funds (ESIF) Advisory sub-Committee.
12. The SWLEP operates on the principle that decisions should be taken at the appropriate level so they can be taken quickly and efficiently. Decision making can therefore take place at different levels across the LEP's governance structure within a framework agreed by the Board, for example the LEP Board may occasionally delegate decisions to its sub-groups which will be outlined in the terms of reference for each group.

**Figure 2: Governance structure for the Swindon and Wiltshire Local Enterprise Partnership**





## SWLEP Board Sub-groups

13. The SWLEP Board is advised directly by a number of sub-groups which have been established to reflect the five strategic objectives of the SWLEP in driving economic growth (paragraph 5). Each sub-group operates under a specific terms of reference approved by the Board which will include details on membership and tenure (Appendix A). The Board will be able to establish additional sub-groups or establish task and finish groups as required to address specific issues. Sub-groups can also establish task and finish groups as required to progress the delivery of specific areas of their work.
14. The core five sub-groups are Skills and Talent; Transport Infrastructure; Digital Capability; Place-shaping; and Business Development. Each sub-group will have a SWLEP Board Member as the Chair and Vice-Chair who act as the link between the sub-group and the Board. Each sub-group will also have a Lead Officer acting as the link to the Secretariat. The Board will set the overall strategic context for the sub-groups and the responsibility for approving project prioritisation rests with the SWLEP Board. The sub-group will offer the Board advice in its specialist area and the Chair or Vice Chair of individual sub-groups will report on activity to the SWLEP Board.
15. Each sub-group will oversee the development and implementation of its own strategy and action plan, once approved by the Board, will undertake stakeholder management activity and review the delivery of projects and programmes which fall under its strategic remit. Each sub-group will have the opportunity to request funding up to an agreed amount from the Board to support strategy development and stakeholder management.

Sub-group	Overview
<b>Skills and talent</b>	Develop and deliver the Swindon and Wiltshire Skills and Talent Plan in response to the priority in the SWLEP's Strategic Economic Plan. Maintain oversight over SWLEP funded skills and talent projects and the delivery of European and other funded skills projects in order to inform the SWLEP board of emerging strengths and weaknesses.
<b>Transport Infrastructure</b>	Develop the Swindon and Wiltshire Transport Infrastructure Plan in response to the priority in the SWLEP's Strategic Economic Plan. Maintain oversight over SWLEP funded transport projects and the delivery of European and other funded transport projects in order to inform the SWLEP board of emerging strengths and weaknesses. This sub-group replaces the former Swindon and Wiltshire Local Transport Body.

<b>Digital capability</b>	Develop and deliver the Digital Capabilities Plan in response to the priority in the SWLEP's Strategic Economic Plan. Maintain oversight over SWLEP funded digital capability projects and the delivery of European and other funded digital capability projects in order to inform the SWLEP board of emerging strengths and weaknesses.
<b>Place Shaping</b>	Develop and deliver the Swindon and Wiltshire Place-Shaping Plan in response to the priority in the SWLEP's Strategic Economic Plan. Maintain oversight over SWLEP funded place-shaping projects and the delivery of European and other funded place-shaping projects in order to inform the SWLEP board of emerging strengths and weaknesses.
<b>Business development</b>	Develop and deliver a Swindon and Wiltshire Business Development Plan in response to the priority in the SWLEP's Strategic Economic Plan. Maintain oversight over SWLEP funded business development projects and the delivery of European and other funded business development projects in order to inform the SWLEP board of emerging strengths and weaknesses. The Chair, with the support of the Vice Chair, to act as the representative of Small and Medium Enterprises on the SWLEP Board.

## Governance groups of the Swindon and Wiltshire Local Enterprise Partnership

16. The following groups have been established to provide overall governance of the SWLEP activities:

### Joint Strategic Economic Committee

17. The SWLEP is an Unincorporated Association. In order to ensure appropriate governance, a Joint Strategic Economic Committee (JSEC), has been established between Swindon Borough Council and Wiltshire Council under sections 101(5), 102 of the Local Government Act 1972, section 9EB of the Local Government Act 2000 and Regulation 11 of the Local Authorities (Arrangements for the Discharge of Functions (England) Regulations 2012. The purpose of JSEC is to provide local democratic and financial accountability for the Swindon and Wiltshire Strategic Economic Plan, the use of the Local Growth Fund, and other related funding streams.

18. The membership of the Joint Strategic Economic Committee comprises six voting Members, including the Elected Leader, Deputy Leader and the Cabinet Member holding the Economic Development Portfolio of each Unitary Authority. In addition, the Chair of the SWLEP and two other SWLEP Board Members shall attend as non-

voting Members. In the event of any circumstance where the Joint Strategic Economic Committee cannot reach agreement, or both Unitary Authorities disagree with the SWLEP Board on an issue pertaining to the Strategic Economic Plan, the issue in hand will be referred back to the SWLEP Board for review. If the issue cannot be resolved the matter will be referred to the Secretary of State for Business Energy and Industrial Strategy for resolution.

19. The Joint Strategic Economic Committee will be chaired by the Elected Leader of one of the Unitary Authorities and the role will rotate annually between Swindon Borough Council and Wiltshire Council.

20. The primary tasks of the Joint Strategic Economic Committee are to:

- Act as a single voice for Local Government in Swindon and Wiltshire in relation to the delivery of the Strategic Economic Plan and local Growth Deals.
- Facilitate and enable collaboration between the two Unitary Authorities on economic development and related matters as per the requirements of the national LEP Assurance Framework<sup>2</sup>.
- Provide local democratic accountability for the delivery of the Strategic Economic Plan and the use of public resources to fund the implementation of the Strategic Economic Plan and Local Growth Deals (including supporting Wiltshire Council's role as the Accountable Body).
- Provide political oversight of the marshalling and co-ordination of Local Government's contribution to the delivery of the Strategic Economic Plan and Local Growth Deals.
- Act as formal link between Local Government and the SWLEP.

21. A key role of the Joint Strategic Economic Committee will be to formally agree and sign-off key decisions and actions of the SWLEP Board in an open, transparent and publically accessible environment, subject to the statutory provisions on access to information in relation to confidential or exempt items of business. The Joint Strategic Economic Committee will operate alongside the SWLEP Board.

### **SWLEP Secretariat**

22. The key source of advice to the SWLEP is the Executive Group of the Secretariat which comprises the SWLEP Director and the two senior officers responsible for leading on working with the SWLEP from each of the two Unitary Authorities. The Executive Group of the Secretariat meets every fortnight to manage follow-up actions following SWLEP Board, sub-groups and Governance Group meetings. It

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<sup>2</sup> Local Enterprise Partnership Assurance Framework, DCLG November 2016.

develops policy and strategy proposals and manages operational links to external bodies. The Secretariat also manages the forward plan for the Board and Commissioning Group and the co-ordination of activity across the sub-groups.

23. Building on the process adopted during the development of the first Strategic Economic Plan, the Executive Group will hold a Secretariat meeting with Officers as required from the two Unitary Authorities and SWLEP responsible for leading on the delivery of different elements of Strategic Economic Plan every four weeks.

### **SWLEP Commissioning Group**

24. The SWLEP Commissioning Group is responsible for the effective commissioning and delivery of the Growth Deal programme and has strategic oversight of the delivery and financial performance of SWLEP schemes. It also ensures compliance with the legal and financial terms of the Assurance Framework and oversees strategy development and the forward plan for the SWLEP Board and agenda. It comprises the SWLEP Chair, the SWLEP Vice-Chair, the Leaders of Unitary Authorities, the Chief Executive of Swindon Borough Council, and the Corporate Director of Wiltshire Council, supported by the SWLEP Executive Group. The Commissioning Group will be accountable to the SWLEP Board and will have responsibility for advising the SWLEP Board on future Local Growth Deal propositions supported by material provided through the SWLEP Delivery and Performance Team.

25. The Commissioning Group will:

- Ensure that the arrangements put in place conform to legal requirements with regard to freedom of information, equalities, the environment and other matters;
- Advise the SWLEP Board on the appropriate use of SWLEP funds; and
- Ensure that there is independence between scheme promoter and the decision making body in order to avoid conflict of interest.
- Ensure that official records of proceedings relating to the investment decisions are maintained.
- Ensure that regular progress reports and updates are scheduled with appropriate Government teams.

### **SWLEP Delivery and Performance Team**

26. The SWLEP Delivery and Performance Team (DPT) leads the programme management activities of the Growth Deal. It meets every two weeks and is chaired by the SWLEP Programme Manager. The DPT comprises a delegated Growth Deal Programme Manager from each of the Unitary Authorities and the SWLEP

Programme Manager. The SWLEP's Programme Manager will have overall reporting responsibility for the Growth Deal, but it is each Unitary Authority that is responsible for the delivery of its programme of schemes or 'projects'. If there are projects not being delivered by either of the Unitary Authorities, these will be project managed by the SWLEP Programme Manager or by an alternative Project Manager with the agreement of the SWLEP Secretariat (paragraph 28).

27. The DPT forms the key reporting mechanism on progress, risks, issues and benefits realisation and will provide highlight reports to the Commissioning Group every two months. The DPT will also provide the Commissioning Group with information and detail relating to future schemes and negotiations. In addition, relevant finance, Higher Futures and ESIF leads or their nominees attend the DPT meetings every four weeks.
28. The day-to-day responsibility for ensuring effective delivery of the projects funded by the Local Growth Fund will lie with the relevant scheme promoters. Each project will have an identified Project Manager and Senior Responsible Officer responsible for ensuring value for money. Where a scheme promoter is not a Unitary Authority the SWLEP Programme Manager will identify and agree a Project Manager for each project.
29. There are schemes which have been or will be approved and funded through the Growth Deal programme which are being or will be led by a third party. These will include a wide range of schemes which meet the objectives of the SWLEP's strategic economic plan.
30. These third parties will report through the SWLEP Delivery and Performance Team to the SWLEP Commissioning Group. Third parties will also be asked to attend SWLEP Commissioning Group and SWLEP Delivery and Performance Team meetings as and when appropriate.

### **Accountable Body**

31. Wiltshire Council is the Accountable Body for the SWLEP. One of the primary roles of the Accountable Body is to hold devolved funding on behalf of the SWLEP and make payments to scheme promoters as per the grant agreements in place for each project or programme.
32. The Accountable Body will hold the SWLEP funds in separately identifiable Ledger Accounts and provide the SWLEP with financial statements as required. Interest shall accrue on the funding which shall be held by Wiltshire and as agreed between Wiltshire Council, Swindon Borough Council and the SWLEP and will be distributed, taking into account the reasonable costs of Wiltshire for acting as the Accountable

Body. The relationship between Accountable Body and the SWLEP Board will be included in a service level agreement agreed and reviewed annually.

33. The Accountable Body also has the following responsibilities conducted in line with the grant agreements in place between the Accountable Body, SWLEP and Scheme Promoters:

- Ensuring that the decisions and activities of the SWLEP conform with legal requirements with regard to freedom of information, equalities, social value, the environment, state aid, procurement, and other matters;
- Ensuring (through the Section 151 officer) that funds are used appropriately;
- Ensuring that the Assurance Framework is adhered to;
- Ensuring the official record of SWLEP proceedings is maintained and having access to all relevant SWLEP documents;
- Taking forward and enacting decisions of the SWLEP in approving schemes (e.g. if subjected to legal challenge) as per the Heads of Terms and Grant Agreements between the Accountable Body, SWLEP and Scheme Promoters; and
- Ensuring the arrangements for local audit of funding allocated by the SWLEP are at least equivalent to those in place for spend by the Unitary Authorities, as well as decision making and openness of reporting.

34. In relevant circumstances, the role of Accountable Body and Scheme Promoter will need to be kept strictly independent of each other to provide assurance that there is no conflict of interest.

#### **Role of the S151 Officer**

35. The S151 officer undertakes a range of Accountable Body functions covering both strategic and operational activities.

#### **Strategic activity**

- a. Ensuring effective financial controls are in place and expenditure is used appropriately, economically, efficiently and effectively;
- b. Supporting the development and implementation of the SWLEP's financial plan to deliver its strategic objectives whilst remaining financial sound over the short, medium and longer term;
- c. Compiling an annual declaration of SWLEP compliance with its Governance Framework which includes the Assurance Framework;
- d. Making provision for a regular risk and control audit of SWLEP processes and decision making;

### **Operational activity**

- a. Compiling the financial statement for the SWLEP annual report;
- b. Compiling audited accounts from 2018/19 onwards;
- c. Compiling financial summary report for each Board meeting;
- d. Undertaking value for money checks and sign-off of full business cases;
- e. Undertaking financial due diligence checks on applicants for GPIF loan agreements;
- f. Signing off receipt of LGF funding at the start of each financial year;
- g. Signing off of LGF claims as a true and accurate record of expenditure; and
- h. Attendance and participation in the SWLEP Annual Conversation with the cities and Local Growth (CLOG) team;
- i. Writing a formal statement of the SWLEP's compliance with the Assurance Framework as part of the Annual Conversation with BEIS and to be published on the SWLEP website by the end of February each year;
- j. Writing to the Permanent Secretary of the Department of Communities and Local Government by the 28 February of each year confirming the SWLEP's performance against the requirements of the Assurance Framework; and
- k. Holding the SWLEP's register of interests.

### **Joint Scrutiny Task Group**

36. The Joint Scrutiny Task Group (JSTG) acts as a critical friend developing an overview of strategies and plans and provides independent scrutiny of the work of the SWLEP Board and Joint Strategic Economic Committee (JSEC, paras 17 to 21). The JSTG is comprised of elected cross-party Members from the two Unitary Authorities who are not Cabinet Members. The Task Group comprises four elected Councillors from each of the two Unitary Authorities, giving a full Membership of eight. In order to maintain appropriate separation of responsibilities, Swindon Borough Council manages the joint scrutiny process, whilst Wiltshire Council acts as the Accountable Body for the SWLEP. The Joint Scrutiny Task Group will:

- Develop an overview and scrutiny framework and operational protocols which meet the requirements of democratic accountability for the use of public funds by a partnership body which is led by the business community under a mandate from the then Secretary of State for Business, Innovation and Skills.
- Whilst developing the framework, the JSTG will carry out trial activities to scrutinise the outcomes and work of the SWLEP. In fulfilling this role the task group will:
- Perform all overview and scrutiny functions on behalf of both Councils in respect of the SWLEP and JSEC;
- Appoint such sub-groups as it consider appropriate to fulfil those functions;

- Review and/or scrutinise decisions made or actions taken in connection with the discharge of any of the SWLEP and JSEC functions;
- Make reports and recommendations to the Councils' relevant partner in connection with the discharge of any functions;
- Approve a forward work programme, including the programme of any sub-groups it appoints so as to ensure that the JSTG and sub-groups' time is effectively and efficiently utilised; and
- Foster and encourage an inclusive, structured, non-partisan and non-adversarial approach to overview and scrutiny which is reliant on evidence rather than anecdote.

### **Swindon and Wiltshire ESIF sub-Committee**

37. In 2014, the SWLEP endorsed the Swindon & Wiltshire LEP Structural and Investment Fund (ESIF) strategy which will see €48.3m invested in the area. The ESIF sub-Committee is as an advisory body (and sub-Committee) to the national Growth Programme Board (GPB). The Department for Communities and Local Government carries out the function of secretariat to the sub-Committee on behalf of the GPB. Because of these separate governance arrangements, the sub-ESIF Committee sits outside the scope of SWLEP Assurance Framework.
38. The SWLEP is however represented on the ESIF sub-Committee and will offer advice and influence as best it can to ensure that advice reflects the overall context of the Swindon and Wiltshire Strategic Economic Plan and that delivery aligns where possible with the delivery of other funding under its control, such as LGF.
39. When required the SWLEP will also use its influence with Government to improve the delivery of the ESIF strategy and in particular with each of the three Managing Authorities. As an ESIF Committee Member, the SWLEP will work to adhere to the ESIF sub-Committee terms of reference, and in particular advising the Managing Authorities on the strategic fit of proposals made in response to calls for projects.
40. Updates on the delivery of the ESIF programme will be made regularly to the SWLEP Board, SWLEP Officers Group and Delivery and Performance Team.



## Part Three: Transparent and accountable decision making

### Transparency and Local Engagement

41. The SWLEP Board will conduct its business in an open and transparent manner, comparable to the two Unitary Authorities, which will enable interested stakeholders and members of the public to scrutinise and participate in the SWLEP processes. In particular, scheme sifting and prioritisation, and sign off of business cases, will be reviewed at SWLEP Board Meetings and will be covered in the public part of the meeting (Part I) by default, unless there are specific reasons for such discussion to be restricted from the public under the criteria set out in Appendix C.
42. Where items for discussion at formal SWLEP meetings contain information relating to the financial or business affairs of any particular person (including the authority owning that information), items may be restricted from the public with the agreement of the Accountable Body Monitoring Officer or their delegate by virtue of paragraph(s) 3 of Part I of Schedule 12A of the Local Government Act 1972.
43. The SWLEP has a dedicated website which includes information and documents relating to the SWLEP's activities and how the public and business community can engage in SWLEP processes. Documents and information that are published on the website include:
  - Constitutional Documents
    - a. Governance Framework including Constitution, Transparency Procedure and Complaints Procedure
    - b. Assurance Framework
    - c. Heads of Terms / Legal agreement between SWLEP, Wiltshire Council and Swindon Borough Council
    - d. Scheme assessment, prioritisation and approval process
  - Working Meetings
    - e. Board meeting papers and minutes which includes financial accounts at each meeting prepared by Accountable Body
    - f. Subgroup papers and minutes
  - Key Documents
    - g. The Swindon and Wiltshire Strategic Economic Plan
    - h. Central Government Agreements (e.g. Growth Deal, City Deal)
    - i. Funding calls
    - j. Scheme business cases
    - k. Scheme awards
    - l. Monitoring and evaluation framework template
    - m. Evaluations and case studies

- n. Major research and data
- o. Strategies and plans
- p. SWLEP Annual Report

44. The website also includes links to relevant information on other websites (e.g. statutory processes that are required to implement schemes) and to the relevant decision making processes of Swindon Borough Council and Wiltshire Council (e.g. planning and Cabinet reports). In addition, the SWLEP will produce an annual report which will be published by July of each year.
45. Key stakeholders who are not SWLEP Board Members are invited to attend SWLEP Board meetings to make a representation on a scheme(s) or agenda item(s) when appropriate. If key stakeholders wish to be invited to additional SWLEP Board meetings to present information, applications should be made via the SWLEP Director a minimum of 35 clear days in advance of the Board meeting date.
46. SWLEP Board meetings are open to the public and members of the public and business community can make direct verbal representations at the discretion of the Chair.
47. Individuals or organisation may submit up to two questions at any one meeting and each question may be sub-divided into no more than two related parts. Questions are to be submitted in writing or by electronic mail to the SWLEP Executive Assistant ([administration@swlep.co.uk](mailto:administration@swlep.co.uk)) no later than 5pm four clear working days before the meeting. This means that for a meeting held on a Wednesday, questions must be received by 5pm on Wednesday of the preceding week (less any intervening bank holiday). The period of notice is to allow sufficient time for a response to be formulated.
48. In exceptional circumstances and in cases of urgency the Chair may allow questions without the full period of notice having been given where he or she is satisfied there is sufficient justification. In these circumstances, there is no guarantee that a full reply will be given at the meeting. Notice of each question must include the name and address of the questioner, (in respect of an organisation, the name of the organisation and the questioner's position within the organisation).
49. In order for the public and business community to play an active role, it is expected that Scheme Promoters will engage them at the appropriate stages during the scheme identification and development processes to gather views and opinions on potential projects. The public and business community will also have the opportunity to raise points at Board Meetings as identified in paragraphs 45 and 46.

50. In maximising social value, it is important that the public and business community understand the importance of the strategic and prioritised objectives of the Strategic Economic Plan. It is against these strategic priority objectives that the strategic case for schemes will be assessed, in part to maximise the social value of investment.
51. SWLEP Board Members representing the business community are encouraged to engage local businesses to understand their needs and views, as well as encourage the business community to directly identify schemes; provide feedback on scheme sifting, prioritisation and business cases; engage in consultation on strategic plans and policies; and make other written and oral representations at SWLEP Board and Subgroup meetings.
52. Plain English summaries of business cases will be provided by scheme promoters, the relevant Independent Technical Advisor will also provide plain English summaries of their assessments of scheme identification, sifting, prioritisation, and business case assessment.

### Working arrangements and meeting frequency

53. The SWLEP Board has a minimum of five scheduled meetings a year to:
- Take the initial decision on the prioritisation of the scheme programme based on information provided by the SWLEP Commissioning Group and SWLEP Board Sub-groups;
  - Consider scheme business cases;
  - Make scheme approval decisions;
  - Discuss overall programme delivery; and
  - amend the Assurance Framework as per the Legal Agreements with the Accountable Body.
54. A special meeting of the SWLEP Board can be held in exceptional circumstances or when an urgent decision is required.
55. The meeting dates of the SWLEP Board will be published on the SWLEP website with a minimum of four weeks advance public notice (except for special SWLEP meetings which will be publicised as soon as possible after the meeting date is confirmed).
56. Agenda and papers for the SWLEP Board meeting will be made available on the SWLEP website a minimum of five clear working days prior to the relevant meeting. Minutes will be published<sup>3</sup> no later than ten clear working days after the relevant

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<sup>3</sup> This may be in draft pending approval; final minutes of Board meetings will be published within ten clear working days of being approved

meeting and will be published in draft if they have not been finalised. All Board meetings will be open to the public.

## Diversity

57. The SWLEP is committed to meeting its obligations under the Public Sector Equality Duty. In devising policy and taking decisions, all emanations of the SWLEP [Secretariat, Board and its Subgroups, Commissioning Group and JSEC, as well as ESIF sub-Committee] will take due regard of the Equality Duty to:

- eliminate unlawful discrimination
- advance equality of opportunity
- foster good relations.

58. The SWLEP recognises its role to advance equality, and in particular acknowledges the nine protected characteristics. The SWLEP will meet its obligations by working to understand how its policies and decisions affect people differentiated by age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation. It will actively take steps to reduce any discrimination of people or communities with these characteristics, by using all reasonable endeavours to:

- Remove or minimise disadvantages suffered by people due to their protected characteristics.
- Take steps to meet the needs of people from protected groups where these are different from the needs of other people.
- Encouraging people from protected groups to participate in public life or in other activities where their participation is disproportionately low.

59. The SWLEP is a signatory to the Wiltshire and Swindon Equality & Human Rights Charter, which ensures that it partakes in promoting equality and tackling discrimination.

60. Wiltshire Council, in acting as the SWLEP's Accountable Body also has a duty to ensure that any steps that the SWLEP ought to take in promoting equality and tackling discrimination and obligations under the Public Sector Equality Duty under the Equality Act, are taken.

61. Furthermore, the SWLEP Board will seek to recruit its private sector members from businesses which vary in size and which operate in a wide range of sectors including SEP priority sectors. The SWLEP will work with its partners to engage with the wider business community through a range of media including their business engagement leads at its Unitary Authority Partners.

62. The Chair of the Business Development Subgroup will be act as the named Board Lead for Small and Medium Sized Enterprises.
63. The SWLEP Subgroups will lead on sector based engagement and will establish task and finish Sector Engagement Groups as required to progress the delivery of the SEP priorities and engage in consultation exercises. The Business Development Subgroup will work with relevant businesses to establish sector engagement groups linked to the priority and “ones to watch” business sectors identified in the strategic economic plan. The sector engagement groups will cover:
- Advanced manufacturing;
  - Health and Life Sciences;
  - Digital and ICT;
  - Financial and Business Services;
  - Land-based industries (provided through the Rural Economy Sector Group);
  - Visitor economy including the creative and cultural industries;
  - Adult Health and Social Care
  - Low carbon; and
  - Construction

### Freedom of information

64. As the Accountable Body, Wiltshire Council will deal with requests to the SWLEP under the Freedom of Information Act 2000 and the Environmental Information Regulations 2004 in line with its standard procedures. In some instances, however, it is appropriate for the promoting authority of a scheme to deal with these matters rather than the Accountable Body. These issues will be reviewed and agreed on a case by case basis by the Accountable Body Monitoring Officer or their delegate.
65. The SWLEP will adhere to the Local Government Data Transparency Code (available from <https://www.gov.uk/government/publications/local-government-transparency-code-2015>).

### Conflicts of interest

66. It is vital that SWLEP Board Members act in the interest of the area as a whole and not according to the sectoral or geographic interests of their member organisations. The decisions that the SWLEP Board make to drive economic growth are, therefore, based on an analysis of robust process; business cases produced by the scheme promoter(s); and are assisted in this respect by Independent Technical Advisors.
67. The SWLEP Governance Framework includes in Section 3 a Conflicts of Interest Policy and full members of the SWLEP Board and its Subgroups are required to disclose at Board meetings and using the SWLEP’s Register of Interests form any

potential conflicts of interest or pecuniary interests (e.g. direct financial interest in a scheme through employment or personal gain including any interest as a result of close personal relationships or friendships) which may prevent them from making an impartial decision (Appendix D). Depending on the nature of this interest, there may be the need to co-opt another suitable member on to the SWLEP Board for the purpose of making the decision in question.

68. Publicly elected Members and senior staff (or those staff advising on decisions) of the SWLEP will declare their interests using the SWLEP Register of Members' Interests form in addition to their respective local authority's register of interests. Senior staff of the SWLEP are to review the Register every six months. Elected Members must abide by their respective authority's code of conduct and the SWLEP code of conduct when conducting SWLEP business. In the event of a complaint that an alleged action or actions by a Board Member or a number of Board Members contravene(s) the Code of Conduct, the Board will convene a group of 3 independent individuals (The Independent Review Panel), who are not conflicted by the allegation and have the required skills to review the veracity of the allegation. The group is charged with making a decision as to whether the allegation is fully or partially proven or unproven. The Independent Review Panel will report to the Board on the outcome of its review, including recommending to the Board what action it should take in respect of the Board Member or number of Board members who were the subject of the complaint.

69. Access to available registers of full member interests will be available to the public via links on the SWLEP website.

### **Code of Conduct**

70. All members of the SWLEP Board, its Subgroups and officers shall, when carrying out any duties or responsibilities on behalf of the SWLEP, abide by the 7 principles of public life: selflessness; integrity; objectivity; accountability; openness; honesty; and leadership as defined in section 28 of the Localism Act 2011.

### **Gifts and hospitality**

71. As defined in the explanatory information for the Register of Interests, members of the Board should not accept any personal gifts or hospitality from any individual or organisation (including contractors and/or outside suppliers) which has or may have a specific interest in any major scheme.

72. Using the Register of Interests form, each member must reveal the name of any person from whom they have received a gift or hospitality with an estimated value of at least £50 which they have received in their capacity as a member of the SWLEP.

## Complaints and whistle-blowing

73. Any individual or organisation is entitled to make a complaint about the work of the SWLEP if they feel that it is not being conducted in accordance with the Assurance Framework. All complaints and whistle blowing will be dealt with by the Accountable Body using the SWLEP's Complaints and Whistle-blowing policies (Section L and M of the SWLEP Governance Framework).

## Part Four: Accountable decision making

### Legal and Operational Arrangements

74. A Heads of Terms agreement between Wiltshire Council as the Accountable body and Swindon Borough Council and the SWLEP; the SWLEP Constitution and the SWLEP Assurance Framework have been developed. Combined these documents will define the workings of the SWLEP; the financial and operation arrangements associated with the SWLEP Secretariat and technical support functions; the responsibilities of the partner organisations and Members; financial contributions to support the Accountable Body role; and commitments to fund the reasonable costs of employing the Independent Technical Advisors for management and moderation meetings.

### Status of the SWLEP and the role of the Accountable Body

75. Democratic accountability for the SWLEP and its decisions are provided through the Unitary Authority Leader representation on the SWLEP Board, and the Joint Strategic Economic Committee. Wiltshire Council will be the Accountable Body for the SWLEP.

76. One of the primary roles of the Accountable Body is to hold the devolved major scheme funding and make payments to scheme promoters as per the Grant Agreements in place for each project or programme. The Accountable Body also has the following responsibilities conducted in line with the Grant Agreements in place between the Accountable Body, SWLEP and Scheme Promoters:

- Holds all funds allocated to the SWLEP, regardless of source, in separately identifiable Ledger Accounts and provide the SWLEP with financial statements as required
- Ensures that the decisions and activities of the SWLEP conform to legal requirements with regard to freedom of information, equalities, the environment and other matters.
- Ensures (through the Section 151 officer) that funds are used appropriately using the same checks that Wiltshire Council does of its own funds and in line with any grant conditions in the grant condition letter through a Section 31 Grant Determination (and not for its own purposes or without consent of the SWLEP).
- Ensures that the Assurance Framework is being adhered to.
- Ensures the official record of SWLEP proceedings is maintained and has access to all relevant SWLEP documents.
- Advises SWLEP on the legality of its decisions and provides support in responding to any challenges in public or private law.



- Responsible for the enactment and enforcement of the Legal Frameworks and Agreements between the Accountable Body, SWLEP and Scheme Promoters.
  - Ensures that there are arrangements for local audit of funding allocated by the SWLEP, as well as decision making and openness is comparable to Wiltshire Council's own arrangements for local authority spend.
77. For the allocation of funding, clarity of responsibilities for delivery and monitoring will be specified in the Grant Agreement between the Accountable Body and scheme promoters. Specification will include the requirement for the provision of delivery and performance information from programme managers every two months in line with the Monitoring and Evaluation Framework and Implementation Summary Reports and compliance to relevant legal agreements. This is primarily to monitor spend to budget, time and to scope of inputs by project.
78. The role of Accountable Body and Wiltshire Council as a scheme promoter will need to be kept strictly independent of each other to provide assurance that there is no conflict of interest. The Heads of Terms Agreement will specify the procedures for ensuring no conflict of interest and clarity of roles, responsibilities, communications, monitoring and reporting.
79. The Accountable Body will complete any decision-making and review of any SWLEP Board decision within a reasonable timeframe as defined in the Heads of Terms Agreement between the Accountable Body and SWLEP.
80. Where the Accountable Body deems its responsibilities cannot be met due to a decision made by the SWLEP Board, the issue will be raised to the SWLEP Board and the Joint Strategic Economic Committee. The process for resolution will be through a meeting of the Accountable Body with the SWLEP Board. If a satisfactory solution cannot be found, then the issue will be referred to the Joint Strategic Economic Committee for its view which will be passed back to the SWLEP Board. This process does not preclude the Accountable Body from making higher complaints or whistle-blowing in line with Wiltshire Council's own complaints procedure. If the issue cannot be resolved the matter will be referred to the Secretary of State for Business Energy and Industrial Strategy.
81. In the event of concerns being raised about the actions or decisions of Wiltshire Council acting as the Accountable Body for the SWLEP, the matter will be reviewed by the Director of Law and Democratic Services at Swindon Borough Council. The results of the investigation will be reported back to the SWLEP Board as soon as is practicable. If a satisfactory solution cannot be found, then the issue will be referred

to the Joint Strategic Economic Committee for its view which will be passed back to the SWLEP Board. If the issue still cannot be resolved the matter will be referred to the Secretary of State for Business Energy and Industrial Strategy.

82. If the Accountable Body or SWLEP Delivery and Performance Team deem that scheme delivery is not meeting requirements and cannot be rectified then it will discuss the situation with the SWLEP Commissioning Group and subsequently with the SWLEP Board. In line with the Accountable Body Grant Agreement, a decision may be made by the SWLEP Board to either claw back funding or to discontinue further allocations from the quarter in which the SWLEP Board decision has been made.
83. The Accountable Body will notify the Scheme Promoter of the issue and process escalation, as well as notifying the Scheme Promoter to cease work on the scheme and of the decision of the SWLEP Board. The opinion of the relevant Independent Technical Advisor should also be sought to inform decision making.
84. The SWLEP Board will then reallocate funding aligned with its over-programmed priority list of schemes in accordance with the Accountable Body Heads of Terms Agreement and subject to HM Government conditions and delegation of grant funding management in this manner.

### Audit and scrutiny

85. As the Accountable Body, Wiltshire Council will appoint independent qualified auditors in accordance with the arrangements set out in the Accountable Body Heads of Terms Agreement to establish that the SWLEP is operating effectively within the terms of the Assurance Framework. The SWLEP will consider any recommendations of the auditors and take necessary action to remedy any identified shortcomings.
86. The specific roles of the SWLEP in driving economic growth are to:
  - Develop strategic economic plans and policies, including amendments to the Swindon and Wiltshire Strategic Economic Plan;
  - Identify a prioritised list of schemes within the available budget including under / over programming to enable prudent management;
  - Make decisions based on the scrutiny of individual scheme business cases;
  - Approve the release of funding in consultation with the Accountable Body Section 151 Officer and in accordance with the Accountable Body Heads of Terms to the relevant scheme promoter in line with any grant conditions in the grant condition letter through a Section 31 Grant Determination;
  - Ensure value for money is achieved;

- Monitor progress of scheme delivery and spend;
- Ensure on-time delivery of schemes to the programme; and
- Actively manage the devolved budget and programme to respond to changed circumstances.

87. Other relevant objectives are included in a variety of local documents including Local Plans, Local Transport Plans for Swindon and Wiltshire, and the Swindon and Wiltshire City Deal. With the refresh of the Strategic Economic Plan, key strategic and prioritised objectives may change.

## Part Five: Ensuring value for money – prioritisation of schemes

### Candidate Schemes

88. To date, the majority of candidate schemes have been identified as part of the Strategic Economic Plan, Local Plan, and Local Transport Plan processes undertaken by Swindon Borough Council, Wiltshire Council and the SWLEP. Henceforth candidate schemes will be identified through the SWLEP running a formal open call for schemes against the priorities in its strategic economic plan. In advance of a call, the SWLEP will publish the full methodology and criteria against which schemes will be assessed (based on the strategic objectives of the SEP and meet the SWLEP's value for money requirements) and the indicative timeline in which this will be undertaken. These calls will be actively promoted and supported to gain wide business interest. In doing so, the SWLEP will draw on current best practice published by relevant departments and non-departmental public bodies depending on the nature of the call<sup>4</sup>. Calls may be issued in response to a new funding programme being announced or in order to develop a pipeline of schemes in anticipation of future funding coming on stream. Broadly each scheme will need to demonstrate that it meets the following criteria:

- Description: a short description of the scheme and the geographical area covered.
- Purpose and objectives: an outline of how the scheme relates to the Strategic Economic Plan (in particular its strategic objectives and priority actions), and other relevant key plans and strategies such as Local Plans and Transport Plans;
- Problems and opportunities: a short description of the identified problems or opportunities being addressed;
- Evidence: a short description of the available supporting evidence;
- Consultation and public acceptability: an outline of what consultation has taken place and what degree of consensus has been achieved;
- Key risks: an outline of the key risks associated with the scheme and its delivery; and
- Financial: an estimate of the capital and revenue scheme costs and income (if applicable), and the potential funding sources

89. Based on the information provided, a simple documented assessment of the strategic fit, commercial fit and deliverability of each scheme will be undertaken against the following criteria:

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<sup>4</sup> As set out in Appendix A of the National Assurance Framework, DCLG, November 2016

- Is there a strong strategic fit with the SEP and relevant adopted policies and strategies, and does the scheme solve a recognised problem or help realise opportunities?
- What is the indicative amount and source of any non-SWLEP related funding?
- Are any associated revenue costs likely to be fundable (e.g. through income receipts, operators, or developer contributions)?
- Can the scheme be delivered within relevant funding and planning timescales?
- Is the scheme likely to be publically acceptable and supported by key partners/stakeholders (and any evidence)?

90. The results of the above shortlisting process will be signed off by the SWLEP Board. Projects that are not taken forward will not necessarily be rejected outright but the relevant scheme promoter may be requested to have further development work carried out so that the project(s) could be re-considered for future rounds of funding.

91. The ability to fund typically more significant cross-Local Enterprise Partnership boundary schemes will depend on pooled funding and securing additional third-party funding. Given the additional complexities associated with cross-boundary working, candidate schemes need to be identified at the earliest possible stage in association with neighbouring Local Authorities and Local Enterprise Partnerships.

## Independent Technical Advisors

92. To comply with Central Government requirements and to provide further transparency and accountability, Independent Technical Advisors (ITAs) will be engaged by the SWLEP to provide scrutiny, and be experienced experts in their field (e.g. transport, housing and planning, skills, business support) and in Central Government appraisal approaches and methods.

93. At the initial scheme assessment and strategic outline business case stages, the Independent Technical Advisors will advise on scheme sifting and prioritisation, assessment of individual scheme business cases, and overall programme management. In addition, the independent advice will be commissioned to advise the Board on the overall prioritisation of all projects against the criteria of the respective funding scheme and undertake an options analysis in event of an allocation below the submitted bid to the funding authority. The Independent Technical Advisors need to be a suitable independent specialist consultant (i.e. one that does not act as a term consultant for either Unitary Authority). At the full business case stage, the Independent Technical Advisors, SWLEP Secretariat, Programme Manager and

Scheme Promoters will be expected to work closely together, including identifying and resolving any issues.

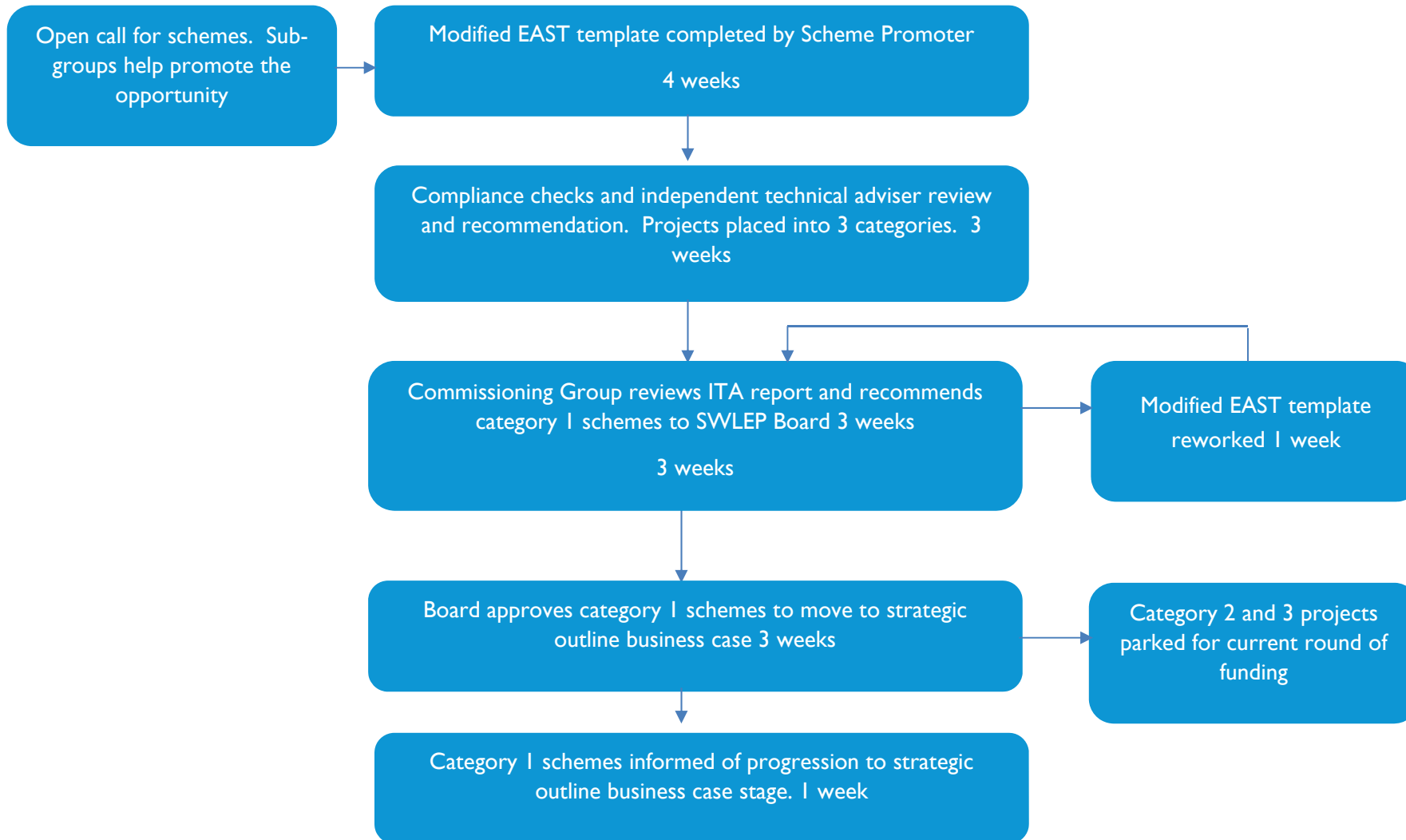
94. Reasonable costs related to the assessment of schemes for scheme sifting and prioritisation purposes and the review of individual scheme business cases by the Independent Technical Advisors will be charged to the relevant scheme promoting. This will be in relation to work specifically carried out on an individual project. The SWLEP will select and appoint a suitable ITA for each scheme to be assessed. General costs for any Independent Technical Adviser work carried out across a number of projects (for example moderation meetings) will be borne by the SWLEP.

### Stage I: Initial scheme assessment, sifting and prioritisation

95. All shortlisted schemes seeking future funding will be put through a process of assessment and sifting using a modified version of the Department for Transport's Early Assessment and Sifting Tool (EAST) process (one format for transport projects and a separate format for non-transport projects). The use of the modified EAST forms the initial part of SWLEP's appraisal process.
96. The modified EAST form follows the five cases of the 'Green Book', Her Majesty's Treasury's guidance on appraisal and evaluation and is an assessment process that provides equal weighting across all policy areas.
97. The 'five cases' are:
- The 'strategic case' – the scheme is supported by a robust case for change that fits with wider public policy objectives;
  - The 'economic case' – the scheme demonstrates value for money;
  - The 'commercial case' – the scheme is commercially viable;
  - The 'financial case' – the scheme is financially affordable; and
  - The 'management case' – the scheme is achievable.

Scheme promoters are responsible for providing the necessary high level information and supporting evidence to enable the SWLEP prioritisation process to take place (Figure 3).

**Figure 3: Stage I Initial scheme assessment, sifting and prioritisation, 10-11 weeks from closing date of call.**



98. The relevant Independent Technical Advisor will review, moderate and score EAST assessments using the average score for each case, factored for the level of risk or uncertainty, and rank schemes against each of the five cases.
99. An independent and professional recommendation will be made of an overall ranked scheme list giving more preference to schemes with stronger strategic and / or economic cases. The ranked list will be referred to the SWLEP Board for review and approval.
100. A light touch review of the scheme assessment and sifting process will be undertaken as required with a comprehensive review taking place when significant new funding opportunities are identified, or when the SWLEP Board identifies new projects that should be taken account of, for example, as a result of a call for schemes, a SEP refresh or Local Plan review.
101. The sifting process will produce a short-list of potential schemes that will be subject to further prioritisation by the SWLEP Board through business case development. The Independent Technical Advisor will work with each scheme promoter to recommend a suitable and proportionate approach to business case development which will assure value for money and a satisfactory level of deliverability.

## **Business case development**

102. Business case development must follow Her Majesty's Treasury's 'Green Book: Appraisal and Evaluation in Government process or relevant Government Department guidance such as the Department for Transport's WebTAG process for transport schemes. Each scheme should have a named individual responsible for ensuring value for money.

### **A. Proportionality**

103. It is important that the approach and method used for appraisal and business case development is proportionate. Proportionality is with regard to the value of the scheme and the impact of the scheme. A small scheme with a low impact does not exempt the business case from adhering to the relevant Central Government departmental or agency guidance, rather the detail of the analysis and evidence need not be so rigorous.

### **B. Business case development costs**

104. The scheme promoter is responsible for all up-front costs at each stage of the business case development. However, if a scheme is approved for implementation, the scheme promoter will be able to claim back preparatory costs that are considered to be 'capital' providing these costs have been included in the overall



scheme cost articulated in the business case and subject to the details of the Grant Agreement with the Accountable Body.

### **C. Provision of local match funding**

105. Scheme promoters should demonstrate that they have explored all possible sources of match funding when putting forward a scheme for assessment. While a high level of contribution will not necessarily increase a scheme's level of priority in the programme, it may be considered a factor where there are marginal differences between schemes.

### **D. Business case publication**

106. Once shortlisted by the SWLEP Board, priority schemes will be consulted on at the Outline Business Case (SOBC) stage. Details of each prioritised business case will be made available, in full for transport schemes and with overview posted for non-transport schemes with links on the SWLEP website together with the comments of the Independent Technical Advisors for public comment and review for a minimum of 4 weeks prior to submission to the SWLEP Board.

## **Stage 2: Strategic Outline Business Case**

107. Scheme promoters of shortlisted schemes will be required to develop a proportionate Strategic Outline Business Case (SOBC) or equivalents defined by relevant guidance (for example the DfT's WebTag guidance) for their schemes (Appendix B) and submit these to the SWLEP for review. The Strategic Outline Business Case sets out the need for intervention (the case for change) and how this will further the SWLEP's objectives (its strategic fit) (Figure 4).
108. The SOBCs will be assessed by the relevant Independent Technical Advisor through a defined and universal process of assessment. This will help ensure consistency of approach and fair assessment.
109. Feedback will be provided to the scheme promoter and the SWLEP through a Strategic Outline Business Case Assessment Report. The report will make recommendations for scheme business case progression or improvement and will contain an assessment of each of the five cases (paragraph 95). At this stage the main focus will be on making the strategic economic case for the investment.
110. The Independent Technical Advisors may recommend that a scheme is not prioritised as part of a ranked package of schemes and is amended for the same or a later bidding round; or included in a ranked priority list of schemes for funding.

111. Completed SOBCs together with the Independent Technical Advisor Strategic Outline Business Case Report should be reviewed and signed off by the Commissioning Group before being presented to the SWLEP Board for priority list review and potential approval (Figure 3).
112. If approved by the SWLEP Board, no further work is required on the business case until Government funding has been allocated to the scheme. The scheme will be allocated to a priority list of schemes alongside other priority schemes. Scheme promoters may continue to develop the business case at their own risk if they so choose.
113. If funding is not approved, the scheme promoter may bring the scheme back for Stage 2 reassessment within the financial year. If time does not permit, the SWLEP Board will agree how to reallocate the funding to the over-programmed and prioritised list of schemes or postpone the scheme in accordance with the Accountable Body Heads of Terms Agreement and notifying Government subject to Government's conditions and delegation of grant funding management in this manner.
114. Where funding for a scheme has been approved by Government at Stage 2: Strategic Outline Business Case, a grant agreement between the scheme promoter and the Accountable Body (including its Section 151 Officer) based on the information provided in the SOBC and the SOBC Case Assessment Report will lead to a formal agreement between the SWLEP and the scheme promoter. The development of an Outline business Case and/or Full Business Case may be a requirement of this grant agreement depending on the nature of the scheme. All transport schemes will be required to develop an Outline Business Case.
115. The grant agreement will set out the conditions under which the devolved funding is to be spent and the respective responsibilities of all parties. The scheme promoter is responsible for informing the SWLEP of any significant changes to a scheme's scope, costs and implementation timetable.

### **Stage 3: Outline business case**

116. If successful in receiving a funding allocation from Government, scheme promoters will be requested to develop their scheme to Outline Business Case. The Outline Business Case includes a full economic and financial appraisal, and develops the commercial and management cases. The Outline Business Case will follow the Strategic Outline Business Case process for approval.

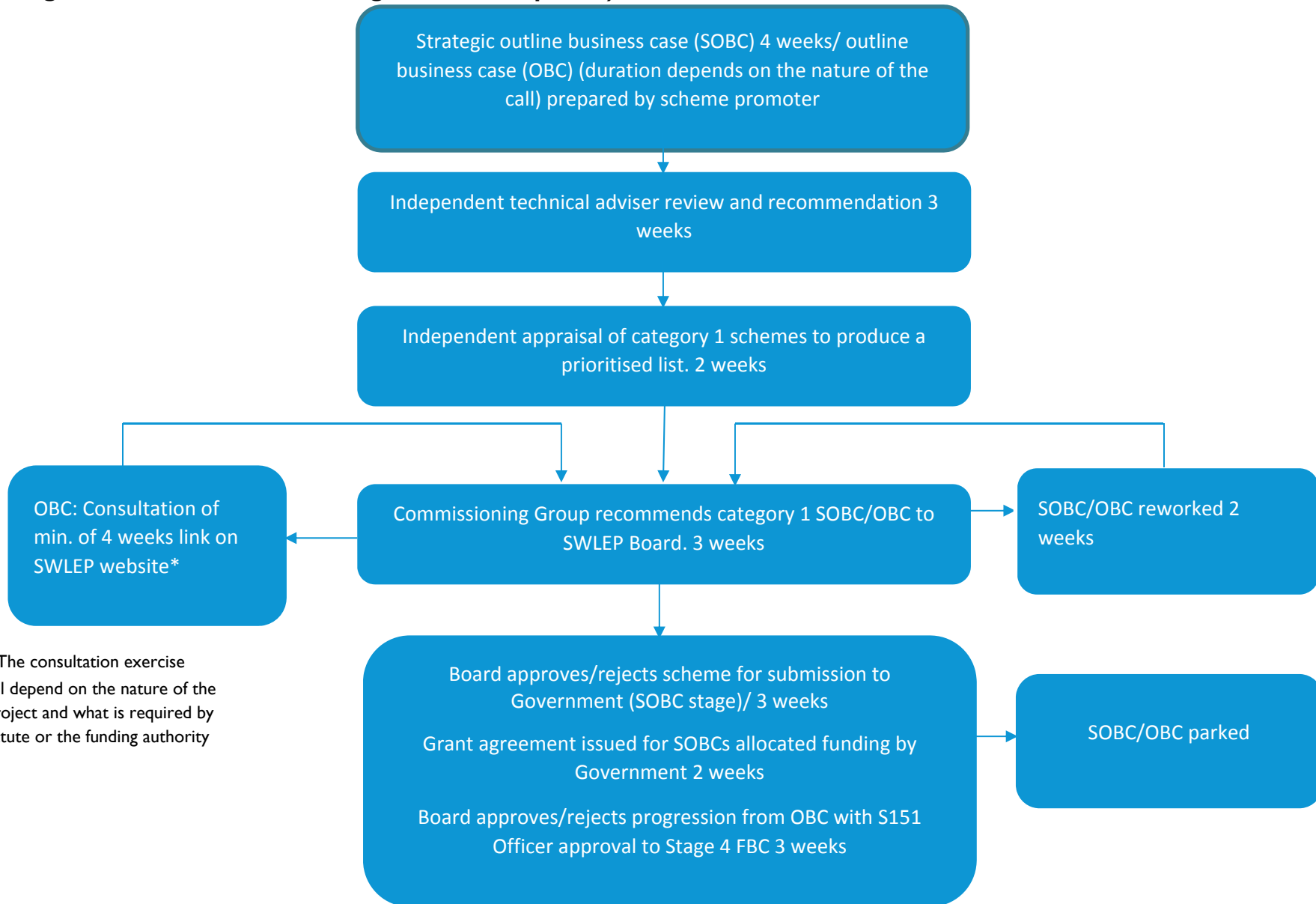
## Stage 4: Full business case

117. If successful in receiving a SWLEP Board approval at Outline Business Case stage, transport scheme promoters will be requested to develop their scheme to Full Business Case (FBC). The development of the FBC has a far greater emphasis on commercial, financial and management cases, ensuring arrangements are appropriate for effective delivery, including necessary statutory and procurement requirements (as appropriate).
118. The FBCs will be reviewed by the SWLEP and Accountable Body with the support of the relevant Independent Technical Advisor, with feedback provided to the scheme promoters, SWLEP and the Accountable Body Section 151 Officer through a Full Business Case Assessment Report. The Full Business Case Assessment Report will follow the format set out in the Outline Business Case Assessment Report.
119. Approval of the FBCs will be required by the SWLEP Board and the Accountable Body (including its Section 151 Officer). Based on the information provided in the FBC and the Full Business Case Assessment Report the grant agreement between the SWLEP and the scheme promoter may need to be updated. The scheme promoter is responsible for informing the SWLEP of any significant changes to the scheme's scope, costs and implementation timetable.
120. If funding is not approved, the scheme promoter may bring the scheme back for Stage 4 reassessment within the financial year. If time does not permit, the SWLEP Board will agree how to reallocate the funding to the over-programmed and prioritised list of schemes or postpone the scheme in accordance with the Accountable Body Heads of Terms Agreement and notifying Government subject to Government's conditions and delegation of grant funding management in this manner.

### **Value for money**

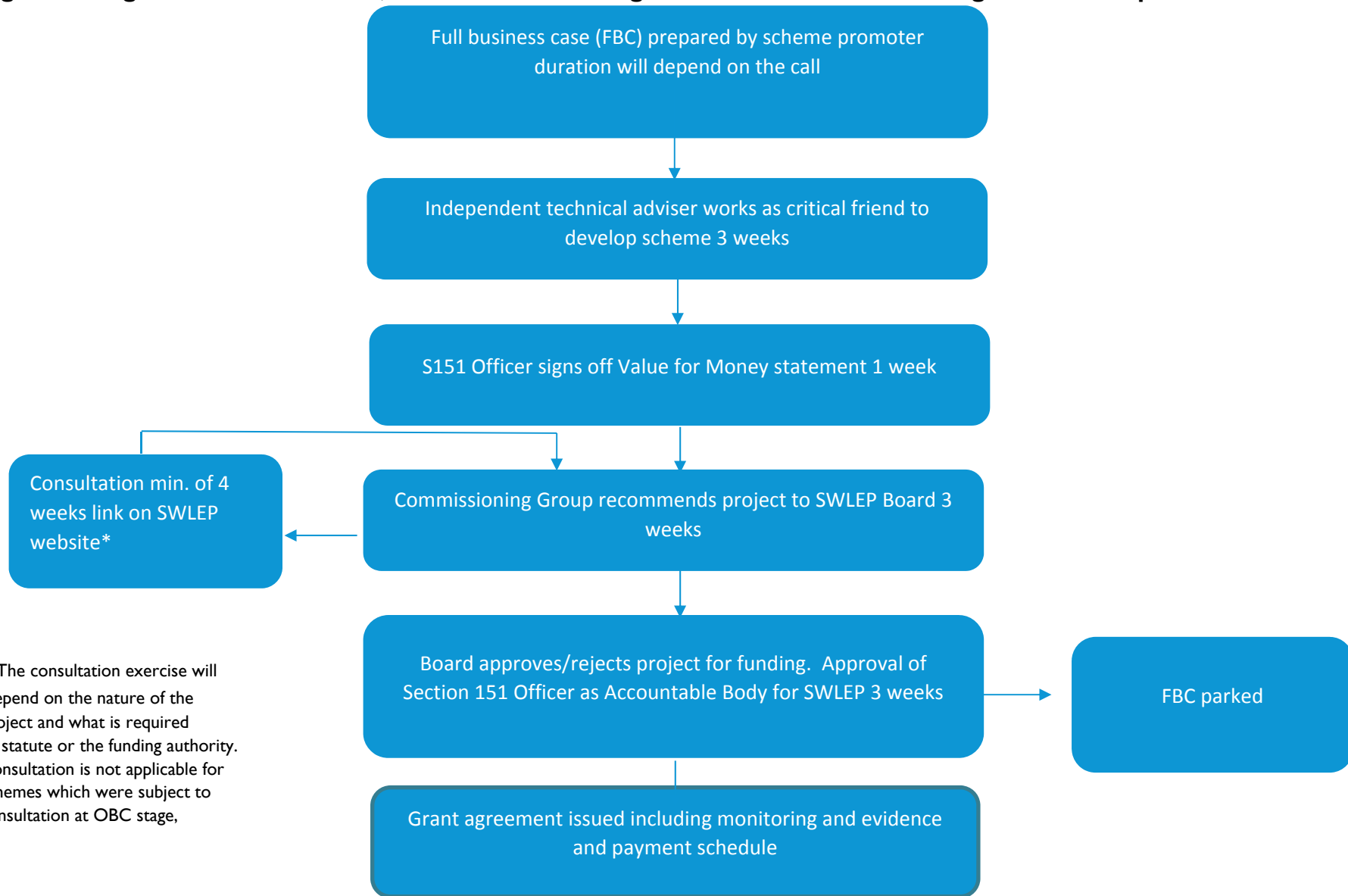
121. The Value for Money assessment should provide a Benefit Cost Ratio (BCR) of the scheme using monetised impacts in line with guidance. While it is expected that most schemes will need to have a Benefit Cost Ratio of 2:1 and over to gain approval, account will also be taken of a scheme's wider economic, environmental and social / distributional impacts. This means that a scheme with a low or medium BCR may still be considered for approval if wider objectives provide a compelling case (as determined by the Independent Technical Advisors) taking into account broader appraisal evidence in relation to:

**Figure 4: Stage 2 Strategic Outline Business Case (17-19 weeks) and Stage 3 Outline Business Case (11-13 weeks from closing date of submission excluding consultation period)**



\* The consultation exercise will depend on the nature of the project and what is required by statute or the funding authority

**Figure 5: Stage 4: Full business case, 10 weeks from closing date for submission excluding consultation period**



\* The consultation exercise will depend on the nature of the project and what is required by statute or the funding authority. Consultation is not applicable for schemes which were subject to consultation at OBC stage,

- Schemes with a Benefit Cost Ratio between 1:1 and 2:1 to be considered for funding approval where there is an overwhelming strategic case on economic / development related, social, and / or environmental grounds (with minimal risk in the other cases).
  - Where scheme benefits are notoriously difficult to appraise in monetary terms and there are qualitative benefits which if monetised, the adjusted Benefit Cost Ratio would most likely increase above 2:1; and
  - Where schemes are less than £2.0m and high value for money is estimated, but to conduct further quantified and monetised economic appraisal would be disproportionate.
122. The Scheme Promoter will be required to produce a Value for Money Statement in line with the relevant Government department or agency's guidance at each stage of the business case assessment and prioritisation process. The economic case (including the Value for Money Statement) will then be reviewed and updated as necessary to reflect changes in the scheme's scope, cost, and benefits in line with guidance and as per the Accountable Body Legal Agreement. The relevant Independent Technical Advisor will advise on submitted Value for Money Statements as part of their reporting, and make recommendations to the SWLEP Board at Stage 4 - Full Business Case.
123. The Value for Money Assessment and Statement will be signed off as true and accurate by the Section 151 Officer of the scheme promoting authority and of the Accountable Body. The SWLEP will approve the business case based on the Value for Money Assessment and Statement, and other evidence as appropriate. The Independent Technical Advisors will provide independent review of the Value for Money Assessment and Statement prior to sign off by the Accountable Body Section 151 Officer.
124. Scheme Promoters will need to provide a detailed funding profile for review by the Accountable Body Section 151 Officer as part of Full Business Case development. This will be used to ascertain funding arrangements as per the Legal Agreements in place with the Accountable Body.
125. Scheme Promoters must monitor and evaluate their scheme's progress in line with the SWLEP Monitoring and Evaluation Framework which is available on the SWLEP website. Each scheme will also have an Implementation Summary Reporting containing delivery milestones.

## **Release of funding, cost control and approval conditions**

126. The Accountable Body will not release any funding to the scheme promoter until a proportional level of business case has been approved by the SWLEP Board, JSEC and the Accountable Body in the form of the Section 151 Officer, and that the grant agreement conditions of use of the funding have been accepted by the scheme promoter.
127. Preparatory costs that are considered to be 'capital', providing these costs have been included in the overall scheme cost, will be paid upon approval. In addition, according to the conditions of each award up to a maximum of 10% of monies awarded will be released at the start of the scheme. All other payments will be made a quarter in arrears, based on profiles and following successful audit of claims required in accordance with the conditions of each award. If the claim differs from the agreed funding profile then the scheme promoter will also need to explain this in their submission for audit.
128. The SWLEP scheme contribution will be capped at the level set out in the award letter; therefore, any cost increases will need to be borne by the scheme promoter. Where there is a forecast underspend, or a scheme is not progressing, any monies held will be returned to the Accountable Body, and the further release restricted to new schemes only, unless the scheme promoter seeks and gains approval for a re-profiling of the scheme spend.
129. The scheme promoter will be responsible for submitting financial claim forms (signed by the Section 151 officer or equivalent) to the Accountable Body.
130. The Accountable Body will advise the SWLEP of any concerns or irregularities. The SWLEP and/or the Accountable Body reserves the right to suspend funding at the end of any quarter, or request the return of previous funding payments, if it believes that there is a misuse of funds.

## **Programme and risk management**

131. Scheme promoters will be required to provide an initial programme for each prioritised scheme. The programme should include estimated timescales for the following:
- Production of business cases;
  - Completion of associated technical work;
  - Progress of outline and detailed design;
  - Statutory orders;
  - Public consultation;

- Procurement; and
- Construction of scheme.

- I32. The SWLEP Director will be the responsible officer for the management of risk within the LGF programme under the scrutiny of the Commissioning Group. At an operational level, the SWLEP Programme Manager or nominated Programme Manager will meet the Scheme Promoter to discuss the progress of schemes. The frequency of these meetings may depend on the complexity and scale of the scheme as well as the stage of preparation / construction and any risk issues previously identified and will be agreed in advance of a formal funding agreement being signed.
- I33. Scheme and programme risk levels will be closely monitored on a regular basis by the SWLEP Delivery and Performance Team. The default position is that the scheme promoter is expected to manage risk within the scheme and its funding envelope. Any significant issues that affect the programme as a whole will be referred to the next Commissioning Group meeting and SWLEP Board meeting, including proposed modifications to the programme in the light of scheme progress.
- I34. Potential risks to the delivery of the scheme programme, such as overspend and delays to timescales, must be highlighted immediately in line with the tolerances set out in the Grant Agreement with the Accountable Body. Scheme promoters should also produce and maintain risk registers for their schemes and set out how they will manage potential risks.



## Appendix A: Subgroup Terms of Reference

	<h3>SWLEP Subgroups Terms of Reference</h3>
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### 1. Purpose

- 1.1. In March 2016 the SWLEP Board approved the implementation of a structure of subgroups aligned to the strategic objectives of the Strategic Economic Plan (SEP). In order to provide robust Board oversight of the implementation of the SEP, it is proposed that the Board establishes five Subgroups to reflect its strategic objectives.
- 1.2. The Subgroups are responsible for overseeing and providing strategic direction, advice and support to the SWLEP Board to ensure the Swindon and Wiltshire Local Enterprise Partnership's strategic objectives are delivered successfully.
- 1.3. There are 5 Subgroups:
  - Skills and Talent;
  - Transport;
  - Digital Capability;
  - Place Shaping; and
  - Business Development.

### 2. Governance

- 2.1. The Subgroups shall be accountable to the SWLEP Board and must operate at all times within the parameters of the SWLEP Assurance Framework. The decisions and business of each subgroup shall be subject to the overview and scrutiny function set in place for the SWLEP.
- 2.2. Each Subgroup will have a SWLEP Board Member as the Chair and Vice-Chair who act as the link between the sub-group and the Board. Each sub-group will also have a Lead Officer acting as the link to the Secretariat and the Officers Group. The Board will set the overall strategic context for the sub-groups and the responsibility for approving project prioritisation rests with the SWLEP Board. The sub-group will offer the Board advice in its specialist area and the Chair or Vice Chair of individual sub-groups will report on activity to the SWLEP Board.

### 3. Scope

- 3.1. The Chair, with the support of the Lead Officer will manage the operation of each Sub-group to deliver the priority actions identified in the SEP for each of the strategic objectives. The sub-groups will:
- 3.1.1. Oversee the development, implementation and delivery of the SWLEP's strategic objectives that will support long-term sustained growth in the local economy;
  - 3.1.2. Provide advice and support to the SWLEP Board on relevant policy matters and issues relating to the subgroup focus that require strategic action and consideration including consideration of the implications of national Government policy changes on programmes and projects as they arise;
  - 3.1.3. Analyse performance information pertaining to their areas of focus and advise the SWLEP Board on emerging implications and opportunities;
  - 3.1.4. Ensure strategic linkage and close working with other SWLEP Subgroups and relevant Unitary Authority teams;
  - 3.1.5. Through strong links with the SWLEP Communication Manager, support the implementation of the SWLEP's marketing and communication strategy;
  - 3.1.6. Undertake such other functions as prescribed or agreed upon by the Sub-Group and agreed by the Board;
  - 3.1.7. Oversee the development and implementation of its own strategy, undertake stakeholder management activity and review the delivery of projects and programmes which fall under its strategic remit (Table 1); and
  - 3.1.8. Request funding, if required, up to an agreed amount from the Board to support strategy development and stakeholder management.

**Table 1: Overview of sub-group activity**

Sub-group	Overview
<b>Skills and talent</b>	<p>Development and delivery of the Swindon and Wiltshire Skills and Talent Plan in response to the priority in the SWLEP's Strategic Economic Plan.</p> <p>Maintain oversight over SWLEP funded skills and talent projects and the delivery of European and other funded skills projects in order to inform the SWLEP board of emerging strengths and weaknesses.</p>
<b>Transport Infrastructure</b>	<p>Develop the Swindon and Wiltshire Transport Infrastructure Plan in response to the priority in the SWLEP's Strategic Economic Plan.</p> <p>Maintain oversight over SWLEP funded transport projects and the delivery of European and other funded transport projects in order to inform the SWLEP board of emerging strengths and weaknesses.</p> <p>This sub-group replaces the former Swindon and Wiltshire Local Transport Body.</p>

<b>Sub-group</b>	<b>Overview</b>
<b>Digital capability</b>	Develop and deliver the Digital Capabilities Plan in response to the priority in the SWLEP's Strategic Economic Plan. Maintain oversight over SWLEP funded digital capability projects and the delivery of European and other funded digital capability projects in order to inform the SWLEP board of emerging strengths and weaknesses.
<b>Place-Shaping</b>	Develop and deliver the Swindon and Wiltshire Place-Shaping Plan in response to the priority in the SWLEP's Strategic Economic Plan. Maintain oversight over SWLEP funded place-shaping projects and the delivery of European and other funded place-shaping projects in order to inform the SWLEP board of emerging strengths and weaknesses.
<b>Business development</b>	Develop and deliver a Swindon and Wiltshire Business Development Plan in response to the priority in the SWLEP's Strategic Economic Plan. Maintain oversight over SWLEP funded business development projects and the delivery of European and other funded business development projects in order to inform the SWLEP board of emerging strengths and weaknesses.  The Chair, with the support of the Vice Chair, to act as the representative of Small and Medium Enterprises on the SWLEP Board.

#### **4. Sector Engagement Groups**

- The Business Development Subgroup will work with relevant businesses to establish sector engagement groups linked to the priority and “ones to watch” business sectors identified in the strategic economic plan:
- Health and Life Sciences;
- Digital and ICT;
- Financial and Business Services;
- Advanced manufacturing;
- Land-based industries (provided through the Rural Economy Sector Group);
- Visitor economy including the creative and cultural industries;
- Adult Health and Social Care
- Low carbon; and
- Construction

#### **5. Membership**

- 5.1. The Chair and Vice Chair for each sub-group will be private sector Board members who will be supported by a Lead Officer and administrative assistance from the SWLEP core team.
- 5.2. The Chair will hold the post for 3 years, or for the period which is co-terminus with their remaining Board tenure whilst the Vice Chair will rotate annually

amongst Board Members. If the Chair is not present at any meeting the Vice Chair will preside.

- 5.3. The Lead Officer will liaise regularly with the Chair, help manage the work of the Subgroup and ensure reports for the Board are prepared in a timely and accurate manner and will co-ordinate additional support when required. In addition, the Lead Officer will liaise with the SWLEP's Communications Manager over communication and engagement matters.
- 5.4. Each subgroup will include at least three businesses representatives with relevant experience of the sub-group theme, without having a proprietary or potential pecuniary interest. The role of these additional representatives is to provide advice to the Chair and Vice-Chair from a business perspective.
- 5.5. The Subgroups will determine additional attendees such as experts and temporary members according to need.

## **6. Conflict of interest**

- 6.1. The SWLEP Governance Framework includes in section 3 a Conflicts of Interest Policy and members of the SWLEP Subgroups are required to disclose at Subgroup meetings and using the SWLEP's Register of Interests form any potential conflicts of interest or pecuniary interests (e.g. direct financial interest in a scheme through employment or personal gain including any interest as a result of close personal relationships or friendships) which may prevent them from making an impartial decision. Depending on the nature of this interest, there may be the need to co-opt another suitable member on to the SWLEP Subgroup for the purpose of making the decision in question.
- 6.2. Publicly elected Members will continue to declare their interests using their respective local authority's register of interests. They must also declare any additional interests outside their own authority's area but within the SWLEP area boundary by completing the SWLEP Register of Interests form. Elected Members must abide by their respective authority's code of conduct when conducting SWLEP business.

## **7. Code of Conduct**

- 7.1. All members of the SWLEP Subgroup and officers shall, when carrying out any duties or responsibilities on behalf of the SWLEP, abide by the 7 principles of public life: selflessness; integrity; objectivity; accountability; openness; honesty; and leadership as defined in section 28 of the Localism Act 2011.

## **8. Quorum**

- 8.1. The quorum for a meeting shall be half the total membership plus one to include either the Chair or Vice Chair and one external business. No business

shall be transacted unless a quorum is present. If a quorum ceases to be present during a meeting the meeting shall be adjourned to a date to be agreed or determined by the Chair.

**9. Meetings**

9.1. The Subgroups will meet bi-monthly and at such other times as may be agreed. The agenda for any meeting shall be agreed by the Chair in consultation with members of the group. The agenda and supporting papers shall be circulated electronically to the members of the group at least five working days before the meeting. Meeting notes will be distributed within ten working days following the meeting. The time commitment for the members of the sub-groups is circa 30 hours a year.

**10. Variation and dissolution**

10.1. These terms of reference shall be reviewed by the SWLEP Board on an annual basis but can be amended as required to meet the current and evolving needs of the Sub-Groups with the agreement of the Board.

10.2. The dissolution of any Sub-Group can be made by the SWLEP Board or by the unanimous agreement of the Members and then ratified by the SWLEP Board.

**11. Agreement**

11.1. The above Terms of Reference for the SWLEP priority Sub-Groups have been agreed and signed by:

XXXX, Chair

\_\_\_\_\_

Sub-group

\_\_\_\_\_

Date

\_\_\_\_\_

## Appendix B: Transport specific requirements

### Reference paragraph 100 of the Assurance Framework

1. The modelling and appraisal of schemes contained in business cases must be developed in accordance with the guidance published by the Department for Transport in WebTAG at the time the business case is submitted to the SWLEP for approval.
2. Where applicable, associated transport modelling work should be based on forecasts which are consistent with the definitive version of the Department for Transport's National Trip End Model (NTEM). Alternative planning assumptions may be used and/or required by the SWLEP as sensitivity tests.

## Appendix C: Exclusion of Access by the Public to Meetings and / or Reports

### Reference paragraph 4I of the Assurance Framework

#### **B1: Confidential Information – Requirement to Exclude the Public**

The public must be excluded from meetings whenever it is likely in view of the nature of business to be transacted or the nature of proceedings that confidential information would be disclosed.

#### **B2: Exempt Information – Discretion to Exclude the Public**

The public may be excluded from a meeting whenever it is likely in view of the nature of the business to be transacted or the nature of the proceedings that exempt information would be disclosed.

#### **B3: Meaning of Confidential Information**

Confidential information means information given to the SWLEP by a Government Department, a local authority, partners, business or another agency on terms which forbid its public disclosure or information which cannot be publically disclosed by Court Order.

#### **B4: Meaning of Exempt Information**

Exempt information means information falling within the following categories (subject to any condition):

Category	Qualification
One: Information relating to any individual	Exempt information if and so long, as in all the circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information.
Two: Information which is likely to reveal the identity of an individual	Exempt information if and so long, as in all the circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information
Three: Information relating to the financial or business affairs of any particular person (including the authority holding that information)	<ul style="list-style-type: none"> <li>Exempt information if as so long, as in all the circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information.</li> <li>Information falling within paragraph 3 is not exempt information by virtue of that paragraph if it is required to be registered under:</li> </ul>

	<ul style="list-style-type: none"> <li>a) The Companies Act 1985</li> <li>b) The Friendly Societies Act 1974</li> <li>c) The Friendly Societies Act 1992</li> <li>d) The Industrial and Provident Societies Acts 1965 to 1978</li> <li>e) The Building Societies Act 1986</li> <li>f) The Charities Act 1993</li> </ul>
Four: Information relating to any consultations or negotiations, or contemplated consultations or negotiations, in connection with any labour relations matter arising between the SWLEP and employees of, or office holders under, the SWLEP	Exempt information if and so long, as in all the circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information.
Five: Information in respect of which a claim to legal professional privilege could be maintained in legal proceedings	Exempt information if and so long, as in all the circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information.
Six: Information which reveals that the SWLEP proposes: <ul style="list-style-type: none"> <li>a) To give under any enactment a notice under or by virtue of which requirements are imposed on a person, or:</li> <li>b) To make an order or direction under any enactment.</li> </ul>	Exempt information if and so long, as in all the circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information.
Seven: Information relating to any action taken or to be taken in connection with the prevention, investigation or prosecution of crime	Exempt information if and so long, as in all the circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information.



Information falling within any of the above paragraphs is exempt information if and so long, as in all the circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information.

**B5: Exclusion of Access by the Public to Reports**

The SWLEP may exclude access by the public to the whole or any part of a report which relates to items during which, in accordance with B1 to B4 above, the meeting is not likely to be open to the public. Such reports or parts of reports will be marked “Not for Publication” together with the category of information likely to be disclosed.

## Appendix D: Register of Members Interest and Conflict of Interest Policy<sup>5</sup>

### Reference paragraph 66 of the Assurance Framework

#### Register of Interests: Explanatory Note

1. The SWLEP operates within an assurance framework that requires robust systems to be in place to ensure that public funds are spent with regularity, propriety, transparency and value for money.
2. SWLEP Board Members must act in the interests of the SWLEP area as a whole and not according to the sectoral or geographic interests of their member organisations. Decisions must follow a robust process and be based on a sound analysis of business cases produced by scheme promoter(s) and any advice from relevant advisers, including Independent Technical Advisors.
3. The SWLEP's Constitution includes a Conflict of Interest Policy, which is set out at Appendix I of this form. This policy requires SWLEP Board Members (other than unitary authority members – see paragraph 7 below) to notify the SWLEP Director in writing of any relevant interests for inclusion in a Register of Interests maintained by the Executive.
4. A relevant interest is any company directorship, trusteeship, remunerated post or any significant personal financial interest in an organisation or project likely to be affected by the work of the LEP or in receipt of SWLEP sourced funding.
5. Each Board Member shall review their individual register of interests before each board meeting and decision making committee meeting, submitting any necessary revisions to the LEP and S151/S73 Officer at the start of the meeting. Any recorded interests relevant to the meeting should also be declared at this point.
6. Even if a meeting has not taken place a Member must, within 28 clear working days of becoming aware of any change to the interests specified below, provide written notification to the LEP and S151/S73 Officer, of that change.
7. Board members must not vote or participate in discussions on any matter which relates directly to an organisation or project in respect of which they have a relevant interest.
8. Senior staff of the SWLEP or those staff involved in advising on decisions should also complete the form and report interests and are to review the Register every six months.
9. All members of the SWLEP Board should, in particular, note and observe the following requirements:

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<sup>5</sup> Please note that the Register of Members Interest and Conflict of Interest Policy is part of the SWLEP Governance Framework which is currently under review. Appendix D of the Assurance Framework will be updated in April 2017.

- Dealing with conflicts of interests under paragraphs 8-11 of the Conflict of Interest Policy;
- Maintaining confidentiality;

*Information provided to a Board member must only be used for the purposes of the SWLEP. Board members must not disclose any information given to them in confidence without the written consent of a person who is authorised to give it, or unless required by law to do so. Board members must seek the advice of the Executive before disclosing any information given in confidence – paragraph 20 SWLEP Constitution.*

- Members should not accept any personal gifts or hospitality from any individual or organisation (including contractors and/or outside suppliers) which has or may have a specific interest in any major scheme.

10. It is proposed to publish the Register of Interests of Board Members on the SWLEP web site.



## Swindon and Wiltshire Local Enterprise Partnership: Register of Members' Interests Board Members and Senior staff

February 2018 to March 2019

As a Board Member/Co-opted Member of the Swindon and Wiltshire Local Enterprise Partnership (LEP), I declare that I have the following disclosable pecuniary and/or non-pecuniary interests. ***(Please state 'None' where appropriate, do not leave any boxes blank).***

### Notification of change of circumstances

Each Board Member shall review their individual register of interests before each board meeting and decision making committee meeting, submitting any necessary revisions to the LEP and S151/S73 Officer at the start of the meeting. Any recorded interests relevant to the meeting should also be declared at this point.

Even if a meeting has not taken place a Member must, within 28 clear working days of becoming aware of any change to the interests specified below, provide written notification to the LEP and S151/S73 Officer, of that change.

**\*Spouse/Partner** – In the notice below my 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, and I am aware that that person has the interest having carried out a reasonable level of investigation. Where your spouse or partner has recently been involved in any activity which would have been declarable, this should be mentioned, with the date the activity ended.

Section I	Any employment, office, trade, profession or vocation carried on for profit or gain	Myself	Spouse/partner*
I.1	Name of: <ul style="list-style-type: none"> <li>○ your employer(s)</li> <li>○ any business carried on by you</li> <li>○ any other role in which you receive remuneration (this includes remunerated roles such as councillors)</li> </ul>		
I.2	Description of employment or business activity.		
I.3	The name of any firm in which you are a partner.		
I.4	The name of any company for which you are a remunerated director.		

Section 2	Sponsorship	Myself	Spouse/partner
2.1	<p>Any financial benefit obtained (other than from the LEP) which is paid as a result of carrying out duties as a Member.</p> <p>This includes any payment or financial benefit from a Trade Union within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992 (a).</p>		
Section 3	Contracts	Myself	Spouse/partner
	Any contract for goods, works or services with the LEP which has not been fully discharged by any organisation named at I.I.		None
	Any contract for goods, works or services entered into by any organisation named at I.I where either party is likely to have a commercial interest in the outcome of business being decided by the LEP.		

Section 4	Land or property	Myself	Spouse/partner
	<p>Any interest you or any organisation listed at I.I may have in land or property which is likely to be affected by a decision made by the LEP.</p> <p>This would include, within the area of the LEP:</p> <ul style="list-style-type: none"> <li>○ Any interest in any land in the LEP areas, including your place(s) of residency</li> <li>○ Any tenancy where the landlord is the LEP and the tenant is a body in which the relevant person has an interest</li> <li>○ Any licence for a month or longer to occupy land owned by the LEP.</li> </ul> <p>For property interests, please state the first part of the postcode and the Local Authority where the property resides. If you own/lease more than one property in a single postcode area, please state this.</p>		



Section 5	Securities	Myself	Spouse/partner
5.1	<p>Any interest in securities of an organisation under 1.1 where:-</p> <p>(a) that body (to my knowledge) has a place of business or land in the area of the LEP; and</p> <p>(b) either –</p> <p>(i) the total nominal value of the securities exceeds £25,000 or one hundredth of the total issued share capital of that body; or</p> <p>(ii) if the share capital of that body is of more than one class, the total nominal value of the shares of any one class in which has an interest exceeds one hundredth of the total issued share capital of that class.</p>		

Section 6	Gifts and hospitality	Myself	Spouse/partner
	Any gifts and/or hospitality received as a result of membership of the LEP (above the value of £50).		

**Other interests**

**Membership of Organisations**

I am a member of, or I am in a position of general control, a trustee of, or participate in the management of:

1. Any body to which I have been appointed or nominated by the LEP:

2. Any body exercising functions of a public nature (eg school governing body or another LEP):

3. Any body directed to charitable purposes:

4. Any body, one of whose principal purposes includes the influence of public opinion or policy (including any political party or trade union):

5. Any local authority (please state any interests you hold as LA leaders/cabinet members for LA land, resources and the LA's commercial interests):

6. Any other interest which I hold which might reasonably be likely to be perceived as affecting my conduct or influencing my actions in relation to my role.

**Member's declaration and signature**

I confirm that having carried out reasonable investigation, the information given above is a true and accurate record of my relevant interests, given in good faith and to the best of my knowledge;

<b>Date</b>	
<b>Member's Name</b> <i>(Capitals – in full)</i>	
<b>Signature</b>	

**RECEIPT BY LEP**

<b>Date received by the LEP</b>	
<b>Signature of LEP Chief Executive</b>	

**RECEIPT BY S151/S73 OFFICER**

<b>Date received by the S151/S73 Officer</b>	
<b>Signature of S151/S73 Officer</b>	

**Appendix I: Conflicts of Interest Policy**  
**(see Section C of the Governance Framework)**

