

## Causeway Growth Deal

### Programme Governance Overview

#### 1. Programme Background

Causeway Coast and Glens is set to receive £72m capital funding for a Growth Deal after the NI Executive agreed to match fund the UK Government's Growth Deal allocation. The Growth Deal capital fund will be used to support digital and innovation projects. The Executive investment will focus additional funding on supporting infrastructure, tourism, and regeneration along with employability and skills.

#### 2. Programme Core Principles

- Autonomy of Delivery Partners
- Co-funding
- Risk-based approach
- Value for Public Money
- Engagement: community & business
- Co-ordinated delivery & elimination of duplication
- Partnership Working, collaboration and knowledge sharing
- Agile working, exemplar governance and use of technology

#### 3. Key Positions:

<b>Accountable Body:</b>	David Jackson, CEO of Causeway Coast & Glens Borough Council (CC&GBC) will carry lead accountability for the Council, as the Accountable Body, for the Programme and its constituent projects.
<b>Policy and Strategy Decision Making:</b>	CC&GBC via Leisure & Development Committee
<b>Chair, Executive Programme Board:</b>	David Jackson, CEO of CC&GBC
<b>Senior Responsible Owner (SRO):</b>	Richard Baker, Director of Leisure and Development, CC&GBC
<b>Investment Decision Maker (IDM) for Government Funders:</b>	<ul style="list-style-type: none"><li>• UK Government: Dept. of Levelling Up, Housing &amp; Community (LUCH)</li><li>• NI Executive Departments</li><li>• Council: Director of Finance</li><li>• And other potential funding partners</li></ul>
<b>Investment Decision Maker (IDM) for Partner Funders:</b>	To be confirmed on a project-by-project basis.
<b>Programme Sponsor:</b>	Niall McGurk, Head of Economic Development
<b>Project Promoters:</b>	In most cases CC&GBC will be the Project Promoter.  For projects that fall into the ownership or policy expertise of Departments of Central Government, ALBs or Ulster University or other organisations; these bodies may take on the Project Promoter role. In these

	circumstances the Council will remain the Accountable Body.
<b>Project Sponsors:</b>	Heads of Service in relevant Departments of Council and/or Project Promotor organisations
<b>Programme Management Office:</b>	Programme/Project Managers: John Beggs & Nick Harkness (SIB Project Managers on secondment to Council) (Roles, Responsibilities & Functions @ Appendix 8)
<b>Programme Administration:</b>	Melanie Orr (Interim)
<b>Technical Advisors</b>	Capital: CCGBC Capital Team Procurement & Contract Management: CPD Growth Deal compliance: DoF NIE Depts and ALBs

#### 4. Programme Management Structures:

These Programme Governance Structures have been designed to comply with the requirements of the NICS Governance and Funding Arrangements attached at Appendix 1 and the Council approved Causeway Growth Deal Governance Framework & Roles and Responsibilities Pre-Heads of Terms attached at Appendix 2. Where necessary the structures set out in this document and its appendices have built on and enhanced these two reference documents.

Structure	Action Required	Status	Council Lead Officer
<b>Programme Governance</b>			
City & Growth Deals Delivery Board	None	Oversees the Deals on behalf of the UK Government (UKG) and the NI Executive	None
Oversight Group	None	Oversees the Deals on behalf of the NI Executive only.	None
City & Growth Deals Working Group	None	A joint UK and NI Government group established to underpin the implementation process for all agreed Deals	None
CGD Executive Programme Board (a working group of Council)	Establish in October 2021	EPB decisions and minutes need to be approved by Council.	Chair: CCGBC CEO Also attended by: SRO (Dir. L&D)
<b>Stakeholder Engagement</b>			
Level 1: Government Department Engagement Group Formal engagement with key departments of	Establish in October 2021	TBC	RB

Government: NIO, DoF, LUHC			
Level 2: Pillar Advisory Boards (3) <ul style="list-style-type: none"> <li>- Tourism and Infrastructure</li> <li>- Innovation and Employability &amp; Skills</li> <li>- Digital and Green Energy</li> </ul>	Establish from November 2021	TBC	TBC
Level 3: Project Working Groups transitioning into Project Boards	Initially convened to support development of SOCs for consideration by Pillar Advisory Boards	Delayed until consultants appointed. Draft ToR provided by NICS	JB & NH in consultation with business case consultants and Accountable Departments/ALBs.
NICS Department and other informal partner engagements	There will be ongoing engagement with Accountable Departments, ALBs, Project Partners and other stakeholders as required during the programme that will be unconstrained by the more formal structures.		

## 5. The Growth Deal Approvals Process:

### 5.1 Development Cost Risk

The Council and its partners must take the financial risk to cover the costs of project and business case development. The costs associated with the development of projects that result in capital assets can be capitalised and are therefore eligible for funding. The costs associated with the development of projects that don't proceed will be borne by the Council and its partners.

### 5.2 Strategic Outline Cases

Each project within the Deal proposal must be the subject of a Strategic Outline Case (SOC) which must be approved by the relevant Government Department. Some projects may fail at SoC stage.

### 5.3 Heads of Terms Agreement and Outline Business Case Development

Collectively, the approved SOCs will form the basis for a Heads of Terms Agreement (HoT) between the Council and Government for the overall Growth Deal. The HoT will constitute a statement of intent to fund a suite of projects within the Deal proposal; it is not a funding agreement. After HoT stage, the Council and its partners will be required to prepare Outline Business Cases (OBC) for each of the proposed projects.

### 5.4 Growth Deal Offer

It is only at the stage when all the OBCs have been completed, submitted and agreed that the Council will receive the Deal Offer Agreement for signing. Each project, as it passes the Full Business Case approval stage, will then be the subject of a separate Project Funding Offer which will allow funding to be drawn down in accordance with the actual spend on the ground. Getting to Deal Agreement stage will be limited by the speed of the slowest project to get to OBC approval.

**Index of Appendices:**

<b>No.</b>	<b>Appendix</b>
1.	NICS: NI City & Growth Deals: Governance and Funding Arrangements
2.	Causeway Growth Deal Governance Framework
3.	Programme Stages & Milestones
4.	Programme Management Action Plan
5.	Programme Issues Log
6.	Programme Risk Register
7.	Programme Management Structures: Terms of Reference: <ul style="list-style-type: none"><li>- Executive Programme Board</li><li>- Stakeholder Engagement: Level 1, <b>Formal engagement with key departments of Government</b> Level 2, <b>3 Pillar Advisory Boards</b> Level 3, <b>Project Working Groups transitioning into Project Boards</b></li></ul>
8.	<b>Programme Management Office: Roles, Responsibilities &amp; Functions</b>

<b>Version</b>	<b>Date</b>	<b>Summary of change</b>	<b>Owner</b>
V.1.0	15 Sept 2021	Initial governance procedures	PMO
V.1.1	6 Oct 2021	ToRs now added at App 7	PMO
V.1.2	11 October	PMO R&R added at App 8	PMO

## **NORTHERN IRELAND CITY & GROWTH DEALS: GOVERNANCE AND FUNDING ARRANGEMENTS**

### **SECTION 1 - INTRODUCTION**

- 1.1. The UK and NI departments with responsibility for NI City/Growth Deals, have endorsed the following overarching governance, funding and monitoring arrangements. Its structures, processes and guidance should be followed by all City/Growth Deal partners. The arrangements set out in this document will be kept under review.
- 1.2. More detailed arrangements specific to each City/Growth Deal will be agreed as part of the Deal documentation which will include a Financial Agreement, Implementation Plan and Monitoring and Evaluation Framework.

### **GOVERNANCE**

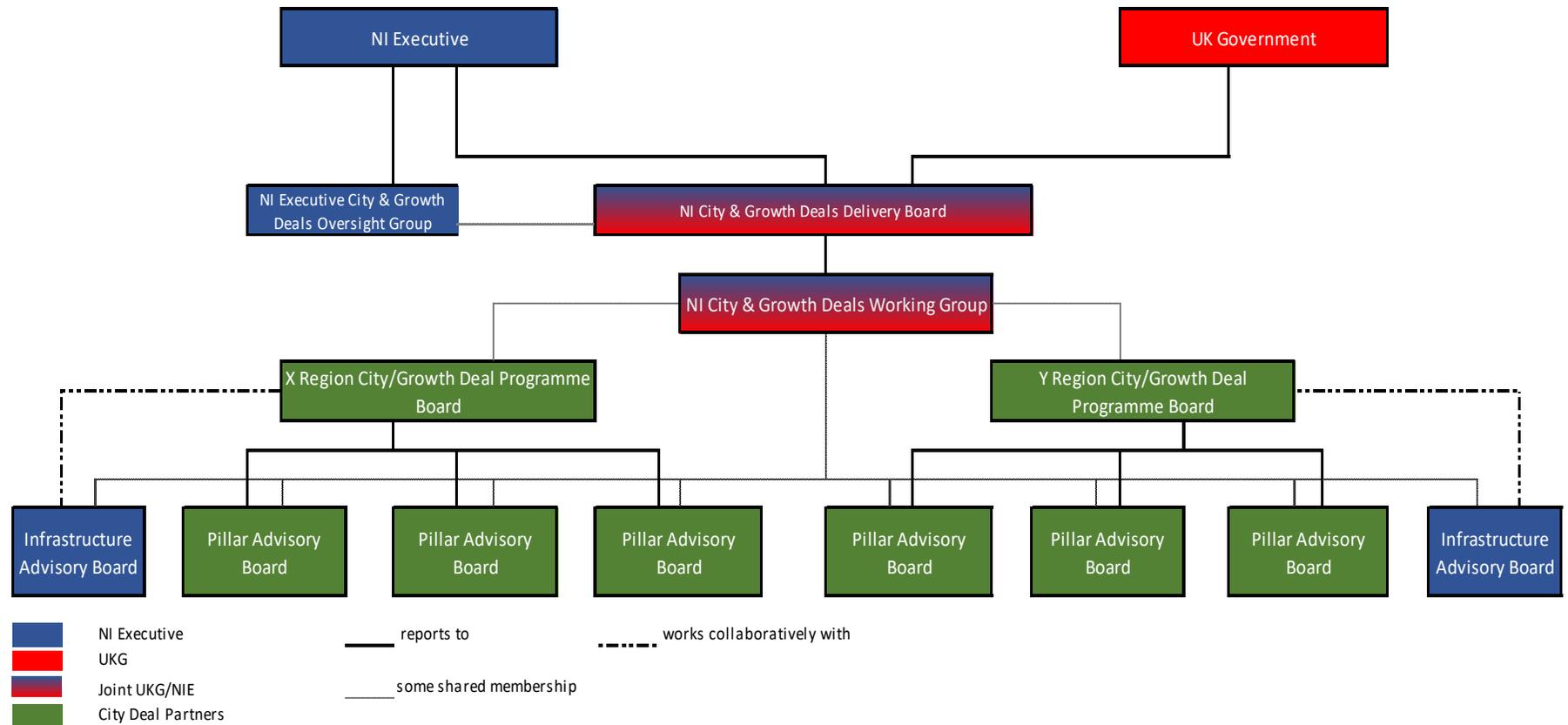
- 1.3. A number of governance structures are required to ensure the successful implementation of individual projects to time, cost and quality - providing the necessary accountability, oversight and management throughout. The governance structures are summarised in Table 2.1, with detail on each group explained at Section 2.
- 1.4. Financial accountability of UK Government, NI Government and local partner funding will be paramount throughout the lifetime of each project's delivery. To ensure that annual profiles are agreed and allocated correctly on the basis of the detail of the business case a number of funding flow procedures are required. These are summarised in Table 3.1 and explained in more detail at Section 3.

### **COMMON ABBREVIATIONS**

Northern Ireland	NI
City/Growth Deal(s)	"Deal(s)"
Heads of Term	HoTs
NI Executive City/Growth Deal Oversight Group	"the Oversight Group"
NI City/Growth Deal Delivery Board	"the Delivery Board"
NI City/Growth Deal Working Group	"the Working Group"
X Region City/Growth Deal Programme Board	"the X Region Programme Board"
Arm's Length Bodies	ALBs

## SECTION 2 - GOVERNANCE

Table 2.1: Governance Structure



## **NI GOVERNANCE STRUCTURE**

### **Northern Ireland City/Growth Deals Delivery Board (“the Delivery Board”)**

2.1 This is part of the overall governance structure for all NI City/Growth Deals. It oversees the Deals on behalf of the UK Government (UKG) and the NI Executive.

#### ***Roles***

2.2 The Delivery Board is a joint UK and NI Government Board with responsibility for:

- Considering and providing direction on strategic City/Growth Deal issues as they arise in advance of Heads of Terms (HoTs) being signed.
- Providing assurance and advice to Ministers regarding the progress and delivery of Deals from the point of signing HoTs.
- The oversight, monitoring and successful implementation of all current Deals, including the effective monitoring of performance, outcomes, budget, risks and other issues relating to the programme, in accordance with best practice and any recommendations issued by auditors, Northern Ireland Audit Office (NIAO) or the National Audit Office (NAO).
- The appropriate escalation and advice through both Governments should major issues arise.

#### ***Responsibilities***

2.3 Responsibilities will include:

- Considering the strategic alignment of all NI City/Growth Deals to ensure as far as possible that projects are complementary with no undesirable duplication. Cognisance should be taken of the policy intent behind City/Growth Deals - funding provided is for projects falling within the geographical area for each agreed Deal.
- Monitoring and supporting the successful implementation of all NI Deals from the point of signing HoTs by assessing delivery against agreed implementation plans.
- Oversee and support the development of programme and project business cases and ensure that appropriate approvals are in place. The Delivery Board does not review business cases, rather the Delivery Board is kept informed of progress on project business cases. Where there are challenges in progressing business cases the delivery board should review and where necessary support mitigating actions to unblock the process. UKG Ministerial approval will be limited on the basis that NI departments and Ministers will be ultimately accountable for expenditure and, therefore, have final approval on expenditure. More detail on the business case approval process is set out in Section 5.
- Agreeing common Government positions and/or required mitigations to manage developing issues, risks or any slippage to a Deal or specific project.
- Agreeing, subject to expenditure approval, any substitute projects which are submitted by the X Region Programme Board through the accountable department.

## **Functions**

2.4 The Delivery Board will ensure that all Deals with HoTs in place will develop the appropriate implementation documentation to be agreed by both the Executive and UKG. This may include but is not limited to:

- an implementation plan;
- a financial agreement;
- a monitoring and evaluation framework;
- Deal governance agreement; and
- a communications protocol.

2.5 Where either Government has a specific expectation of regional partners as part of the return expected for the Deal investment, respective officials will seek to ensure this is included in the Deal agreement, with Ministers agreeing any relevant proposal. The Delivery Board will take this in to account in future monitoring and evaluation.

### ***Meeting Schedule***

2.6 The Delivery Board will meet quarterly to monitor the implementation of current and agreed Deals. Additional ad hoc meetings may be arranged as required. Progress Reports from NI/UKG Deal leads will be tabled and considered at each meeting.

2.7 For NI, the working group representative on each Region's Programme Board will act, in a corporate NICS capacity, as the lead co-ordinator for reporting on behalf of NI departments on each Deal.

### ***Risk Registers***

2.8 The Delivery Board will maintain and review at each meeting a risk register. Mitigations will be agreed and their implementation and success monitored by the Delivery Board.

2.9 Decisions and actions agreed by the Delivery Board will be recorded in the record of the meeting. Should a decision be required in between meetings, decisions may be made and confirmed in writing by Delivery Board members.

2.10 The Delivery Board will escalate issues and risks as required through internal NI/UKG processes and ultimately to Ministers.

2.11 The Delivery Board will undertake an Annual Conversation and maintain a profile with the Region Programme Board for each Deal to review the City/Growth Deal

Annual Reports and discuss implementation progress. Representatives will be invited to meetings as required.

## ***Reporting***

### Quarterly

2.12 The Delivery Board is accountable to both Governments for the successful implementation of each Deal.

2.13 Following each quarterly meeting the Joint Chairs will agree an update report which will be provided to:

- NICS SRO
- NIO SRO
- MHCLG SRO

2.14 Following approval by the NICS SRO the report will be provided to:

- NICS Board
- NI Executive

### Annually

2.15 A public facing Annual Implementation Progress Report noting the status of implementation of the Deals will be submitted to Ministers on an annual basis, based on the outcome of the Annual Conversations assurance process.

2.16 This will be produced by the Working Group and approved by the Delivery Board and NICS SRO within 3 months of the last Annual Conversation.

2.17 Ministers may request an annual joint UKG/NI Ministerial forum. The Annual Implementation Progress report must be provided in advance of this forum.

### **Membership**

2.18 Joint Chair

- NICS - Department of Finance Grade 3
- NIO - Director/ Deputy Director of Economic and Domestic Affairs

2.19 Members

- Ministry of Housing, Communities and Local Government
- HM Treasury
- Department for Economy (at least Grade 5 level)
- Department for Communities (at least Grade 5 level )
- Department of Infrastructure (at least Grade 5 level)
- Other UKG/NICS representatives as required

2.20 Secretariat

- NICS (DoF)

2.21 NICS departmental representatives will also be members of the NI Executive City/ Growth Deals Oversight Group (“the Oversight Group”). This will ensure transfer of knowledge and avoid unnecessary duplication of papers.

2.22 Where a department has responsibility for more than one pillar then more than one representative may be appropriate.

**NI Executive City/Growth Deals Oversight Group (“the Oversight Group”)**

2.23 This is part of the overall governance structure for all NICity and Growth Deals. It oversees the Deals on behalf of the NI Executive only.

***Roles***

2.24 The Oversight Group has responsibility for oversight of the NI Executive funding provided to each Deal.

***Responsibilities***

2.25 These will include:

- recommending the level of NI Executive funding that will be provided to each Pillar, within the constraints of the limit on the total NI funding to be provided. This will be based on engagement with the Accountable Body on forecast expenditure profiles for projects in HoTs. DoF will seek Executive approval for this, through the Finance Minister;
- agreeing any changes to the original list of projects identified for Executive funding under each Pillar and seeking Executive approval for any changes. All projects will be subject to expenditure approval, with relevant business case documentation provided, before proceeding;
- agreeing, in conjunction with the X Region City/Growth Deal Programme Board, the quantum and profile of funding to be provided by Deal partners for each project to be joint funded by the Executive; and

- agreeing the quarterly report provided by the Delivery Board and providing this to the NICS Board and NI Executive.

*Note: The Accountable Body comes into existence once the Deal document and associated Financial Agreement are signed. Engagement prior to this may be through the X Region City/Growth Deal Programme Board or agreed representatives.*

### **Meeting Schedule**

2.26 The Oversight Group will meet quarterly. Where possible meetings will be arranged immediately before or after Delivery Board meetings. Additional ad hoc meetings may be arranged as required.

### **Membership**

#### 2.27 Chair

- NICS Joint Chair of the Delivery Board (DoF Grade 3)

#### 2.28 Members

- Department for Economy – (at least Grade 5 level)
- Department for Communities (at least Grade 5 level)
- Department of Infrastructure (at least Grade 5 level)
- Other NICS representatives as required

#### 2.29 Secretariat

- NICS (DoF)

2.30 NICS departmental representatives should also be members of the NI Executive City/Growth Deals Delivery Board (“the Delivery Board”). This will ensure transfer of knowledge and avoid unnecessary duplication of papers.

2.31 Where a department has responsibility for more than one pillar then more than one representative may be appropriate.

### **Northern Ireland City/ Growth Deals Working Group (“the Working Group”)**

2.32 This is part of the overall governance structure for all NI Deals. It facilitates the oversight of the Deals on behalf of the UK Government and NI Executive.

#### ***Roles***

2.33 The Working Group is a joint UK and NI Government group established to underpin the implementation process for all agreed Deals.

2.34 The Working Group will meet monthly and will have the responsibility of agreeing the agenda and relevant papers for the Delivery Board, in consultation with the joint chairs.

#### ***Responsibilities***

2.35 The core responsibilities of the Working Group are to:

- monitor the implementation of Deals, escalating issues and risks relating to the implementation of Deals to the Delivery Board as required.
- maintain the risk register for the Delivery Board, updating at least monthly and reporting quarterly to the Delivery Board.
- make recommendations to the joint chairs of the Delivery Board regarding meeting agendas.

- provide robust information to inform the decision making of the Delivery Board, including the preparation of both programme level and individual Deal dashboards.

### ***Meeting Schedule***

2.36 The Working Group will meet on a monthly basis for the purpose of monitoring the implementation of each Deal. The frequency of meetings can be altered subject to the agreement of the Delivery Board.

### ***Membership***

#### 2.37 Chair

- NICS - Department of Finance (Grade at least Grade 7 level)

#### 2.38 Members

- NIO
- Ministry of Housing, Communities and Local Government
- Department for Economy (at least Grade 7 level )
- Department for Communities (at least Grade 7 level)
- Department of Infrastructure (at least Grade 7 level)
- Other UKG/NICS representatives as required

#### 2.39 Secretariat

- NICS (DoF)

2.40 The NICS departmental representatives will be the departmental representatives on the Pillar Advisory Boards (see paragraph 2.49). Therefore more than one representative may be required from each department. This will ensure that the Working Group is fully apprised of progress on all projects.

2.41 A NICS member of the Working Group will be nominated as the NICS representative on each Deal Programme Board with observer status. This representative will act as lead co-ordinator for reporting on behalf of NI departments on each Deal. More detail on this role is provided at paragraph 2.48.

### **Region City Deal Programme Board (the “Programme Board”)**

2.42 Each City/Growth Deal will establish its own Programme Board with representatives from all Deal partners. It is for each Programme Board to determine its own terms of reference and reporting structures. However, the roles and responsibilities set out below should be considered the minimum requirement.

#### ***Roles***

2.43 The Programme Board will drive the delivery of the Deal programme in accordance with the requirements of the HoTs and agreed governance documents. It will be responsible for issue resolution and oversight of stakeholder negotiations and engagement.

#### ***Responsibilities***

2.44 Responsibilities will include:

- approving profiles of expenditure provided to the relevant NI department and DoF for budget planning purposes;
- signing off each business case prior to it being submitted to the relevant NI department for final expenditure approval; and
- The provision of information to the Working Group as required to facilitate reporting to the Delivery Board.

#### ***Meeting Schedule***

2.45 The Programme Board will meet monthly.

### **Membership**

2.46 Chair

- Chief Executive of Accountable Body (usually lead council)

2.47 Members

- Representatives, at Chief Executive level, of each council partner
- Representatives of University and College partners
- Region City/Growth Deal SRO
- Region City/Growth Deal Programme Management Office (observers)
- NICS – Working Group Member (observer)

### **Role of NICS Representative**

2.48 The NICS representative will have observer status. This means that they will attend Board meetings and may participate in Board discussions but they do not have the ability to vote on matters. The observer may ask questions and provide advice particularly on the NICS view. The observer should inform the Board if they have any concerns with the approach being taken. If the observer has concerns with an approach agreed by the Programme Board they should raise this at the Working Group which will in turn ensure it is raised at the Delivery Board. Any significant issues arising between Delivery Board meetings should be raised in writing to the Working Group which will in turn write to Delivery Board members.

### **Pillar Advisory Boards**

2.49 City/Growth Deal partners will establish a number of Pillar Advisory Boards in support of the City/Growth Deal for that region. These arrangements do not apply to NICS-led Pillar Advisory Boards.

### **Roles**

2.50 To drive the development of a coherent set of projects that are capable of supporting the delivery of the Deal partners' ambitions for inclusive economic growth.

2.51 The oversight of the production of Outline and Final Business Cases for projects within that Pillar. Submission of Business Cases to the Programme Board for approval.

### **Role of Accountable NI Department**

2.52 Representatives from the accountable NI department will attend as advisers, they will have no voting rights. The accountable department may also appoint advisers from their ALBs where appropriate. The adviser's role will be to support the development of robust projects which deliver value for money. This includes the provision of advice and guidance on the iterative development of business cases in line with the Five Case Model methodology and to ensure broader strategic alignment with Programme for Government.

2.53 In line with the role outlined for observers on the Programme Board, an adviser may ask questions and provide advice particularly on the NICS view. The adviser should inform the Pillar Board if they have any concerns with the approach being taken. If the adviser has concerns with an approach agreed by the Pillar Board they should raise this at the Working Group which will in turn ensure it is raised at the Delivery Board.

2.54 The accountable Department will ensure there is appropriate segregation of duties between advisers on Pillar Boards and those responsible for approving expenditure.

### **Meeting Schedule**

2.55 These Pillar Advisory Boards will meet monthly.

## ***Membership***

### 2.56 Chair

- To be agreed by the X Region Programme Board for each Pillar Board

### 2.57 Members

- Council/University reps TBC
- NI Accountable Department (Working Group Member) - adviser
- Departmental ALBs - if appropriate - adviser

## **Infrastructure Pillar Advisory Board**

2.58 An Infrastructure Pillar Advisory Board will be established where infrastructure projects included in the Deal are delivered directly by the Department for Infrastructure (DfI) rather than Deal partners. A similar model may be established where projects in other Pillars are delivered directly by a NI department.

## ***Roles***

2.59 Accountability for development, delivery and evaluation of major infrastructure projects will rest with the Department for Infrastructure. On its behalf, the Infrastructure Pillar Advisory Board will ensure that the approach to advancing individual Deal projects is taken forward in a manner which reflects the collaborative approach taken by the Programme Board. This will, while reflecting the usual NICS governance and accountability arrangements, also ensure that the work to advance the infrastructure projects is fully reflective of the wider objectives of the Deal.

### ***Meeting Schedule***

2.60 This Board will meet as appropriate.

### ***Membership***

2.61 Chair

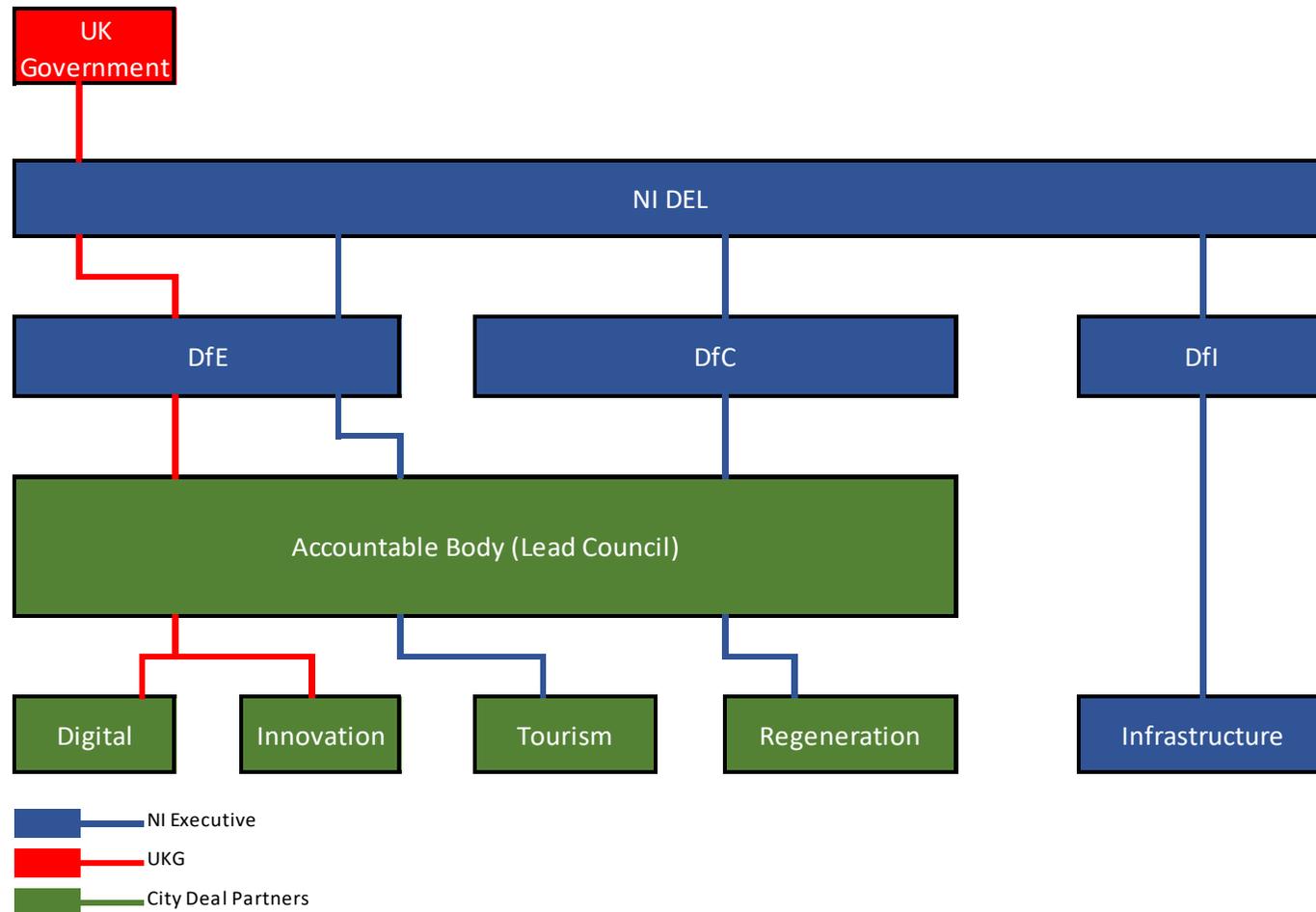
- DfI Deputy Secretary

2.62 Members

- Councils connected with proposed infrastructure projects
- Translink
- One of the Main NI Business Representative Bodies
- DfC
- Employability and Skills Advisory Board

**SECTION 3 – FUNDING**

**Table 3.1: Central Government Funding Flows** (City/Growth Deal partners will also contribute)



## **UK Government Funding**

- 3.1 UKG will provide funding to NI through an increase to the NI Capital DEL. This will be on an agreed annual profile, usually pro-rata over the life of the Deal. This profile may differ from the spending profile of the Deal projects.
- 3.2 The NI Executive will be responsible for ensuring that the full level of UKG funding will be allocated to approved Deal projects over the life of the Deal. DoF will manage this on behalf of the NI Executive, reporting through the Delivery Board.
- 3.3 On an annual basis any over or under requirement against the annual profile will be managed by DoF, as approved by the NI Executive, within the total NI Capital DEL Budget. Annual underspends will not be surrendered to HMT and may be allocated to other Deals or NI departmental expenditure, providing the total level of funding is allocated to each Deal over its lifetime.
- 3.4 DoF will provide HMT with details of actual and forecast expenditure, upon request.
- 3.5 Accountability for UKG City/Growth Deal funding is delegated to the Accounting Officer of the NI Department with policy responsibility for the area being funded (the 'accountable department').
- 3.6 Where a project on the original list is not considered feasible, Councils may submit an alternative proposal which represents value for money and meets City Deals policy requirements. The X Region Programme Board will agree substitute projects before submitting them to the accountable department which will present them to the Delivery Board for approval. The Delivery Board will inform the NI Executive of any change in projects.

## **NI Executive Funding**

- 3.7 The NI Executive will include funding for the Deal within its agreed Budget. It is envisaged that City/Growth Deals will be prioritised within the Capital DEL budget in a similar manner to the previously agreed Flagship projects.
- 3.8 Accountability for NI Executive Deal funding rests with the Accounting Officer of the NI Department with policy responsibility for the area being funded (the 'accountable department').
- 3.9 The Oversight Group will seek NI Executive approval for all projects to be funded by the Executive. Where a project on the original list is not considered feasible, Councils may submit an alternative proposal which meets City Deals policy requirements. The X Region Programme Board will agree substitute projects before submitting them to the accountable department which will present them to the Delivery Board for approval. Once agreed by the Delivery Board the proposed substitute will go to the Oversight Group which will seek the NI Executive approval, through the Finance Minister.

### **Funding of Projects**

- 3.10 For both UKG and NI Executive funded projects the accountable department will be responsible for making payments to the Accountable Body for each Deal. Where appropriate the accountable department may delegate this role to an ALB. The Accountable Body will usually be the lead council. The Accountable Body will be responsible for making payments to Deal partners and project promoters.
- 3.11 Each accountable department will be provided with Capital DEL allocation through the NI Budget process. Allocations will be based on the latest expenditure profiles for approved projects and will be ring-fenced so that it may only be used for the City/Growth Deal for which it has been provided.
- 3.12 While the Deal allocation will not form part of the departments 'usual' capital DEL envelope it will reduce the overall level of Capital DEL funding available at NI

Block level for other projects. Deal partners should not assume that funding will be available for additional projects through normal departmental expenditure.

- 3.13 In order to ensure affordability within the overall NI Capital DEL it is essential that Deal partners and accountable departments work closely with DoF to agree expenditure profiles. This will include pro-active management of project commencement and slippage if necessary to minimise spikes in expenditure.
- 3.14 Actual and forecast expenditure must be reviewed on a monthly basis in line with Outturn and Forecast Outturn returns to HM Treasury. This information will be provided to the accountable department by the Accountable Body. The accountable department will submit to DoF in line with usual processes.
- 3.15 Departmental allocations will be reviewed and adjusted if necessary during each in-year monitoring round and any subsequent Budget exercises. The accountable department is responsible for requesting any changes to budget allocations. Deal partners and accountable departments must identify any underspends as soon as possible as the surrender of funding late in the financial year may lead to that funding being surrendered to HM Treasury.
- 3.16 In general, an Outline Business Case (OBC) must be approved for each project before the City/Growth Deal document can be agreed. Expenditure, supported by OBCs, will be approved by the accountable department, and where necessary any ALB, with the normal DoF delegations applying. Where a project is funded by UKG the accountable department must receive assurance from the relevant Whitehall department(s) that it is content with the business case. The business case must include forecast annual expenditure profiles.
- 3.17 If an accountable department requires a Full Business Case (FBC) for a project, this must be submitted and expenditure approved by the accountable department, and where relevant its ALB, before funding is released to Deal partners for that project. DoF does not normally require sight of FBCs. Similarly the FBC will not be shared with Whitehall departments unless explicitly

requested. More information on the business case process is set out in Section 5.

- 3.18 In specific circumstances it may be possible to release funding following OBC stage but before the FBC is submitted. For example if expenditure on early preparatory costs such as design costs is required to inform the FBC. This should be agreed with the accountable department.
- 3.19 Where appropriate, a grant offer letter will be signed between the accountable department, or where relevant its ALB, and the Accountable Body, usually the lead Council, setting out the required terms and provisions to ensure funding is applied as expected. The Accountable Body will be responsible for ensuring funding is used in line with the conditions set out in the grant offer letter.
- 3.20 The accountable department will make payments to the Accountable Body for all Deal projects. Depending on the nature of the costs payments may either be made in advance, where costs are steady from one period to another, or in arrears based on actual costs. The appropriate approach should be agreed with the accountable department. The Accountable Body will be responsible for vouching expenditure and providing any assurances required by the accountable department.
- 3.21 Further detail on the management of funding flows between the accountable department and the Accountable Body, will be set out in the finance agreement specific to each City/Growth Deal.
- 3.22 At the end of the project any underspends on funding accessed will be repaid to the accountable department who will in turn surrender the funding to DoF.
- 3.23 The funding provided by central government under the City/Growth Deal is limited to the amount agreed in the Heads of Terms. Any project overspends will not be funded by the UK Government or the Northern Ireland Executive.

3.24 The Accountable Body will be responsible for ensuring compliance with all legal requirements, including, but not limited to, those relating to procurement and State Aid regulations. The Accountable Body will provide the accountable department with their assessment of any legal, procurement or State Aid issues when submitting the OBC.

## **SECTION 4 - ROLE OF UK/ NICS DEPARTMENTS & ACCOUNTABLE BODY**

- 4.1 The Northern Ireland Office (NIO) will be a signatory to any NI City/Growth Deal and is responsible from a UKG perspective for ensuring robust governance and accountability arrangements are in place.
- 4.2 The NIO will co-chair the Delivery Board alongside DoF and will be represented on the Working Group. NIO is responsible for reporting to the Secretary of State for Northern Ireland on progress.
- 4.3 The Ministry for Housing, Communities and Local Government (MHCLG) , as the UKG department with policy responsibility for City/Growth Deals, will be responsible for co-ordinating the views of relevant Whitehall departments on any UKG funded projects. Based on the views of relevant Whitehall departments MHCLG will provide assurance to the accountable department that the UKG is content with the business case for any project receiving UKG funding. This will include technical assurance where appropriate. MHCLG will be represented on the Delivery Board and Working Group.

### **Department of Finance**

- 4.4 DoF is responsible for ensuring that robust governance and accountability arrangements are developed and for seeking the agreement of the Delivery Board to these.
- 4.5 DoF is responsible for managing the overall funding flows to the each Deal. Thus DoF is responsible for ensuring that funding, both UKG and NI, is provided to the accountable department in line with agreed profiles for each Deal. This will be handled through the NI Budget and in-year monitoring processes, with Executive approval being obtained through these processes.
- 4.6 DoF must also ensure that the full level of UKG funding is allocated to the Deal over the life of the Deal.

- 4.7 Unless otherwise agreed, the usual DoF delegations will apply for Deal projects. DoF will have its usual approval role for projects outside these delegations.
- 4.8 DoF will work with NI departments to help ensure that NI processes do not result in any undue delays to the business case process. The time taken to process business cases will, of course, depend on the quality of information provided.

### **Accountable Department**

- 4.9 The department with policy responsibility will be the accountable department for the provision of both UKG and NI Deal funding to the Accountable Body. Both UKG and Executive Deal funding will be included in the accountable department's Budget allocation. Where relevant the accountable department may choose to work through an Arm's Length Body. However, the departmental Accounting Officer will retain overall accountability
- 4.10 This includes approval of expenditure, underpinned by business cases, and ensuring appropriate governance and accountability mechanism are in place.
- 4.11 Departments will work with DoF to help ensure that NI processes do not result in any undue delays to the business case process. The time taken to process business cases will, of course, depend on the quality of information provided, including through the early engagement by departments on individual projects through a workshop approach, where appropriate

### **Accountable Body**

Unless otherwise agreed, the lead council in each region will act as the Accountable Body for the Region City/Growth Deal. The Accountable Body, which will be identified in the signed City/Growth Deal document, will be responsible for the implementation and management of the financial procedures for the Deal.

- 4.12 The X Region Programme Board will provide assurance to the accountable department when business cases are submitted for expenditure approval. This will include assurance that the business cases are fit for purpose, that proposals are technically and financially viable and that they meet value for money requirements.
- 4.13 All grant funding from central Government will be channelled through the Accountable Body, with the exception of projects delivered directly by NI departments.
- 4.14 The Accountable Body will have the authority to hold others to account should projects present a risk to the overall programme.
- 4.15 A grant offer letter signed between the accountable department and the Accountable Body will set out the required terms and provisions to ensure funding is applied as expected.
- 4.16 These terms and provisions will be replicated in separate agreements between the Accountable Body and regional partners with any additional specific requirements necessary for the fulfilment of the Accountable Body role also clearly set out.
- 4.17 The grant offer letter will also specify roles of Accountable Body and accountable NI department in vouching expenditure to ensure no unnecessary duplication of work to minimise the administrative burden.
- 4.18 A Financial Agreement between the UKG, NI Executive and Accountable Body will set out the specific arrangements for each Deal.

## **SECTION 5 - BUSINESS CASE APPROVAL PROCESS**

5.1 The accountable department will be responsible for the approval of expenditure for all projects. The department should consider the strategic alignment of all NI Deals to ensure as far as possible that projects are complementary with no undesirable duplication. However, the department should also be cognisant of the policy intent behind City/Growth Deals and recognise that the funding provided is for projects falling within the geographical area for each agreed Deal.

### **Deal Business Casework Model**

5.2 To ensure a consistent approach across departments and to share best practice it is proposed that a casework model is adopted for all Deal business cases.

5.3 The department with lead responsibility (lead department) for the policy addressed in the business case, usually the accountable department, is responsible for approval of the expenditure. Normal DoF delegations will apply.

5.4 Where a proposal covers two or more policy areas the policy departments will agree a lead department, based where possible on the proportion of the funding relating to the policy area. The lead department will be responsible for co-ordinating the views of other departments and for overall approval of the expenditure. Other departments will provide policy advice and assurances as required. If necessary a Memorandum of Understanding may be agreed between the relevant departments.

5.5 The lead department should convene and chair a casework committee to review the business case. Deal partners may ask the lead department to lead the presentation of the proposal to the Casework Committee.

5.6 A dedicated group of officials from the lead departments should be identified as potential casework panel members to consider and recommend Deal business cases to the Accountable Officer.

- 5.7 The lead department will call upon these potential panel members as required. Where delegations require DoF approval, DoF Supply officials should have an enhanced scrutiny role over and above DoF's normal observer role as part of the casework panel. DoF will not however contribute to any casework panel recommendation to the lead department Accounting Officer. DoF's enhanced role on the casework panel does not remove the requirement for lead department Accounting Officer approval to be secured before formal submission to DoF for final approval.
- 5.8 This process should reduce the time required for DoF scrutiny as it is expected that most issues will have been addressed during the casework process. Supply will also prioritise City/Growth Deal expenditure approvals. These steps will expedite the process.
- 5.9 In addition accountable departments are encouraged to keep delegated limits for Deal projects under close review. DoF's Supply will consider any request for increased delegations in this area if sufficient justification for any increase in delegation is provided by the accountable department.
- 5.10 DoF may be invited to sit on other panels as required.
- 5.11 This should result in a streamlined, consistent approach to all Deals.

### **UKG Funded Projects**

- 5.12 Ultimate approval rests with the accountable department due to the release of UKG funding through the NI Block Grant. Normal DoF delegations apply.
- 5.13 The accountable department must take account of the views of the relevant Whitehall department(s). This will be co-ordinated through MHCLG which will provide assurance that the UKG is content with the business case for each project receiving UKG funding.

- 5.14 Both the accountable department and MHCLG must be content before approval is granted. Any disputes will be brought to the Delivery Board for consideration.
- 5.15 If the Delivery Board determines that approval should be granted but the accountable department is not content then the matter will be brought to the Oversight Group which will consider whether the issue is cross-cutting. If it is considered cross cutting then the Oversight Group will ask the Finance Minister to write to the Executive asking it to consider the matter. In such cases the Executive may be asked to arbitrate.. If the matter is not considered cross cutting then the final decision rest with the Minister of the accountable department.
- 5.16 In order to streamline and expedite the process as far as possible, for UKG funded projects, a Deal Programme Board should submit business cases to the accountable department and UKG for review contemporaneously.
- 5.17 MHCLG will commission views from the relevant Whitehall departments and share any comments with the accountable department to aid its formal consideration and approval of expenditure.
- 5.18 It is essential that Deal projects are not unduly delayed because of the NI business case process.
- 5.19 To expedite consideration the Accountable Body should provide a schedule of business case submissions. This will allow NI departments to plan appropriately and will be shared with MHCLG for the same purpose.
- 5.20 NICS departments and DoF, as necessary, should prioritise the scrutiny and approval of Deal proposals.

### **Draft Business Case Approval Process – UKG and NI Funded Projects**

#### **The Delivery Board**

5.21 Determines the level of NI Executive Funding to be allocated to each Pillar based on information from relevant NI departments and the Region Programme Board. This will be submitted to the Executive for approval.

### **Pillar Advisory Board**

5.22 Responsible for direction and development of business cases. Submits business cases to the Region Programme Board for approval.

### **X Region Programme Board**

5.23 Approves business cases for submission to NI lead department and for UKG funded project to MHCLG.

5.24 Business case should be sent to NI department, MHCLG and copied to DoF.

### **Lead Department**

5.25 Accounting Officer responsible for approving individual expenditure proposals, underpinned by business cases.

5.26 Will convene a Deal Casework Committee (“Committee”).

5.27 DoF to attend that Committee as approval delegations dictate. DoF to have enhanced status on casework rather than observer status to expedite process. DoF will not however contribute to any casework panel recommendation to the lead department Accounting Officer. DoF’s enhanced role on the casework panel does not remove the requirement for lead Department Accounting Officer approval to be secured before formal submission to DoF for final approval.

5.28 For UKG funded projects, views of relevant Whitehall department(s) must be considered. These will be coordinated through MHCLG. MHCLG will inform lead NI Department if they are content to approve.

5.29 Notifies the Delivery Board, Region Programme Board and the Pillar Advisory Board when expenditure is approved.

Version	Date	Summary of change	Owner
V.1.0	15 Sept 2021	Provided to Council by NICS	NICS



<b>Title of Report:</b>	<b>Causeway Growth Deal Governance Framework &amp; Roles and Responsibilities pre-Heads of Terms</b>
<b>Committee Report Submitted To:</b>	<b>The Leisure &amp; Development Committee</b>
<b>Date of Meeting</b>	<b>17 August 2021</b>
<b>For Decision or For Information</b>	<b>For Decision</b>

<b>Linkage to Council Strategy (2019-23)</b>	
Strategic Theme	Accelerating our Economy and Contributing to Prosperity
Outcome	The Council will work with partners to maximise investment funding opportunities from external sources.
Lead Officer	Director of Leisure and Development

<b>Budgetary Considerations</b>	
Cost of Proposal	£50k - £70k
Included in Current Year Estimates	Yes
Capital/Revenue	Revenue
Code	Not applicable
Staffing Costs	Yes

<b>Screening Requirements</b>	Required for new or revised Policies, Plans, Strategies or Service Delivery Proposals.		
Section 75 Screening	Screening Completed:	No	Date:
	EQIA Required and Completed:	No	Date:
Rural Needs Assessment (RNA)	Screening Completed	No	Date:
	RNA Required and Completed	No	Date:
Data Protection Impact Assessment (DPIA)	Screening Completed:	No	Date:
	DPIA Required and Completed:	No	Date:

### **1.0 Purpose of Report**

**The purpose of this paper is to outline the proposed Governance Framework, including roles and responsibilities of the Causeway Growth Deal pre Heads of Terms.**

### **2.0 Background**

Causeway Coast and Glens is set to receive £72m capital funding for a Growth Deal after the NI Executive agreed to match fund the UK Government's Growth Deal allocation. The Growth Deal capital fund will be used to support digital and innovation projects. The Executive investment will focus additional funding on supporting infrastructure, tourism, and regeneration along with employability and skills.

### **3.0 Proposals**

Growth Deals are models of economic growth which provide regions with the opportunity to:

- Take charge and responsibility of decisions that affect their area.
- Do what they think is best to help businesses grow.
- Identify priorities for economic growth in the region.
- Decide how funding should be spent to meet those priorities.

Following members commitment to a Growth Deal in October 2019, Council established a Growth Deal Working Group to deliver upon each of the key priorities identified above. The Working Group is made up of eight Councillors, Council Officers; with representatives from Ulster University..

In May 2021, Full Council ratified the six key themes/ sectors and 14 projects to be taken forward for further assessment by way of Strategic Outline Cases (SoCs) (see **Annex A**).

### **4.0 Governance**

Pre-Heads of Terms, Officers have prepared a standalone Causeway Growth Deal Governance Framework & Roles and Responsibilities Document (see **Annex B**). The governance arrangements enable decisions relating to the development of the 14 SoCs to be taken in an open and transparent manner.

Causeway's partners recognise that delivering the ambitions of the CGD requires alignment between local, regional and national ambitions, policies and resources. The governance arrangements outlined in the attached document empower partner organisations to:

- Operate strategically and collectively to fully realise the economic potential of the region;
- Respond to issues critical to the economic wellbeing of the region;
- Unlock economic assets; and
- Decide on the alignment of resources in projects and programmes with the greatest economic potential.

## 5.0 Roles & Responsibilities

Section 3.0 of the attached document (**Annex B**) sets out the respective roles and responsibilities for each of these bodies. In summary:

- **Council** will be the accountable body for the CDG. As the decision making body, Council will provide strategic oversight for the development of the CGD, ensuring that the CGD continues to be aligned with the vision for inclusive economic growth.
- **The Executive Programme Board** will drive the delivery of the 14 SoCs and CGD programme in accordance with the requirements of the Heads of Terms (when drafted) and agreed governance arrangements. The Board will be responsible for issue resolution and responsible for oversight of stakeholder negotiations and engagement. The Board will consist of Councillors, Causeway Coast & Glens Chief Executive; Ulster University Coleraine's Vice Chancellor and the Chief Executive of both the North West Regional College and Northern Regional College, the SRO for the Deal, Council's Finance Director and observers from NICS. Councillors represented on the Board are required to have the necessary delegated authority requirements in place to make key decisions on behalf of their parties.
- **The Senior Responsible Officer** is accountable for the programme meeting its objectives, delivering the required outcomes and realising the required benefits. The Senior Responsible Officer is accountable for all aspects of governance and finance and is accountable to the Executive Programme Board.
- The **Central Programme Management Office (PMO)** will initially comprise a Programme Director, Programme Managers and Programme support team. The Central Programme Office will provide the overall day-to-day support for the CGD. Finance and governance frameworks will ensure a consistent and transparent approach is applied to the overall programme and an engagement strategy with stakeholders will help ensure that a wide range of views are heard and reflected in the SoCs.

## 6.0 Decision Making

Decision making shall be in accordance with the delegated model described in the attached document (**see Annex B**). Council will provide an oversight role in ensuring that the CGD programme is aligned with the agreed vision for inclusive economic growth for the area and the Executive Programme Board will ensure the delivery of the CGD programme. The Central Programme Management Office will guide and shape the development of SoCs within the framework that has been agreed between the Executive Programme Board and the UK and NI Governments.

Significant changes to the governance model as outlined above, including changes to remits or duties, will be discussed with partners before consideration by the Executive Programme Board. The Board will agree quality standards and templates for key products with the UK and NI Governments and any proposed change to these products should be raised with the Programme Board.

## **7.0 Next Steps**

In terms of next steps, the following actions are progressing.

- Development of a CGD Framework for Consultancy Support to progress 14 SoCs;
- Review ongoing resource requirement (administrative and financial support).
- Agree proposals with project partner organisations and NICS Departments to move towards signing of Heads of Terms.

## **8.0 Recommendation**

**Using the proposed pre-Heads of Terms governance structure progress with the development / completion of the 14 SOCs by the end of this current financial year.**

**Annex A – Causeway Coast & Glens Growth Deal Shortlisted Projects**

Innovation	Tourism & Regeneration	Infrastructure	Employability & Skills	Digital Connectivity	Energy/ Green Economy
<ul style="list-style-type: none"> <li>• Enterprise Zone Digital Innovation Hub.</li> <li>• School of Veterinary Medicine at UU</li> <li>• Centre for Drug Discovery and Pharmaceutical Innovation.</li> <li>• Foodovation Centre at NWRC</li> </ul>	<ul style="list-style-type: none"> <li>• Bushmills Regeneration Programme</li> <li>• Dungiven Regeneration Programme</li> <li>• Greenway Infrastructure</li> <li>• Mountsandel Development</li> <li>• Regeneration of Dunluce Castle</li> </ul>	<ul style="list-style-type: none"> <li>• Connected Causeway Traffic &amp; Parking Infrastructure</li> </ul>	<ul style="list-style-type: none"> <li>• Skills, Apprenticeships and Employability Projects</li> </ul>	<ul style="list-style-type: none"> <li>• Digital Infrastructure Support Fund</li> <li>• Rural Hubs (including Grow the Glens, Garvagh Innovation Hub &amp; East Lighthouse - Rathlin Island)</li> </ul>	<ul style="list-style-type: none"> <li>• Girona Project</li> </ul>

**Figure 1.0: Summary of Causeway Coast & Glens Growth Deal Themes/Project**

**ANNEX B**

**Causeway Growth Deal  
Governance Framework & Roles and Responsibilities Document  
Pre-Heads of Terms  
v1.0**

## Contents

**Section 1 Context and Principles**

**Section 2 Governance Structures**

**Section 3 Roles and Responsibilities**

**Section 4 Decision Making**

<b>Version</b>	<b>Date</b>	<b>Brief Summary of Change</b>	<b>Owner</b>
V.1.0	July 2021	Causeway Growth Deal Roles and Responsibilities pre Heads of Terms for notation at August Growth Deal Working Group.	Niall McGurk

## Section 1: Context and Principles

This document sets out effective and accountable governance arrangements for the Causeway Growth Deal (CGD) pre Heads of Terms. The governance arrangements enable decisions relating to the development of the 14 Strategic Outline Cases (SoCs) to be taken in an open and transparent manner.

### Securing inclusive growth for the Causeway region

Causeway's partners recognise that delivering the ambitions of the Causeway Growth Deal requires alignment between local, regional and national ambitions, policies and resources. The governance arrangements outlined in this document empower partner organisations to:

- operate strategically and collectively to fully realise the economic potential of the region;
- respond to issues critical to the economic wellbeing of the region;
- unlock economic assets; and
  - decide on the alignment of resources in projects and programmes with the greatest economic potential.

### Political leadership and direction

Community leadership is at the heart of modern local government and is a critical role fulfilled by Councillors in the Causeway Region. Councils work in partnership with local communities and other organisations to develop a vision for their local area, working together to improve the quality of life of citizens. In developing a proposition for the overall Causeway region, we have brought forward proposals to reflect local priorities and opportunities within the context of a collective vision for inclusive growth across the region. This new, shared approach to tackling economic challenges, bringing together key economic partners to develop an agreed programme of investment that unlocks the potential of the region's economy is central to all City and Growth Deals.

The role of Council is central to the proposed new governance framework, ensuring that the CGD is aligned with the vision of inclusive economic growth, providing political leadership for the Deal and helping to build political consensus. Elected representatives play a primary role in championing such opportunities and inviting and securing support from key stakeholders across all levels of government and within the private sector. Councillors also have a key role to play in ensuring that partners adopt the necessary governance and financial arrangements to secure the confidence of all stakeholders in the delivery of the CGD.

Elected representatives will also bring the views and priorities of their local areas to the ongoing development of the CGD programme. They will be responsible for ensuring that they invest appropriately in

programme and project development, respond proactively to challenges and opportunities during project development and adapt and amend their projects so that they respond effectively to economic priorities.

### Delivering a strong regional partnership

The partners involved in prioritising Growth Deal projects to date have taken a collaborative and holistic approach to the development of the region's economy by focusing on projects that demonstrated the potential to support a step change in the economic prosperity of the Causeway region, while spreading the benefits of growth in a balanced way geographically and ensuring a positive impact on the most deprived communities.

After the successful SoCs have been confirmed by the Ministry of Housing, Communities & Local Government (MHCLG) and the NI Executive, future phases will involve partners continuing to work together to prepare a Heads of Term document whilst continuing to reflect emerging economic priorities. The partners agree that ensuring sufficient scale and quality of governance to manage financial and policy risks will be key to effective delivery. The governance arrangements will operate in a way that best delivers inclusive growth and accountability, and will be underpinned by stakeholder engagement processes.

### Financial diligence

Throughout all the phases of the Growth Deal, Causeway Council will be bound by principles of personal responsibility for the propriety and regularity of the finances under their stewardship and for the economic, efficient and effective use of all related resources. Effective monitoring, review and risk management processes will be integral to delivery of the Programme and we will continue to be guided by best practice.

### Stakeholder engagement

The region has strong private and third sector relationships that will underpin the governance arrangements. Harnessing their understanding of regional strengths and opportunities is critical to the region's success. Business and third sector voices will help to develop the SoCs to realise our overall ambitions to tackle barriers to efficiency and inclusive growth and drive sustainable economic development.

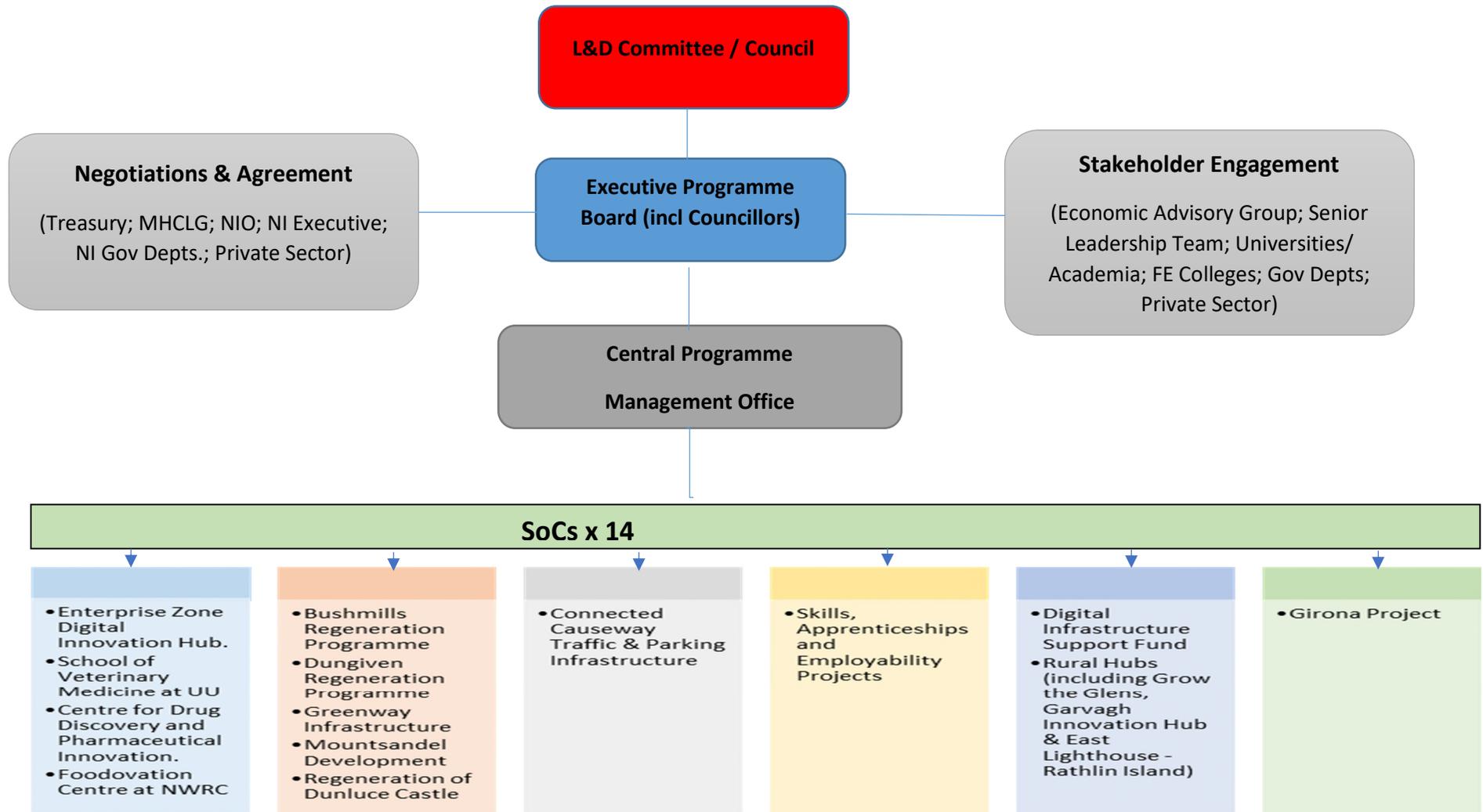
## **Section 2: Structures**

A diagram illustrating the proposed Growth Deal governance structure pre-Heads of Terms is included at Figure 1.0 overleaf. It comprises roles for an Executive Programme Board and Central Programme Office to support the development of each of the 14 SoCs.

The Central Programme Office will provide the overall day-to-day support for the Programme. Finance and governance frameworks will ensure a consistent and transparent approach is applied to the overall programme and an engagement strategy with stakeholders will help ensure that a wide range of views are heard and reflected as the SoCs are developed.

This document sets out the respective roles and responsibilities for each of these bodies.

Figure 1: Causeway Growth Deal Proposed Governance Structure



## Section 3: Roles and Responsibilities

### L&D Committee/ Full Council

#### Membership

The accountable body for the CGD will be Council. Each meeting will be chaired by a nominated Chair, supported by a Vice Chair.

#### Role

Council will fulfil an oversight role in relation to the development of the CGD, ensuring that the CGD continues to be aligned with the vision for inclusive economic growth. Council will meet regularly during the development of the CGD, enabling Councillors to oversee and shape the direction of the programme.

#### Remit

Key areas that the CGD will focus on will include:

- Developing and signing-off on all 14 SoCs before issuing to MHCLG and the NI Executive for review/approval.
- Providing political leadership and building political consensus
- Building the partnership and identifying opportunities for further collaboration
- Retaining focus on delivery of the vision for inclusive growth
- Championing the opportunity created by the CGD and building support from key stakeholders

### Executive Programme Board

#### Membership

The Board will consist of Councillors, Causeway Coast & Glens Chief Executive; Ulster University Coleraine's Vice Chancellor and the Chief Executive of both the North West Regional College and Northern Regional College, the SRO for the Deal and observers from NICS.

#### Remit

The Executive Programme Board will drive the delivery of the CGD programme in accordance with the requirements of the Heads of Terms (when drafted) and agreed governance arrangements. The Board will be responsible for issue resolution and responsible for oversight of stakeholder negotiations and engagement.

#### Duties

## Appendix 2: Causeway Growth Deal Governance Framework

Responsibilities will include directing the overall programme of work necessary to ensure delivery of:

- production of SoCs
- a Deal document incorporating all elements included within the Heads of Terms
- a robust Financial Plan
- an Implementation Plan summarising key milestones, resources, outputs and risk mitigation
- effective governance, assurance and risk frameworks and processes
- production and sign-off of Outline Business Cases (OBC)s
- readiness for development of Full Business Cases
- Overseeing negotiations with UK and NI Governments
- Agreeing the programme for investment for each of the shortlisted SoCs
- Approving Phase 2 Programme Definition and resourcing of Central Programme Office
- Defining the acceptable risk profile and risk thresholds for the programme
- Ensuring appropriate political engagement and ownership in accordance with agreed governance arrangements
- Ensuring that necessary commercial and business focus is delivered across the programme
- Agreeing plans to maximise programme integration
- Reviewing progress, resolving outstanding issues and agreeing future steps
- Approving an MOU for joint delivery of the CGD and reviewing same at agreed intervals

### Senior Responsible Officer

#### Remit

The Senior Responsible Officer (SRO) is ultimately accountable for the programme meeting its objectives, delivering the required outcomes and realising the required benefits. The SRO is accountable for all aspects of governance and finance and is accountable to the Executive Programme Board.

#### Duties

Responsibilities include:

- Providing clear leadership and direction for the programme
- Overseeing arrangements for liaison with the UK government, Treasury and NICS in accordance with the requirements of the Programme
- Ensuring that the necessary resources are provided to support effective programme delivery and oversight of the Central Programme Office

## Appendix 2: Causeway Growth Deal Governance Framework

- Ensuring the programme delivers a coherent capability, achieves its strategic outcomes and realises its benefits
- Establishing programme governance and finance arrangements and ensuring appropriate assurance is in place
- Monitoring the key strategic risks facing the programme

### Central Programme Management Office

The Central Programme Management Office (PMO) will initially comprise a Programme Director, Programme Managers and Programme support team.

#### Duties

Responsibilities will include:

- Leading in the preparation of the 14 SoCs.
- Being the first point of contact for UK and NI Governments
- Coordinating and delivering Growth Deal products and documentation required by Government
- Providing secretariat for the Governance Structures including the CGD Council and the Executive Programme Board as required, supporting members and building competence
- Developing and overseeing the Governance, Assurance, Legal and Finance frameworks for the Programme
- Establishing and maintaining effective systems for financial reporting and information management
- Identifying opportunities to develop partnerships and engage stakeholders across the region
- Assessing capacity, including support for skills development and managing relationships with external contractors
- Monitoring and auditing progress towards delivering 14 SoCs
- Preparing reports for the UK and NI Governments on delivery programmes and outcomes of the Deal.

## Section 4: Decision Making

### Decision Making Authority

Decision making shall be in accordance with the delegated model described in this document. Council will provide an oversight role in ensuring that the CGD programme is aligned with the agreed vision for inclusive economic growth for the area and the Executive Programme Board will ensure the delivery of the CGD programme. The Central Programme Management Office will guide and shape the development of SoCs within the framework that has been agreed between the Executive Programme Board and the UK and NI Governments.

Significant changes to the governance model as outlined above, including changes to remits or duties, will be discussed with partners before consideration by the Executive Programme Board. The Board will agree quality standards and templates for key products with the UK and NI Governments and any proposed change to these products should be raised with the Programme Board.

Where partners require clarification on the limits of the authority of the various governance structures or are concerned that decisions have not been made in accordance with the agreed roles and responsibility, the Executive Programme Board should be asked to give the relevant matter consideration.

### Duties of Board members

It is the duty of all Council members and Executive Programme Board members to act in the best interests of the CGD. All members are expected to comply with the code of conducts of their respective organisations, including by appropriate management of potential conflicts of interest, and exhibit the values and aspirations of the regional partnership.

### Resourcing

The PMO will be reviewed by the Executive Programme Board quarterly as part of risk reporting, to ensure that it is suitably resourced to meet the demands of delivering the Growth Deal for the forthcoming period.

Appendix 3: Programme Stages & Milestones

**Programme Stages & Milestones**

	<b>Stage</b>	<b>Progress</b>	<b>Target Date</b>	<b>Lead officer</b>	<b>Notes</b>
1.	UK & NI Government agree high level funding	Completed	N/A	DJ	
2.	CCGBC defines high level projects	Completed, 6 Themes and 14 projects	N/A	RB	
3.	Project selection exposed to S75 Screening	TBC	Oct 2021	NMcG	Supported by Council's Equality Officer
4.	Procure and appoint business case consultants	Currently underway	Dec 2021	PMO	Supported by CPD
5.	All SOCs prepared in consultation with relevant government departments, stakeholders, ALBs, educational institutions, funders and partners.	Awaiting appointment of consultants. Some already underway: <ul style="list-style-type: none"> <li>- Foodovation</li> <li>- Greenway</li> <li>- Bushmills</li> </ul>	March/April 2022	PMO	Delivered by consultants
6.	SOCs exposed to S75 Screening	TBC	April/May 2022	NMcG	Supported by Council's Equality Officer
7.	All SOCs reviewed and prioritised by EPB and approved by Council	TBC	May/June 2022	PMO	
8.	All SOCs approved by UK & NI Gov and Heads of Terms agreed	TBC		UKG & NIE in consultation with PMO	
9.	All project OBCs developed for shortlisted projects, reviewed by EPB and approved by Council	TBC			
10.	All OBCs approved as a job lot by UK & NI Gov and Bid Agreement proposed	TBC			
11.	Bid Agreement presented to EPB and agreed by Council	TBC			
12.	FBCs developed, S75 Screened, Reviewed by EPB and Agreed by Council	TBC			

Appendix 3: Programme Stages & Milestones

13.	FBCs agreed, as ready, by UKG & NIE and funding offers made.	TBC			
14.	Growth Deal implementation and ongoing assurance	TBC			

Version	Date	Summary of change	Owner
V.1.0	11 Oct 2021	Initial Programme Milestones	PMO

Appendix 4: Programme Management Action Plan

**Programme Management Action Plan**

<b>Action</b>	<b>Responsible Officer</b>	<b>Target</b>	<b>Notes</b>
Inventory of partner organisations, dependencies, and stakeholders: Key People and contact information.	<b>NMcG</b>	<b>September 2021 and ongoing</b>	
Stakeholder mapping, engagement and HoTs.	<b>PMO</b>	<b>October 2021</b>	<b>Council needs to understand the level of commitment of each project partner.</b>
Business case procurement strategy in partnership with CPD	<b>PMO</b>	<b>Procurement live by end October 2021</b>	<b>Need to check with CPD if this is realistic</b>
ICT & IST procurement strategies	<b>PMO</b>	<b>As part of the individual business cases</b>	<b>In consultation with CPD</b>
Manage the development of 14 OBCs	<b>Project Promoters</b>	<b>Early projects completed by April 2021</b>	<b>Need Project Promoters agreed for each project and fully engaged in SOC development.</b>
Programme Issues Log	<b>PMO</b>		
Programme Risk Register	<b>PMO</b>		
Sector engagement plans by Pillar/Theme (or another sub-grouping)	<b>NMcG &amp; Business Case Consultants</b>	<b>As Business Cases develop</b>	<b>Part of the business case process</b>
TOR for all levels in the Programme Management structure	<b>NMcG</b>	<b>September 2021</b>	<b>Completed</b>
Wider capital funding strategy for each project across accountable departments/ALBs, other central Government funding streams and integration with the Council's capital programme	<b>JB, NH, NMcG, PO'B, RB, Dir Finance</b>	<b>Ongoing through Business Case process</b>	
Expenditure profiles and monthly reports to Programme Board	<b>Project Promoters</b>	<b>As business cases and Project Execution Plans are developed and projects go live</b>	<b>At a programme level as business cases are developed and projects initiated.</b>
Confirmed source of development costs (business case and technical) especially for projects fail at SOC.	<b>RB and Dir Finance</b>		<b>£70k agreed by the Council for 2021/22</b>

Appendix 4: Programme Management Action Plan

Memorandum of Understanding / funding agreements where projects span a number of Accountable Departments/Delivery Partners and shared funding	<b>Project Promoter</b>	<b>At OBC stage</b>	<b>DoF consulting with NIE Departments on lead Depts.</b>
Programme level Benefits Realisation Plan and Benefits Monitoring Plan	<b>Business case consultants and Project Promoter</b>	<b>Fully developed for FBC</b>	<b>Ongoing development with business case stages</b>

<b>Version</b>	<b>Date</b>	<b>Summary of change</b>	<b>Owner</b>
V.1.0	15 Sept 2021	Initial Programme Action Plan	PMO

## Programme Issues Log

Issue No.	Issue	Lead Body	Outcome	Date raised	Date resolved	Status
1.	Can some projects move beyond SOC in advance of all being approved and the HoT agreed? This would be essential if there is an expectation of delivering some projects for summer 2025. e.g. Greenway (part), Bushmills, Dungiven, Transport Plan	DoF	No. <u>All</u> projects must have SOC and OBC agreed before there will be an offer of a Deal Funding Agreement	Sept 2021	Oct 2021	Closed
2.	Is there a source of development cost funding? If so, what is the source and what can it be spent on? What happens to the costs incurred on projects that fail at SOC/OBC?	DoF	No Gov funding for dev costs for GD projects. All at Council/Partner risk.  £70k agreed by Council for 2021/22.  Dev costs for completed projects can be capitalised. Dev costs for failed projects are lost.	Sept 2021	Oct 2021	Closed
3.	CPD fees: who pays for this?	DoF		Sept 2021		Open
4.	<b>Other Funds: Levelling Up Fund and Complementary Fund:</b> There is a lack of clarity as to the opportunity to blend these funding opportunities with the GDP as well as the scale, timelines and means of application.	NIO	Phase II LUF not launched yet			

Appendix 5: Programme Issues Log

5.	<b>Skills Apprenticeships &amp; Employability Projects:</b> Is there standard approach across all NI Growth/City Deals? Is revenue expenditure eligible for GD in this theme?	DoF	Other G/CDs have used this as a theme throughout all projects and not as a distinct project on its own. Some do have a separate pillar Board for SA&E. No revenue funding available	Sept 2021	Oct 2021	Closed
6.	<b>Digital Infrastructure Support Fund:</b> Is there standard approach across all NI Growth/City Deals? Is this being planned and delivered by central government?		DoF to provide contact info for lead in DfE	Sept 21		Open
7.	<b>Project Phasing:</b> some projects such as town/village regeneration projects will have multiple components and for a variety of reasons some could be ready before others. While an SOC could set the plan out for the multiple components of the scheme it may make sense to phase the OBCs and project delivery based on the state of readiness of the various project elements.	DoF	Phased OBC is an option but need to take care that overall benefits are not diluted if projects are broken down into component parts.	Sept 21	Oct 21	Closed

Version	Date	Summary of change	Owner
V.1.0	15 Sept 2021	Initial Programme issues	PMO
V.1.1	6 Oct 2021	Other issues (4,5,6,7) added	PMO
V.1.2	11 October	Updates from DoF added	PMO

Appendix 6: Programme Risk Register

**Causeway Coast & Glens Borough Council Growth Deal: Programme Level Risk Register**

Risk Number	Risk Owner	Risk Name and Description	Probability (1-5)	Impact (1-5)	Total Score	Mitigation Summary	Response Summary	Status
<b>Financial:</b>								
1.		<b>Budget:</b> £72m not sufficient to fund all 14 projects						
2.		<b>Partner Affordability:</b> challenges around Council's or partners' capital affordability. 10% partner funding required.						
3.		<b>Partnership Funding:</b> lack of partnership funding or grant opportunities to allow the programme to be delivered.						
4.		<b>Multi-Year Projects:</b> require multi-year confirmed budgets which is normally not available in the public sector.						
<b>Programme Management:</b>								
5.		<b>Timing for 2025:</b> Gov. may require all SOC's completed and approved with HoT in place prior to delivering any projects for 2025 Open.						
6.		<b>Management:</b> insufficient or inappropriate Programme Management resources in Council as the Accountable Body						
7.		<b>Accountability:</b> The Council or a partner mismanages an element of the Programme.						
8.		<b>Procurement:</b> non-compliant procurement practices or						

Appendix 6: Programme Risk Register

		procurement challenges impacting on time, cost and risk.						
<b>Business Case Development &amp; Approval</b>								
9.		<b>Expertise:</b> consultants don't have sufficient expertise or sector specific knowledge to deliver competent business cases.						
10.		<b>Sustainability:</b> SOCs don't support projects progressing based on risks, financial sustainability, ability to achieve objectives, strategic relevance, etc.						
11.		<b>Information:</b> Insufficient information to adequately define the projects and demonstrate evidence of need and sustainability.						
12.		<b>Economic:</b> Departmental Economists don't support the business cases.						
13.		<b>Approvals:</b> the approval process between multiple departments and across UK and NI Gov. is time consuming and overly complex.						
<b>Partnerships:</b>								
14.		<b>Stakeholders:</b> lack of partner buy-in or resource commitment						
15.		<b>Project Sponsors:</b> some programme elements need to be led by the appropriate expert body as the Project Sponsor. Partners need to be willing, expert and apply the necessary resources.						

Appendix 6: Programme Risk Register

16.		<b>Decision Making:</b> Partner decision making and resource commitment delays programme delivery.						
<b>Strategic:</b>								
17.		<b>Political:</b> lack of political support for the programme priorities and project prioritisation if projects need to be removed to stay within available budget.						
18.		<b>Competition:</b> for some programme elements there are competing locations.						
19.		<b>Partner Strategic Decisions:</b> some partners have very big strategic decisions to make, and these could have long-term financial implications. Projects can't proceed without positive strategic decisions.						
20.		<b>Co-dependencies:</b> some programme elements are co-dependent on others. One can't progress/succeed without the other.						
21.		<b>Synergies:</b> lack of synergy with other City/Growth Deal projects and other NI-wide projects and industries.						
22.		<b>Economic Development:</b> projects need to align with the Council's emerging Economic Dev. Strategy						

Appendix 6: Programme Risk Register

<b>Version</b>	<b>Date</b>	<b>Summary of change</b>	<b>Owner</b>
V.1.0	15 Sept 2021	Initial Programme Risk Register	PMO

**CAUSEWAY COAST AND GLENS GROWTH DEAL**  
**GOVERNANCE STRUCTURES: TERMS OF REFERENCE**

<b>Executive Programme Board</b>
----------------------------------

### **1.0 Roles**

The Executive Programme Board (Programme Board) will help drive the delivery of the Causeway Growth Deal Programme (GDP) and bring coordination and complementarity to the inputs of myriad partners and stakeholders. This will be achieved in accordance with the requirements of the agreed NI Civil Service Governance and Funding arrangements and Heads of Terms with UK Government / Northern Ireland Executive (when drafted).

As a 'Working Group' of Council, the Programme Board will be responsible for advising on the local delivery of the Causeway Growth Deal Programme and its constituent capital projects within the agreed budget, timeframe and quality standards to deliver better outcomes for all citizens across the Borough.

### **2.0 Responsibilities**

The Programme Board's responsibilities will include directing the overall programme of work necessary to ensure delivery of the Growth Deal Programme including:

- Approving profiles of expenditure provided to the relevant NI Department and Department of Finance for budget planning purposes;
- Agreeing each business case for Council approval prior to it being submitted to the relevant NI Department for final expenditure approval;
- The provision of information to the NI Working Group as required to facilitate reporting to the Delivery Board;
- Holding Deal Partners to account for their relevant projects and contributions;
- Effective governance including:
  - Implementation planning,
  - Programme assurance,
  - Reporting,
  - Issues escalation; and
  - Risk management.

### **3.0 Functions**

The key functions of the Programme Board include:

- Overseeing negotiations with UK and NI Governments;
- Agreeing the programme for investment for each of the shortlisted SoCs/OBCs/FBCs;
- Overseeing the work of the Programme Management Office as detailed in Appendix 8 of Causeway Growth Deal, Programme Governance Overview
- Defining the risk appetite for the Programme
- Ensuring appropriate political engagement in accordance with agreed governance arrangements;
- Ensuring that necessary commercial and business focus across the programme
- Maximise programme integration and complementarity within the Causeway Growth Deal and between Causeway and other Growth/City Deals
- Reviewing progress, resolving outstanding issues and agreeing future steps

- Implementing effective monitoring and evaluation.

#### **4.0 Meeting Schedule**

The Programme Board will meet quarterly during the programme initiation phase with the frequency of meetings increasing as Heads of Terms are signed and programme activity increases. Additional ad hoc meetings may be arranged as required. Progress reports from the SRO will be circulated monthly.

#### **5.0 Membership**

##### *Chair*

Chief Executive of Causeway Coast & Glens Borough Council

##### *Members:*

8 elected members

Director of Leisure & Development (SRO)

Director of Finance

Representatives of University and College partners

Growth Deal Programme Management Office (observers)

NICS – Working Group Member (observer)

#### **5.1 Board members**

It is the duty of all Council members and Programme Board members to act in the best interests of the Growth Deal Programme. All members are expected to comply with the codes of conduct of their respective organisations, including by appropriate management of potential conflicts of interest, and exhibit the values and aspirations of the regional partnership.

#### **5.2 Senior Responsible Officer**

The Senior Responsible Officer (SRO) is responsible for the programme meeting its objectives, delivering the required outcomes and realising the required benefits. The SRO is accountable for all aspects of governance and finance and is accountable to the Programme Board.

Key Responsibilities include:

- Providing clear leadership and direction for the programme;
- Overseeing arrangements for liaison with the UK government, Treasury and NICS in accordance with the requirements of the Programme;
- Ensuring that the necessary resources are provided to support effective programme delivery and oversight of the Programme Management Office;
- Ensuring the programme delivers a coherent capability, achieves its strategic outcomes and realises its benefits;
- Establishing programme governance and finance arrangements and ensuring appropriate assurance is in place;
- Monitoring the key strategic risks facing the programme.

#### **5.3 Director of Finance**

The Director of Finance is responsible for providing assurance that adequate financial assurance systems are in place for the Growth Deal Programme and to ensure that Council's financial commitments to the projects are affordable. Affordability will relate to both the

potential capital contributions from Councils Capital Programme (and associated levels borrowing) and the ongoing revenue requirements in relation to successful projects.

#### **5.4 University of Ulster and Colleges**

Skills, Apprenticeships & Employability will be a pervading theme across the Causeway Growth Deal Programme. As well as being potential Project Promotors for individual projects, Ulster University and the Further Education Colleges will advise the Executive Programme Board on any skills gaps and skills development opportunities relevant to the Growth Deal Programme.

#### **5.5 Programme Management Office**

The Programme Management Office (PMO) will provide the overall day-to-day support for the Growth Deal Programme. Officers will ensure a consistent and transparent approach is applied to the overall programme, which follows Council's and the wider public sector governance and accountability requirements. An engagement strategy with stakeholders will help ensure that a wide range of views are heard and reflected in the business cases and project plans.

Responsibilities will include implementing the actions necessary to ensure delivery of the Growth Deal Programme including:

Decision Making: in accordance with Council agreed delegation levels;  
Strategic Alignment: to the Council's vision for inclusive economic growth;  
Stakeholder Engagement: strong private, public and third sector relationships will underpin the delivery and ensure complementarity within and out with the Programme elements;  
Compliance: with Council's and the wider public governance, accountability and procurement requirements.

Functions of the Programme Management Office will include:

- Officer level communications with UK and NI Governments;
- Servicing all levels of the Programme Governance structures;
- Identifying, recording and reporting issues and risks for consideration by the Programme Board;
- Taking direction from the Programme Board;
- Guiding each project through the business case process and project delivery phases;
- Coordinating and delivering Growth Deal reports and information as required by Government;
- Developing and implementing the governance, assurance, legal and finance frameworks for the Programme;
- Establishing and maintaining effective systems for financial forecasting, reporting and information management;
- Developing and maintaining partnerships across relevant Government Departments, ALBs and project stakeholders;
- Procurement and contract management of external contractors;
- Implementing effective Programme and project monitoring and evaluation plans.

#### **5.6 NICS Working Group Member**

The NICS representative will have observer status. This means that they will attend Board meetings and may participate in Board discussions but they do not have the ability to take decisions on matters. The observer may ask questions and provide advice particularly on the NICS view. The observer should inform the Board if they have any concerns with the approach being taken. If the observer has concerns with an approach agreed by the Programme Board they should raise this at their Departmental Engagement Group.

## 6.0 Decision Making

The Executive Programme Board is not a ‘body corporate’ nor a full committee of the Council and therefore has very limited powers to make decisions or financial commitments. It will review Strategic Outline Cases (SOCs), Outline Business Cases (OBCs) and Full Business Cases (FBCs) and make recommendations to the Programme Management Office, Consultants, partners, Project Promoters and the Council. Decisions pertaining to these recommendations will be made on a simple majority.

Where an Executive Programme Board member has a conflict of interest as a Project Promotor or a key stakeholder they will have no part in any related decision-making or recommendations to the Council.

Council and the Leisure & Development Committee will ultimately approve the recommendations of the Executive Programme Board and provide an oversight role in ensuring that the CGD programme is aligned with the agreed vision for inclusive economic growth for the area. The Programme Management Office will guide and shape the development of project business cases within the framework that has been agreed between the Programme Board and the UK and NI Governments and report back accordingly.

Where partners require clarification on the limits of the authority of the governance structures or are concerned that decisions have not been made in accordance with the agreed roles and responsibility, the Executive Programme Board should give the relevant matter consideration.

## 7.0 Resourcing

The Programme Management Office will be reviewed by the Programme Board annually as part of risk reporting, to ensure that it is suitably resourced to meet the demands of delivering the Growth Deal for the forthcoming period.

A programme budget of £70k (2021/22) for development costs has been agreed by Council and delegated to the Programme Management Office. Additional development cost funding of £125k has been provided by the Levelling Up Fund for those specific projects that may be eligible and prioritised for an application in future tranches.

The Programme Board will also require in-house resources, with a number of project work streams running simultaneously to deliver the change programme. It is envisaged that there will be a core programme team comprising officers and SIB staff within the Council. The make-up of the key positions below may change as required by the programme stages:

<b>Senior Responsible Owner (SRO):</b>	Richard Baker, Director of Leisure and Development
<b>Investment Decision Maker (IDM) for Government Funders:</b>	UK Government: MHCLG NI Executive: DoF Council: Finance Director And other potential funding partners
<b>Investment Decision Maker (IDM) for Partner Funders:</b>	To be confirmed on a project-by-project basis.

<b>Programme Sponsor:</b>	Niall McGurk, Head of Economic Development
<b>Project Promoters:</b>	In most cases Council will be the Project Promoter.  For projects that fall into the ownership or policy expertise of Departments of Central Government, ALBs or other organisations; these bodies may take on the Project Promoter role. In these circumstances the Council will remain the Accountable Body.
<b>Project Sponsors:</b>	Heads of Service in relevant Departments and/or Project Promoter organisations
<b>Programme Management Office:</b>	Programme/Project Managers: John Beggs & Nick Harkness (SIB Project Managers on secondment to Council)
<b>Programme Administration:</b>	Melanie Orr (Interim)
<b>Technical Advisors</b>	Capital: Council's Capital Team Procurement & Contract Management: CPD Growth Deal compliance: DoF

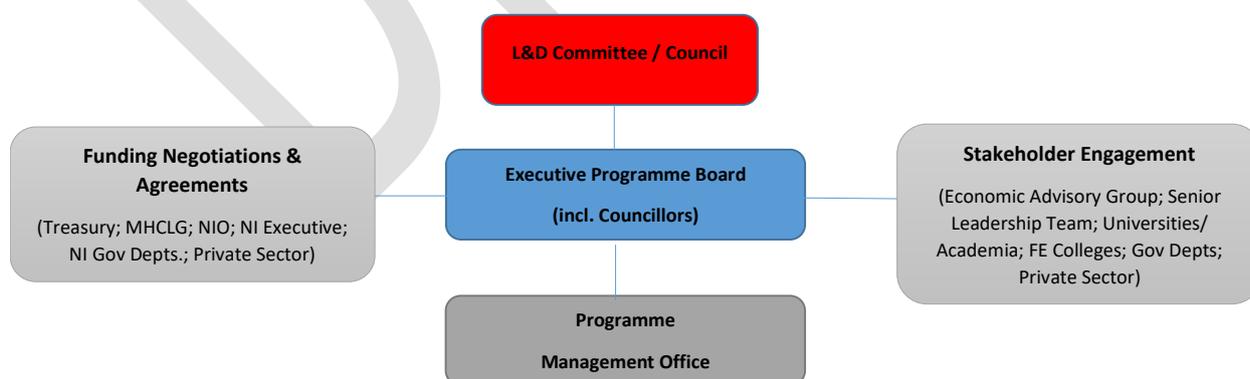
## 8.0 Term and Review of Terms of Reference

It is anticipated that the Programme Board will meet for the duration for the Growth Deal Programme. The Terms of Reference will be kept under annual review and amended as necessary at key stages of the Programme lifecycle.

Significant changes to the governance model as outlined above, including changes to remits or duties, will be discussed with partners before consideration by the Executive Programme Board. The Programme Management Office will discuss quality standards and templates for key products with the UK and NI Governments and any proposed changes to these products will be raised with the Programme Board.

## 9.0 Governance Structure

The central role of the Programme Board in the Growth Deal Programme is shown below:



More detail on governance, stakeholder engagement groups, risks, issues and programme plans is available within the Causeway Growth Deal, Programme Governance Overview and its Appendices.

## **10.0 Relationship with Council**

As highlighted above, the Executive Programme Board will sit as a Working Group of the Council, within, and be subject to, the Council's democratic structures and procedures.

The Programme Management Office, on behalf of the Executive Programme Board, will make staged progress reports and provide agreed meeting minutes to the Leisure and Development Committee and to work with other Directorates and Heads of Service to ensure that all corporate delivery programmes, including the Council's main Capital Programme are coordinated and any potential conflicts resolved.

DRAFT

## STAKEHOLDER ENGAGEMENT GROUPS: TERMS OF REFERENCE

### Level 1: Government Department Engagement Group

#### Role

The Government Department Engagement Group provides formal engagement by the Causeway Growth Deal SRO with the key Government departments critical to the delivery of the Causeway Growth Deal. This engagement will involve:

- Considering and providing direction on strategic Growth Deal issues as they arise in advance of Heads of Terms (HoTs) being signed.
- Providing assurance and advice to key Government Departments regarding the progress and delivery of the Causeway Growth Deal
- The oversight, monitoring and successful implementation of the Causeway Growth Deal, including the effective monitoring of performance, benefits realisation, budget, risks and other issues relating to the programme, in accordance with best practice
- Ensuring effective communications and direction downwards from both Governments on issues relevant to the Growth Deal
- The appropriate escalation and advice through both Governments to assist with the identification and resolution of any issues or risks that may emerge.

#### Responsibilities

Responsibilities will include:

- Considering the strategic alignment of the Growth Deal; to ensure as far as possible that projects are complementary with no undesirable duplication.
- Monitoring and supporting the successful implementation of the Growth Deal
- Oversee and support the development of programme and project business cases through access to industry insights, relevant data, networks and potential funding partners.
- Agreeing common Government positions and/or required mitigations to manage developing issues and risks
- Agreeing, subject to expenditure approval, any changes to the Growth Deal project plans
- Reporting progress upwards and downwards through the relevant Government programme governance structures
- Review the Growth Deal Annual Reports and discuss implementation progress.

### **Functions**

The will ensure that following signing of HoTs; the appropriate implementation documentation is agreed by both the NI Executive and UKG. This may include but is not limited to:

- An implementation plan
- Financial agreements
- A monitoring and evaluation framework
- Partner contributions
- Programme level risk register
- Deal governance agreement; and
- A communications protocol.

### **Meeting Schedule**

The Government Department Engagement Group will meet quarterly during the programme initiation phase with the frequency of meetings increasing as Heads of Terms are signed and programme activity increases. Additional ad hoc meetings may be arranged as required. Progress Reports from the SRO will be circulated monthly.

### **Risk Registers**

Maintaining an up-to-date programme level risk register will be the responsibility of the Executive Programme Board. The Risk Register will be presented to the Government Department Engagement Group which can agree any relevant government level mitigations. The Government departments will escalate issues and risks as required through internal NI/UKG processes and ultimately to Ministers.

### **Reporting, Record Keeping and Decision Making**

Decisions and actions agreed by the Government Department Engagement Group will be recorded in the record of the meeting. Should a decision be required in between meetings, decisions may be made and confirmed in writing by Group members and recorded as remote decisions in the records of the following meeting.

Following each monthly meeting the Government departmental leads will report upwards within their own departments as appropriate.

## Appendix 7: Programme Management Structures: Terms of Reference

An Annual Implementation Progress Report noting the status of implementation of the Causeway Growth Deal will be agreed by the Executive Programme Board and presented to the Level 1 Stakeholder Group.

### **Membership**

Chair: Programme SRO – Director of Leisure & Development

Members:

- Department of Finance
- NIO
- Ministry of Housing, Communities and Local Government
- Department for Economy
- Department for Communities
- Department of Infrastructure
- Other UKG/NIE departments as required

**Secretariat** - CCG

## **Level 2: Pillar Advisory Boards**

Three Pillar Advisory Boards will be convened to ensure complementarity across related projects in the Causeway Growth Deal.

The Pillar Boards will review related projects in the following themes:

Pillar Advisory Group 1: **Tourism and Infrastructure**

Pillar Advisory Group 2: **Innovation and Employability & Skills**

Pillar Advisory Group 3: **Digital and Green Energy**

### ***Roles***

- To drive the development of a related set of projects that are capable of supporting the delivery of the Deal partners' ambitions for inclusive economic growth.
- Oversee and challenge the SOCs; Outline and Final Business Cases for projects within that Pillar in advance of them being presented to the Programme Board for approval.
- Provide of advice and guidance
- Ensuring broader strategic alignment with Programme for Government and the wider environment
- Provide access to relevant data sets, reports, insights, industry networks and stakeholders
- Sense checking project plans considering specialist industry knowledge

### **Responsibilities**

It will be the responsibility of the Pillar Advisory Boards to ensure:

- Synergies and complementarity between related projects
- Projects achieve additionality and avoid displacement from current/planned facilities and services
- Proposed projects are strategically relevant to the economic growth of the region
- Strategic partnerships offer support to the projects

### ***Meeting Schedule***

The Pillar Advisory Boards will meet quarterly during the programme initiation phase with the frequency of meetings increasing as Heads of Terms are signed and programme/project activity increases. Additional ad hoc meetings may be arranged as required.

***Membership***

Chairs are proposed as follows:

Pillar Advisory Group 1 **Tourism and Infrastructure** chaired by DfI

Pillar Advisory Group 2 **Innovation and Employability & Skills** chaired by UU

Pillar Advisory Group 3 **Digital and Green Energy** chaired by DfE

Members:

- Programme Management Office reps TBC
- Industry experts, researchers, industry specific governing bodies etc as relevant to the projects under the Pillar
- University
- NI Accountable Department
- Relevant ALBs

<b>Level 3: Project Working Groups transitioning into Project Boards</b>
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Project Working Groups will be initially convened to support development of Business Cases for consideration by Pillar Advisory Boards and approval by the Executive Programme Board. Once FBCs are approved each Project Working Group will transition into a Project Board to oversee the Project delivery.

***Roles***

Responsibilities will include:

- Leading in the preparation of the SOCs; Outline and Full Business Cases;
- Coordinating and oversight of the delivery of a specific project including the management of:
  - Time, cost and quality issues
  - Risk
  - Health and safety
  - Monitoring and reporting
  - Stakeholder communications
  - Preparations for operational management

***Meeting Schedule***

The Project Working Groups/Boards will meet as appropriate based on the stage and complexity of the project at the time.

***Membership***

The membership of the Project Working Group/Board will vary between projects but is likely to include the following by way of example:

Chair: Project SRO

Members:

- Project Management Office
- Investment Decision Maker

## Appendix 7: Programme Management Structures: Terms of Reference

- Suppliers:
  - Business case consultants
  - ICT
  - IST
- Project Manager
- NI Accountable Department (Working Group Member)
- Project Critical partners
- ALBs, industry experts, researchers, industry specific governing bodies etc as relevant to the project during the business case development

<b>Version</b>	<b>Date</b>	<b>Summary of change</b>	<b>Owner</b>
V.1.0	Sept 2021	Initial version Stakeholder groups ToR	PMO
V.1.1	11 Oct 2021	Updated EPB ToR	PMO

## Programme Management Office: Roles, Responsibilities & Functions

### Roles

The Programme Management Office will provide the overall day-to-day support for the Causeway Growth Deal. Officers will ensure a consistent and transparent approach is applied to the overall programme, which follows Council's and the wider public sector governance and accountability requirements. An engagement strategy with stakeholders will help ensure that a wide range of views are heard and reflected in the business cases and project plans.

### Responsibilities

Responsibilities will include implementing the actions necessary to ensure delivery of the Growth Deal Programme including:

- **Decision Making:** in accordance with Council agreed delegation levels
- **Strategic Alignment:** to the Council's vision for inclusive economic growth
- **Stakeholder Engagement:** strong private, public and third sector relationships will underpin the delivery and ensure complementarity within and out with the Programme elements
- **Compliance:** with Council's and the wider public governance, accountability and procurement requirements

### Functions

- Officer level communications with UK and NI Governments
- Servicing all levels of the Programme Governance structures
- Identifying, recording and reporting issues and risks for consideration by the Executive Programme Board
- Taking direction from the Executive Programme Board
- Guiding each project through the business case process and project delivery phases
- Coordinating and delivering Growth Deal reports and information as required by Government
- Developing and implementing the governance, assurance, legal and finance frameworks for the Programme
- Establishing and maintaining effective systems for financial forecasting, reporting and information management
- Developing and maintaining partnerships across relevant Government Departments, ALBs and project stakeholders
- Procurement and contract management of external contractors

Appendix 8: Programme Management Office: Roles, Responsibilities & Functions

- Implementing effective Programme and project monitoring and evaluation plans

**Key Positions:**

<b>Senior Responsible Owner (SRO):</b>	Richard Baker, Director of Leisure and Development, CC&GBC
<b>Investment Decision Maker (IDM) for Government Funders:</b>	<ul style="list-style-type: none"> <li>• UK Government: MHCLG</li> <li>• NI Executive: DoF</li> <li>• Council: Finance Director</li> <li>• And other potential funding partners</li> </ul>
<b>Investment Decision Maker (IDM) for Partner Funders:</b>	To be confirmed on a project-by-project basis.
<b>Programme Sponsor:</b>	Niall McGurk, Head of Economic Development
<b>Project Promoters:</b>	In most cases CC&GBC will be the Project Promoter.  For projects that fall into the ownership or policy expertise of Departments of Central Government, ALBs or other organisations; these bodies may take on the Project Promoter role. In these circumstances the Council will remain the Accountable Body.
<b>Project Sponsors:</b>	Heads of Service in relevant Departments and/or Project Promotor organisations
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<b>Programme Administration:</b>	Melanie Orr (Interim)
<b>Technical Advisors</b>	Capital: CCGBC Capital Team Procurement & Contract Management: CPD Growth Deal compliance: DoF

Version	Date	Summary of change	Owner
V.1.0	11 Oct 2021	Initial version PMO R&R	PMO



**Present  
Members:**

Alderman: Hillis (UUP); Knight-McQuillan (DUP)  
Councillors: Anderson (DUP); Schenning (SDLP); McShane (SF)  
Councillors: Holmes (UUP) joined meeting at 7:40pm  
Callan (DUP) joined meeting at 8:15pm

**Officers:**

D Jackson, Chief Executive  
R Baker, Director of Leisure & Development  
N McGurk, Interim Head of Prosperity & Place  
N Harkness, SIB Project Manager  
J Beggs, SIB Project Manager  
A McAuley, PR and Corporate Communications Manager  
L Mullan, Strategic Projects Officer

**In Attendance:**

L Maguire, Pro Vice-Chancellor Research Ulster University  
M McAuliffe, Marketing and Communications Officer Ulster University

NO.	ACTIONS	
1.	<b>Welcome</b>	
	<p>Agreed Chief Executive would Chair meeting, in absence of Councillor Callan</p> <p><b>Focus for today:</b> to hear of the Programme Management proposals and to agree Terms of Reference to transition this Working Group into the new Executive Programme Board.</p>	

NO.		ACTIONS
2.	<b>Apologies</b>	
	Councillors: Bateson (SF) and McCaw (APNI)	
3	<b>Notes of Meeting held 9<sup>th</sup> August 2021</b>	
	Minutes of previous meeting agreed.	
4.	<b>Matters Arising &amp; Update on Actions</b>	
	<p>Director of Leisure &amp; Development updated Members on actions:</p> <ul style="list-style-type: none"> <li>• Governance Paper to be taken to L&amp;D Committee – paper was taken on Tuesday 17<sup>th</sup> August 2021 and ratified by Full Council on Tuesday 7<sup>th</sup> September 2021.</li> <li>• Growth Deal Consultancy Framework established – Further details on Framework provided later in this meeting.</li> <li>• SIB Officer and Administrative Officer to be appointed – SIB Officer appointed in September 2021 for three years. Administrative Officer needs currently undertaken by Council staff.</li> <li>• Best Practice Visit – Delayed due to other Growth Deal priorities and travel restrictions imposed during pandemic.</li> </ul>	<p>Completed</p> <p>Completed</p> <p>Ongoing</p> <p>Ongoing</p>
5.	<b>Growth Deal: Scene Setting Presentation</b>	
	<p>Director of Leisure &amp; Development provided overview of current state of CCAGBC's Growth Deal.</p> <ul style="list-style-type: none"> <li>• £72m in funding available (combined UK Government and NI Executive monies) for Growth Deal. Alternative funding streams being consider for projects include Levelling Up Fund, Complementary Fund and individual Government departments.</li> <li>• Key principles for Growth Deal outlined.</li> </ul>	<p>Presentation to be issued to Members (NMCG)</p>

NO.		ACTIONS
	<ul style="list-style-type: none"> <li>• Projects and themes discussed, alongside indicative costs. Potential to reduce from six themes to four, due to two themes only having one project each. These projects will be absorbed into remaining themes.</li> <li>• Programme Management Office has been established and projected timeline provided for SOCs, Heads of Terms, OBCs and FBCs.</li> <li>• Champions to be identified for each project.</li> <li>• Levels of stakeholder oversight outlined.</li> </ul> <p>Councillor McShane queried if CCAGBC's Growth Deal is behind other City/Growth Deals.</p> <p>Director of Leisure &amp; Development advised that we are currently behind City Deals but in a similar position to Mid South West's Growth Deal. However, now that Council has established the Programme Management Office, progress should gain momentum.</p> <p>Chief Executive sought clarity on which projects could be funded by UK Government and which by NI Executive.</p> <p>Director of Leisure &amp; Development confirm funding streams for all six themes.</p>	
6.	<b>Update on Programme Management &amp; Governance</b>	
	<p>SIB Project Manager, Nick Harkness provided overview on Growth Deal programme management and governance.</p> <ul style="list-style-type: none"> <li>• Programme management and governance has been developed based on guidance provided from Department for the Economy.</li> <li>• Terms of Reference, Issue Log, Roles and Responsibilities and Risk Register have been developed, in addition to high level governance document previously approved by Council in September 2021.</li> <li>• Programme milestones have been identified, as well as Action Plan developed.</li> </ul>	<p>Presentation to be issued to Members (NMCG)</p> <p>Reference documents to be issued to Members (NMCG)</p>

NO.		ACTIONS
	<ul style="list-style-type: none"> <li>• Council will be the accountable body. Policy and strategy decision making will be responsibility of Council.</li> <li>• Guidance recommends that Chair of Executive Programme Board should be the Chief Executive.</li> <li>• Accountable body or partner organisation required to provide 10% of funding costs for each project.</li> <li>• High level of scrutiny for all Growth/ City Deals, three levels of Government governance plus Council oversight.</li> <li>• Three levels of stakeholder engagement have been identified.</li> <li>• Government milestones: <ul style="list-style-type: none"> <li>○ Development costs for each project is risk entirely to accountable body or partners. Spend is lost if projects do not proceed but can be capitalised if project receives Letter of Offer.</li> <li>○ All SOC's must be jointly approved before Heads of Terms will be issued. Therefore, this process will move as fast as the slowest project. Merit in discussing if certain projects should be removed if they are unlikely to secure Growth Deal funding.</li> <li>○ All OBC's must be jointly approved.</li> <li>○ Once projects reach FBC stage, they can proceed independently from the other projects. After FBC's are approved, funding offer will be made and projects can proceed to delivery.</li> </ul> </li> <li>• Projects will be heavily scrutinised at all stages. UK Government and NI Executive can reject projects at any stage of the process.</li> </ul> <p><b>RECOMMENDATION:</b> To prioritise key projects that are most likely to be delivered under the Growth Deal and remove those projects that will cause delays to process or are unlikely to meet funding requirements.</p> <p>Alderman Knight-McQuillan sought clarity that all SOC's had to be completed at the same time for every Growth/City Deal.</p>	

NO.		ACTIONS
	<p>SIB Project Manager, Nick Harkness confirmed that all SOC's must be jointly submitted. All Growth/City Deals are independent of each other.</p> <p>Alderman Knight-McQuillan suggested that Members need to make difficult decisions now in relation to which projects remain, to ensure process continues to move forward.</p> <p>SIB Project Manager, Nick Harkness confirmed and reiterated that projects which are unlikely to secure Growth Deal funding will cost Council time and money.</p> <p>Councillor Schenning agreed that certain projects will not be successful in securing funding through Growth Deal and suggested that Members start removing these projects now.</p> <p>Councillor Anderson noted that projects will be reduced once SOC's are completed, and this process need to start as soon as possible.</p> <p>Chief Executive asked if any consideration has been given to reducing number of projects.</p> <p>Director of Leisure &amp; Development advised that Council approved decision to allow 14 projects to progress to SOC stage and this must be adhered to.</p> <p>Interim Head of Prosperity &amp; Place further emphasised that all 14 SOC's must be undertaken following Council decision. Once SOC's are completed, a shortlist will be identified, and those projects will proceed to Heads of Terms.</p> <p>It was also highlighted that for those projects which do not proceed, the SOC's will provide overview on status of that project and allow for informed decision to be made on how to move those projects forward.</p>	

NO.		ACTIONS
	<p>Councillor Anderson queried if Council is legally obliged to take all 14 projects forward to SOC stage.</p> <p>Director of Leisure &amp; Development noted that Council decision must be followed.</p> <p>Chief Executive outlined Standing Order:</p> <ul style="list-style-type: none"> <li>• If decision was made by Council more than six months ago, Executive Programme Board could make a further recommendation to reduce project list</li> <li>• However, if Council decision was made less than six months ago, motion would need to be rescinded.</li> </ul> <p>Councillor Anderson queried what the impact would be, if they dropped two projects now, given that Members are confident they would not be successful.</p> <p>Director of Leisure &amp; Development advised that this could cause further delays to process, as it could reopen debate on the merits of all the projects currently under consideration.</p> <p>Alderman Hillis asked how quickly can SOCs be completed for projects, so that list can be reduced.</p> <p>Director of Leisure &amp; Development advised projected timeline for SOC completion is April 2022.</p> <p>Interim Head of Prosperity &amp; Place further advised that deadline has been extended until August 2022, but expectation is that SOCs will be completed sooner. Updates will be provided to Executive Programme Board on a regular basis. Heads of Terms are expected to be agreed by August 2022.</p>	

NO.		ACTIONS
	<p>Councillor Holmes noted that when additional projects were added to SOC list, it was agreed that additional staff would be appointed. Councillor Holmes asked if additional staff had now been appointed.</p> <p>Director of Leisure &amp; Development confirmed that an additional SIB Project Manager has been appointed and a Consultancy Framework was being developed to assist with delivery.</p> <p>Chief Executive requested that consideration be given to a mechanism that could remove any project that would cause significant delay to SOC's submission.</p> <p>SIB Project Manager, Nick Harkness suggested that Officers put 14 projects through a 'State of Readiness' assessment to determine if any of the projects will cause significant delays or should be removed.</p> <p>SIB Project Manager, John Beggs advised that 'break clauses' have been built into Consultancy Framework to enable projects which have significant issues or are unfeasible to be removed from Growth Deal process.</p> <p>Councillor Holmes reminded Members that Special Council Meeting could be called to consider Growth Deal projects only, if required.</p>	<p>State of Readiness Assessment to be carried out on all 14 shortlisted projects by Dec 21. (NH/JB)</p>
7.	<p><b>Executive Programme Board: Terms of Reference for adoption along with agreement of Chair &amp; Vice Chair</b></p>	
	<p>Interim Head of Prosperity &amp; Place briefly outlined the Terms of Reference for the Executive Programme Board including:</p> <ul style="list-style-type: none"> <li>• Structure</li> <li>• Roles &amp; Responsibilities</li> <li>• Meeting Schedule</li> </ul>	<p>Presentation to be issued to Members (NMCG)</p>

NO.		ACTIONS
	<ul style="list-style-type: none"> <li>• Decision Making Process</li> </ul> <p>As previously mentioned, guidance from NICS states that Executive Programme Board should be Chaired by the Chief Executive of the accountable body.</p> <p>In addition to current members, it is proposed that the following additional representatives be invited:</p> <ul style="list-style-type: none"> <li>• Director of Finance, Causeway Coast &amp; Glens Borough Council</li> <li>• Chief Executive of Northern Regional College</li> <li>• Chief Executive of North-West Regional College</li> <li>• Growth Deal Programme Management Office</li> <li>• NICS Working Group Member</li> </ul> <p>Terms of Reference will be reviewed annually and update/revised as necessary.</p> <p>Executive Programme Board is subject to the same Democratic Structures and Procedures, as all other Council groups/boards.</p> <p>Programme Management Office will provide progress reports, meeting minutes and work with other Directorates to ensure smooth delivery of programme.</p> <p>Leisure &amp; Development Committee will approve any recommendations from the Executive Programme Board.</p> <p><b>FOR DECISION:</b> Members to agree the transition from Growth Deal Working Group to Executive Programme Board and for Chief Executive to be appointed Chair and Director of Leisure &amp; Development to be appointed Vice Chair.</p>	

NO.		ACTIONS
	<p>Councillor McShane queried if it was standard practice in other Growth/City Deals for Chair/ Vice Chair to be Officials rather than Elected Members.</p> <p>Chief Executive advised that other Growth/City Deal do follow guidance from NICS that Chair/ Vice Chair are Officials from accountable body.</p> <p>Pro Vice-Chancellor Research, Ulster University who has been an active member of other Growth/City Deal Boards supported assertion made by Chief Executive.</p> <p>Proposed by Alderman Knight-McQuillan Seconded by Alderman Hillis</p>	
<b>8.</b>	<b>Procurement of Business Case Consultants</b>	
	<p>SIB Project Manager, John Beggs provided overview of Consultancy Framework that will be used to provide 'call-off' list of consultants to help manage process.</p> <p>Consultancy Framework provides specification of what is expected from each consultant in relation to SOCs, OBCs and FBCs. This includes:</p> <ul style="list-style-type: none"> <li>• Consultants will adhere to Five Case Model, as well as Treasury and Department of Finance guidance.</li> <li>• Ensure multi-disciplinary teams are in place, to include members with relevant technical and industry/sectoral expertise.</li> </ul> <p>Consultancy Framework will apply to all capital projects over £2m, this ensures Framework provides flexibility for consultants to support any projects outside of Growth Deal remit.</p>	<p>Presentation to be issued to Members (NMCG)</p>

NO.		ACTIONS
	<p>Advice was sought from Central Procurement Directorate who advised that using the 'Call-off Contract' method would be optimal for Growth Deal requirements.</p> <p>Consultancy Framework will remain in place for three years, with potential for two additional one-year extensions.</p> <p>Programme Management Office has devised guidance notes and proforma that will be used by all consultants throughout the process.</p> <p>Consultancy Framework will go out to open tender via etendersni.</p> <p>Anticipated that consultants will be in place by January 2022.</p> <p>Programme Management Office will hold workshops as and when required, to keep Members fully apprised of individual project status.</p> <p>Consultancy Framework provides appointed consultant with mechanism to remove any project from Growth Deal consideration, if project deemed unsuitable i.e. too many barriers for progress to be made in a timely manner.</p> <p>Project specific specifications will also be drawn up by Programme Management Office to share with appointed consultant, to ensure clarity of expectations.</p>	<p>Consultancy Framework to be issued via etendersni. (JB)</p>
9.	<b>Programme Risk Register</b>	
	<p>SIB Project Manager, Nick Harkness provided overview of Risk Register for Growth Deal that is currently under development.</p> <p>Risk Register has currently identified five categories:</p> <ul style="list-style-type: none"> <li>• Financial</li> </ul>	<p>Presentation to be issued to Members (NMCG)</p>

NO.		ACTIONS
	<ul style="list-style-type: none"> <li>• Programme Management</li> <li>• Business Case</li> <li>• Partnerships Risks</li> <li>• Strategic Risks</li> </ul> <p>Risk Register will be issued to Members for review.</p> <p>Councillor Schenning queried within the Financial Risk, is 10% funding requirement solely Council's responsibility or are others liable. Could other funding sources be found?</p> <p>SIB Project Manager, Nick Harkness advised that current understanding was the accountable body for the project provides 10% of the overall funding.</p>	<p>Risk Register to be issued to Members (NH)</p>
10.	<b>Any Other Relevant Business</b>	
	<p><b>Levelling Up Fund</b>  Director of Leisure &amp; Development provided update on Levelling Up Fund.</p> <ul style="list-style-type: none"> <li>• Council has received £125,000 to facilitate business development of Levelling Up Fund projects. Currently, awaiting further guidance on what this money can be used for.</li> </ul> <p><b>Best Practice Visit</b>  Councillor Schenning wanted assurance that Members will be provided adequate notice for any such trip.</p> <p>Director of Leisure &amp; Development confirmed that Members would be briefed well in advance of any planned visit and that careful consideration would be given to where visit will take place.</p>	

NO.		ACTIONS
	Anticipated that Best Practice visit will occur in 2022.	
11.	<b>Date of Next Meeting</b>	
	Members agreed that next meeting will take place on Thursday 20 <sup>th</sup> January 2022	Meeting invite to be issued (RB)

Meeting closed at 8:38pm

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