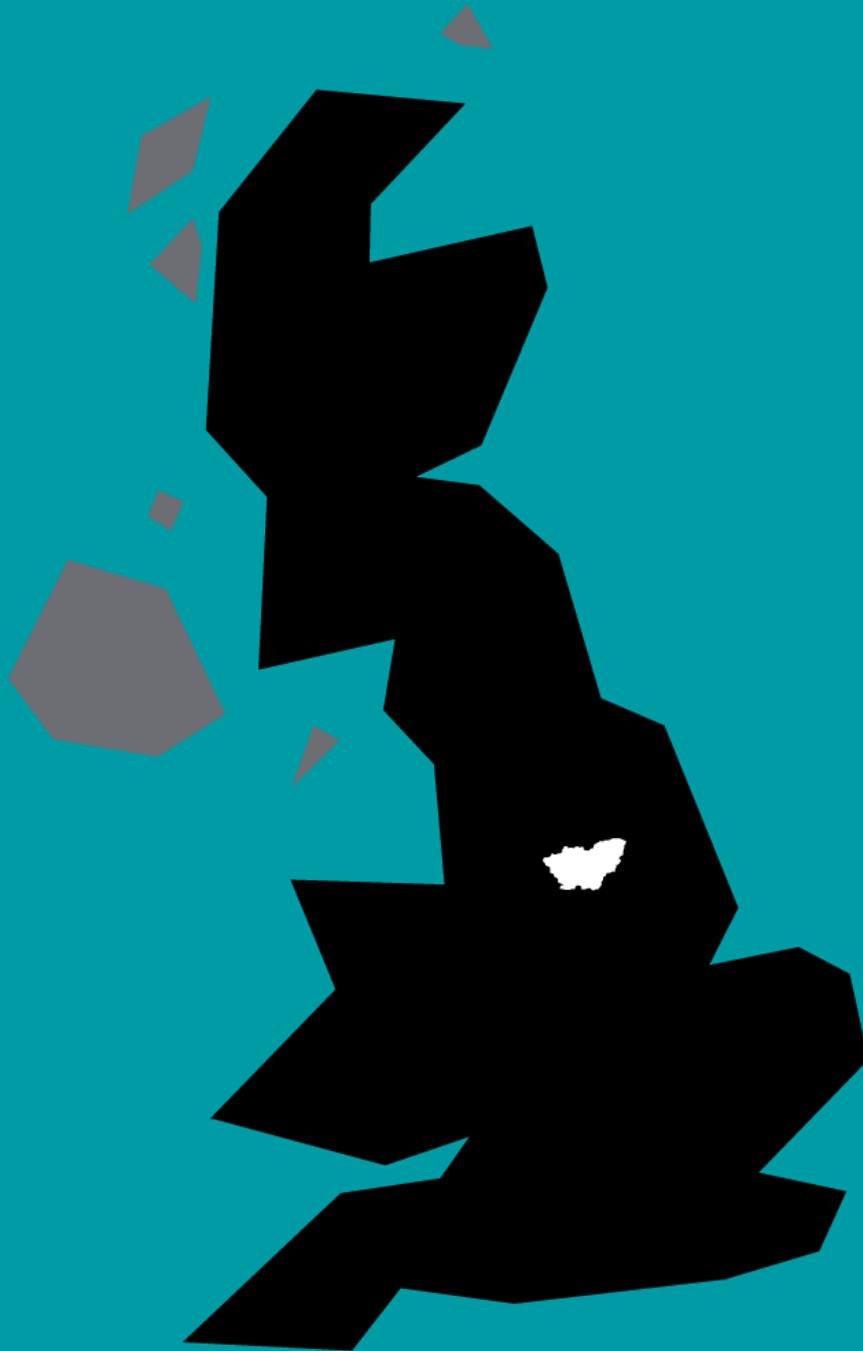


ASSURANCE FRAMEWORK

APRIL 2024



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1. Introduction

Purpose of the Assurance Framework

- 1.1 The aim of this document is to set out how the South Yorkshire Mayoral Combined Authority (MCA) will use public money responsibly, both openly and transparently, and achieve best value for money. This document outlines:
 - The respective roles and responsibilities of the Mayoral Combined Authority Board, the South Yorkshire Mayor and other elements of the decision-making and delivery structure;
 - The key processes for ensuring accountability, probity, transparency, legal compliance, and value for money;
 - How potential investments will be prioritised, appraised, approved, and delivered; and
 - How the progress and impacts of these investments will be monitored and evaluated.
- 1.2 The Assurance Framework sits alongside several key governance and policy documents – most notably the Devolution Agreement and Settlement Letter, the MCA Constitution, the Financial Regulations, the Strategic Economic Plan (SEP), and Monitoring and Evaluation Framework.
- 1.3 The Assurance Framework has been developed in accordance with the English Devolution Accountability Framework (March 2023) and in accordance with the HM Treasury Green Book (October 2023).
- 1.4 This Assurance Framework takes effect from 1 April 2024. It will apply to all new decisions, approvals, and funding bids, regimes, and projects from this date. For continuity and consistency purposes, some existing projects which are already part way through the 2023 Assurance Framework process, will conclude their funding approval through that route.

Updating the Assurance Framework

- 1.5 The Assurance Framework is reviewed and updated at the end of each year. The next annual review of this document is scheduled to commence in September 2024. However, this document may be amended and re-published prior to the annual review date if improvements or significant changes are made to the MCA, or its governance and assurance structures and processes, or if new guidance is received from the Government.
- 1.6 A draft of the Assurance Framework is presented to the MCA Board to approve any changes. The Assurance Framework is then submitted to the Department for Levelling Up, Housing and Communities (DLUHC), the Department for Transport (DfT) and the Department for Education (DfE) for approval.

The Structure of this Document

1.7 The remainder of this document is structured into the following sections:

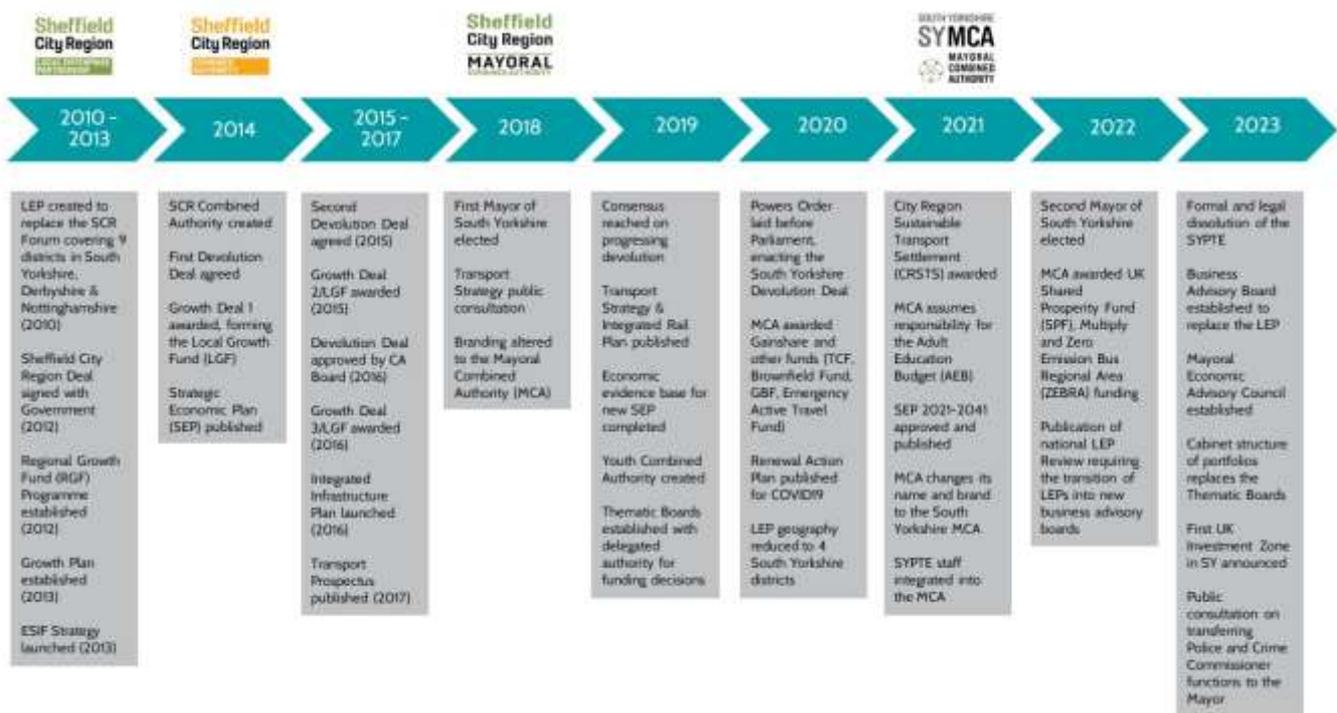
- **Section 2** describes South Yorkshire, the funding devolved by Government to the Mayoral Combined Authority and the plan for economic growth.
- **Section 3** explains the structures, roles, and responsibilities for decision-making.
- **Section 4** outlines the processes for ensuring openness and accountability for public funds.
- **Section 5** describes how the MCA collaborates and engages with other MCAs, partners, and the public.
- **Section 6** illustrates how decisions are made in a robust, evidenced, and transparent manner.
- **Section 7** explains how projects are delivered and monitored and evaluated.
- **Section 8** states how the Mayor and MCA work collaboratively and consult with others
- **Section 9** outlines how information is published.
- **Appendix A** provides a summary of the policies in place.
- **Appendix B** lists the key performance indicators that the MCA assesses funding applications and programme, project, and economic performance against.

2. About South Yorkshire

History

- 2.1 The South Yorkshire geographical area consists of the four local authority districts in South Yorkshire: Barnsley, Doncaster, Rotherham, and Sheffield.
- 2.2 In 2008, the Sheffield City Region (SCR) Forum was created to formalise collaborative working between the South Yorkshire authorities that had taken place since 1986. The SCR Forum evolved into the Local Enterprise Partnership (LEP) in 2010. This was followed by the formation of the Mayoral Combined Authority (MCA) on the 1st April 2014 and the election of the first Mayor on the 4th May 2018.
- 2.3 The South Yorkshire Devolution Deal¹ was signed into law on the 27th July 2020.
- 2.4 The second Mayor for South Yorkshire was elected on the 6th May 2022.
- 2.5 Following the conclusion of the Government’s LEP Review in 2022, and a review of the MCA’s governance structure, the LEP evolved into a new Business Advisory Board. The new MCA governance model was agreed by the MCA Board on the 5th June 2023.
- 2.6 A timeline showing the significant milestones in the evolution of the MCA is shown in Figure 1 below:

Figure 1: South Yorkshire Devolution Timeline

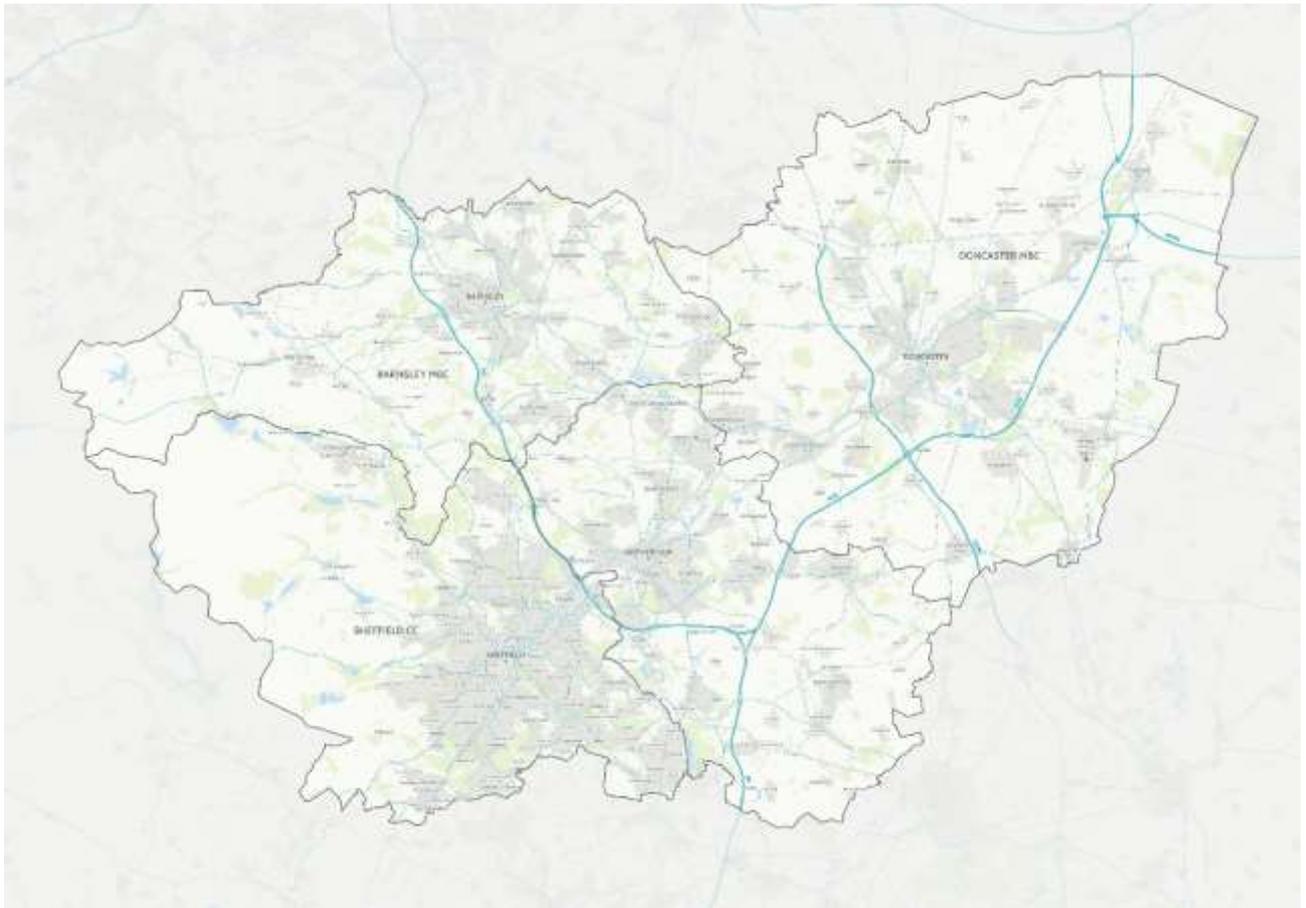


¹ [The Barnsley, Doncaster, Rotherham, and Sheffield Combined Authority \(Functions and Amendment\) Order 2020](#)
SYMCA Assurance Framework 2024

Geography

- 2.7 The MCA's geographical boundary is South Yorkshire (Figure 2). However, the wider functional economic area also covers five neighbouring districts in Derbyshire and Nottinghamshire: Bassetlaw, Bolsover, Chesterfield, Derbyshire Dales and North East Derbyshire.
- 2.8 These five districts are named as non-constituent members of the MCA in accordance with the 2014 Order² that created the MCA, and they collaborate with the MCA on cross-border economic issues.

Figure 2: Map of South Yorkshire



Plan for Economic Growth

- 2.9 The Strategic Economic Plan (SEP) is a twenty-year economic strategy which sets out the vision and policy objectives for growing the economy at pace; ensuring that all people and places have a fair opportunity to contribute to and benefit from prosperity and protecting and enhancing our environment.
- 2.10 The SEP was approved by the MCA in January 2021.
- 2.11 The SEP is built on a broad range of socio-economic data and is the result of extensive consultation with business representatives, local industry leaders, local authorities, residents, and stakeholder organisations. The vision and policy objectives for economic growth across South Yorkshire, are set out in Figure 3 below.

² [The Barnsley, Doncaster, Rotherham, and Sheffield Combined Authority Order 2014](#)
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Figure 3: Strategic Economic Plan 2021-2041



2.12 The SEP will be reviewed and updated on a regular basis to ensure a sound strategic basis for investment.

2.13 In addition to producing the SEP, the MCA has a statutory responsibility to develop and publicly consult on two other strategic documents: the Transport Strategy and Nature Recovery Strategy. Together, with the MCA's priorities for Gainshare and the Net Zero Work Programme, these documents set the blueprint for how devolved and awarded funding from Government will be invested. The SEP also sets the criteria that all programmes, schemes and projects will be measured and assessed against; from application stage through to contracting and delivery.

Devolved Powers and Funding

2.14 The South Yorkshire Devolution Deal provides the ability to establish a single pot of funding to invest in economic development. Known as the South Yorkshire Renewal Fund, this now includes the Devolution Investment Fund (Gainshare), the Adult Education Budget, a consolidated transport budget and other devolved monies as detailed below. Further information on how decisions are made and assured to invest the fund is provided in Section 5 of this document.

Gainshare

2.15 The Gainshare (grant-based investment funding) allocation for South Yorkshire through the Devolution Deal is £30m per annum for a period of 30 years. This consists of 60% capital and 40% revenue funding and is to be invested in the delivery of the MCA's strategic and economic priorities.

Adult Education Budget (AEB)

- 2.16 From the start of the 2021/22 academic year, the MCA assumed responsibility for the revenue-based Adult Education Budget (AEB) in South Yorkshire. Devolution of AEB supports the delivery of high-quality adult education at NVQ Levels 1,2 and 3 to individuals aged 19 years and above. This equates to around £42m per academic year.

City Region Sustainable Transport Settlement (CRSTS)

- 2.17 The MCA is responsible for the consolidated devolved capital transport budget. This includes the Highways Maintenance Block (excluding PFI) and Highways Maintenance incentive funding. In October 2021, the MCA was awarded £570m for a period of 5 years.

Transforming Cities Fund (TCF)

- 2.18 Following a successful bidding process, in March 2020, the Government awarded £166m from the Transforming Cities Fund (TCF) to South Yorkshire for a period of three years to improve public transport and support investment in active travel infrastructure. The third year of TCF funding (approximately £72m) is incorporated in the CRSTS allocation.

Brownfield Housing Fund (BHF)

- 2.19 The MCA was allocated £40m in June 2020 to deliver a capital programme of housing schemes on brownfield sites over the next 5 years through the Government's Brownfield Fund.

Community Renewal Fund (CRF) and UK Shared Prosperity Fund (UKSPF)

- 2.20 In November 2021, following a national bidding process, the Government awarded £8.2m of revenue funding to the MCA to fund eight projects as part of the Community Renewal Fund (CRF); a pilot and precursor programme for the UK Shared Prosperity Fund (UKSPF).
- 2.21 The UKSPF is the Government's major economic development fund to replace EU Structural and Investment Funds. There are three UKSPF investment priorities: communities and place; supporting local business; and people and skills.
- 2.22 South Yorkshire has been allocated £38.9m from the fund for 3 years between April 2022 to March 2025. The focus of South Yorkshire's Plan is to materially improve the life chances of residents (especially the most deprived), support business growth and boost pride and confidence in the region.

Multiply

- 2.23 In 2022, South Yorkshire was awarded £7.3m from the Government's UK Shared Prosperity Fund to invest in the provision of numeracy and maths courses for adults without a GCSE grade C/4 or higher qualification in maths.

Zero Emission Bus Regional Area (ZEBRA)

- 2.24 In March 2022, South Yorkshire was awarded £8m to invest in a fleet of up to 27 zero emission buses and charging infrastructure.

Powers

- 2.25 Under the South Yorkshire Devolution Deal, the MCA and Mayor were granted the following devolved powers from Government:
- The full devolution of the 19+ Adult Education Budget for college and training providers
 - The ability to borrow against funds
 - To improve the supply and quality of housing and secure the development of land or infrastructure
 - To create a non-statutory Spatial Framework for South Yorkshire
 - The option to establish Mayoral Development Corporations
 - To provide grants and make agreements with other bodies on the management of the strategic highway network
 - The option to introduce a Mayoral precept.
- 2.26 From May 2024 the Mayor will take on the functions of the Police and Crime Commissioner and be able to appoint a Deputy Mayor for Policing and Crime to assist. This role includes listening to the needs of communities, securing victim support services, setting the objectives for the police force and holding the Chief Constable to account.

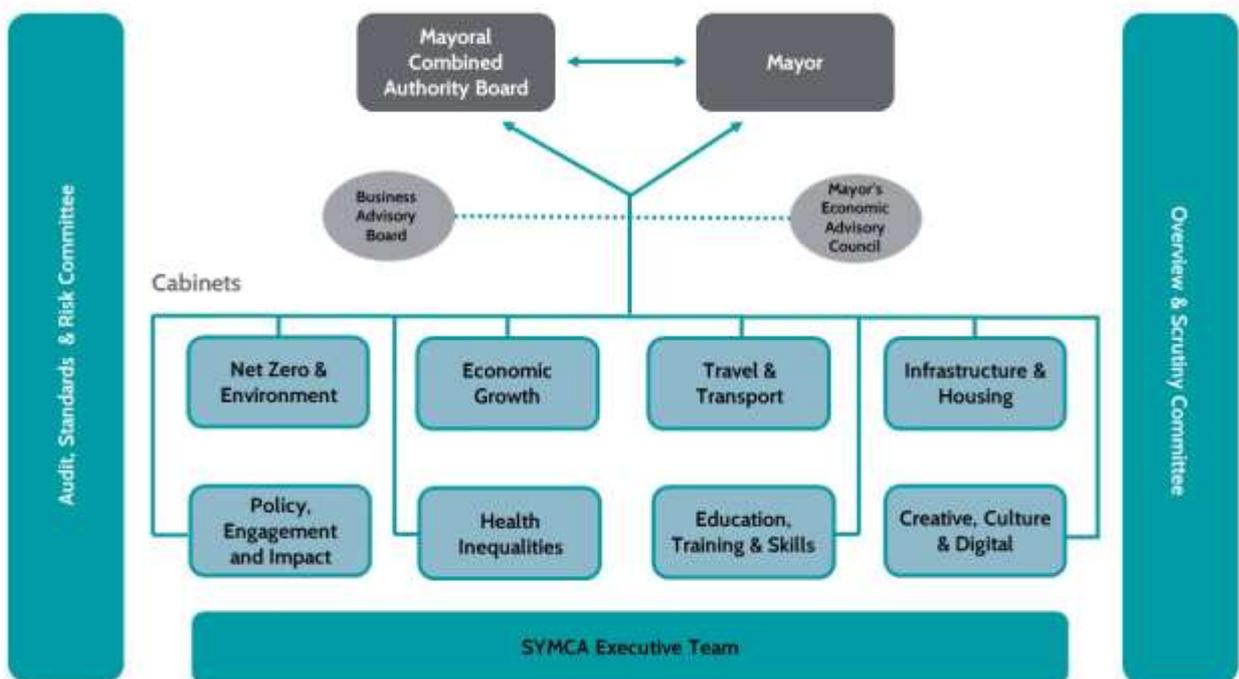
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3. Structures and Roles

Overview

- 3.1 The MCA governance model combines public sector capacity, transparency, and accountability with external expertise from two advisory panels.
- 3.2 The MCA Board is the only decision-making body in the governance structure.
- 3.3 The Mayor and MCA Board are supported by a Business Advisory Board (BAB), the Mayor’s Economic Advisory Council (MEAC), eight Cabinets and the MCA Executive Team. The Cabinets are responsible for driving forward the agenda for a thematic area. The MCA Executive Team advises the Mayor, MCA and on policy and commissions, manages, and monitors the delivery of projects.
- 3.4 The MCA Executive Team and local authority Chief Executives also support the decision-making process, with the Chief Executives each leading on a thematic portfolio to inform and advise the Cabinets. Two independent committees, the Audit, Standards and Risk Committee and Overview and Scrutiny Committee, ensure that the MCA and Mayor are fulfilling their legal obligations, and developing and delivering strategies and public transport services that are in the best interests of local people.
- 3.5 The MCA delivers all the functions of the former South Yorkshire Integrated Transport Authority (SYITA) and former South Yorkshire Passenger Transport Executive (SYPTe) which was dissolved by Statutory Instrument with effect from 1st April 2023³.
- 3.6 Figure 4 sets out the overall structure and how the Boards and Committees relate to one another.

Figure 4: The South Yorkshire Mayoral Combined Authority Organisational Structure



³ [South Yorkshire Passenger Transport Executive \(Transfer of Functions\) Order 2023](#)
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- 3.7 The following sections provide a description of the different elements of the structure and their respective roles and responsibilities.

The Mayor

- 3.8 The Mayor is directly elected by the electorate in South Yorkshire (Barnsley, Doncaster, Rotherham, and Sheffield) and serves a four-year term of office. The current Mayor was elected in May 2022 for a four-year term. However, due to the transfer of the South Yorkshire Police and Crime Commissioner functions to the South Yorkshire Mayor, the next Mayoral Election will take place on 2 May 2024.

Role of the Mayor

- 3.9 The Mayor exercises powers and functions that are devolved to the MCA by central Government.
- 3.10 The Mayor is the Chair of the MCA Board and leads the MCA in terms of proposing and agreeing the revenue and capital budgets of the MCA, including allocation of the consolidated transport budget, appropriate use of the Adult Education Budget and how Gainshare is utilised to support the MCA's policies. From May 2024, the Mayor will also control the policing and crime budget.
- 3.11 The Mayor promotes South Yorkshire as a place to live, work, visit and invest in.

Responsibilities of the Mayor

- 3.12 The decision-making powers and functions of the Mayor are:
- Development of a strategy and spending plan for the delivery of mayoral functions
 - Responsibility for a consolidated, devolved transport budget, with a multi-year settlement
 - Responsibility and the power to approve franchised bus services, to support the MCA's delivery of smart and integrated ticketing across South Yorkshire
 - Responsibility for an identified Key Route Network of local authority roads that will be collaboratively managed and maintained by the MCA on behalf of the Mayor
 - Powers over strategic planning, including the responsibility to create a spatial framework for South Yorkshire
 - Ability to create Mayoral Development Areas or Corporations in agreement with the relevant MCA member
 - From May 2024 the Mayor will assume responsibility for police and crime functions in South Yorkshire of the Police and Crime Commissioner including listening to the needs of communities, securing victim support services, setting the objectives for the police force and holding the Chief Constable to account
 - Ability to appoint a Deputy Mayor for Policing and Crime

The Mayoral Combined Authority (MCA)

3.13 The Mayoral Combined Authority was formally constituted in law in April 2014. It comprises the four constituent local authorities for South Yorkshire of Barnsley, Doncaster, Rotherham, and Sheffield, and five non-constituent local authorities from). With the election of the Mayor in May 2018, it became the Mayoral Combined Authority (MCA), and in 2022 the MCA changed its name to the South Yorkshire Mayoral Combined Authority (SYMCA).

Role of the MCA

3.14 The MCA is the legal and Accountable Body for funding devolved and awarded to the MCA. The MCA is also the Local Transport Authority for South Yorkshire. This role and its accompanying responsibilities are defined in the MCA Constitution.

Responsibilities of the MCA

3.15 The MCA's core remit is strategic economic development, housing, skills, transport infrastructure and strategic and operational transport functions.

3.16 The MCA is responsible for setting the policy direction in South Yorkshire and maximising financial investment to achieve economic growth. The MCA is also responsible for making large investment decisions and ensuring that the policy and strategic objectives of the SEP are delivered.

3.17 On this basis, typically the agenda for the MCA is focused on different elements of the SEP and takes decisions and oversees performance on items including:

- Programme updates – on initiatives being delivered
- Investment decisions
- Monitoring of financial and output performance
- Public transport operations and services
- Assurance, strategic risk management and governance
- Strategies and plans

3.18 The constituent members of the MCA are accountable for where and how public money is being spent.

3.19 Additional responsibilities and further powers may be devolved to the Mayor and the MCA, pending agreement by Government, the Mayor, MCA and the constituent authorities.

Membership of the MCA

3.20 Membership of the MCA is set out in Table 1 below. This specifies the type of membership; constituent, non-constituent, and non-voting.

Table 1: Membership of the MCA 2024/25

| Member | Post | Membership Type |
|---|--------------------------|-----------------|
| South Yorkshire | Mayor | Constituent |
| Barnsley Metropolitan Borough Council | Leader | Constituent |
| City of Doncaster Council | Mayor | Constituent |
| Rotherham Metropolitan Borough Council | Leader | Constituent |
| Sheffield City Council | Leader | Constituent |
| Bassetlaw District Council | Leader | Non-constituent |
| Bolsover District Council | Leader | Non-constituent |
| Chesterfield Borough Council | Leader | Non-constituent |
| Derbyshire Dales District Council | Leader | Non-constituent |
| North East Derbyshire District Council | Leader | Non-constituent |
| South Yorkshire Business Advisory Board (BAB) | Chair | Non-voting |
| City of Doncaster Council | Nominated Representative | Rotational |
| Rotherham Metropolitan Borough Council | Nominated Representative | Rotational |

- 3.21 The MCA Constitution stipulates that substitute members will be nominated and agreed by the full members annually.
- 3.22 Each year the MCA appoints two additional, rotational members from amongst the constituent councils. This is a requirement of the Order by which the Combined Authority was established to ensure that the majority of Members are from constituent councils. In 2024/25, the rotational members are from Doncaster and Rotherham. In 2025/26, they will be from Barnsley and Sheffield. By convention these Members do not attend or vote.
- 3.23 Organisations are invited to attend MCA meetings as an observer. These can include Government agencies (such as Homes England or Network Rail) and other partners and bodies which have close economic links with South Yorkshire, such as neighbouring Combined Authorities.
- 3.24 All MCA Board members are expected to conduct themselves in accordance with the Nolan Principles of Public Life. These principles are embedded in the MCA Members' Code of Conduct as detailed in the MCA Constitution.

MCA Board Meetings

- 3.25 The MCA Board meets in public on an eight-weekly cycle. The MCA Board also meets every two months to discuss and plan policy and strategy for the South Yorkshire region.
- 3.26 All constituent members of the MCA Board and the Mayor have one equally weighted vote. Non-constituent members have no automatic right to vote. The MCA Constitution allows for voting rights to be extended to non-constituent members at the discretion of the constituent members.

- 3.27 Decisions are made by a majority of the members present at MCA meetings and voting when using the powers held by the Authority when it was established in 2014. For the new powers devolved to the MCA through the devolution deal and the 2020 Order⁴, the Mayor must be part of the majority of members present and voting on the exercise of such functions. These functions are:
- Adult Education Budget
 - Skills powers/duties
 - Housing and regeneration functions
- 3.28 The Constitution sets the majority as the Mayor plus 75% of the Members from the constituent councils present at the meeting. By convention, if 100% of the Members from the constituent councils are in favour of a resolution, then the Mayor will also vote in favour (as that is the will of the MCA), unless the Mayor gives minuted reasons for not doing so.
- 3.29 The approval of the non-statutory Spatial Framework will require a unanimous decision from all constituent members. The establishment of any Mayoral Development Corporation will require the agreement of the Mayor and the MCA member that represents that place.
- 3.30 The Mayor's budget proposals are approved by the MCA in accordance with the Combined Authorities (Finance) Order 2017 and the Constitution.

Quoracy for MCA Board Meetings

- 3.31 At least three voting members of the MCA must be present for a meeting to be valid. If a decision is required to meet agreed timescales and a meeting of the MCA is either not possible or scheduled, written procedures for decision making apply, in line with the MCA Constitution and the relevant Overview and Scrutiny regulations.

Business Advisory Board (BAB)

- 3.32 The Business Advisory Board (BAB) is a voluntary business-led group which brings together business leaders to advise the Mayor and MCA. The BAB was established in 2023.

Role of the BAB

- 3.33 The BAB represents the voice of business in South Yorkshire and ensures that the views of the diverse business structure in the region are taken into account in the MCA's decision-making and policy development. The BAB champions the interests of small, medium and large businesses and provides insight and challenge to the Mayor and MCA, ensuring that local support meets the needs of the business community.

⁴ [The Barnsley, Doncaster, Rotherham and Sheffield Combined Authority \(Functions and Amendment\) Order 2020](#)
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Responsibilities of the BAB

3.34 The BAB is an advisory body to the MCA. The focus of the BAB is to:

- **Inform the MCA's Priorities and Decisions** – by developing and shaping thinking and strategy across a range of topics of importance to South Yorkshire's businesses
- **Share Intelligence** – to inform the MCA and region's approach to delivering schemes designed to help businesses grow, such as skills development, digital infrastructure and physical infrastructure
- **Providing a Forum for Debate** – to highlight issues affecting the business community that the Mayor and the MCA may need to address, including those that need an agile

Membership of the BAB

3.35 The BAB comprises of up to 12 private sector representatives, and the Chair of the Regional Skills Advisory Board. Members are either nominated representatives of the business membership bodies in South Yorkshire or they are appointed following an open recruitment process. Membership of the BAB is set out in Table 2 below:

Table 2: Membership of the South Yorkshire Business Advisory Board 2024/25

| Member | Post | Representing |
|------------------------|----------|---|
| Louisa Harrison-Walker | Co-chair | South Yorkshire Chambers of Commerce, (Barnsley & Rotherham, Doncaster and Sheffield) |
| Tariq Shah OBE | Co-chair | Vigo Group |
| Rachel Abbott | Member | Company of Cutlers |
| Dawn Huntrod | Member | MakeUK |
| Paula Goldthorpe | Member | Federation of Small Businesses (FSB) |
| Beckie Hart | Member | Confederation of British Industry (CBI) |
| Angela Foulkes | Member | South Yorkshire Skills Advisory Board (SYSAB) |
| Liz Blackshaw | Member | Northern Trade Union Congress |
| Sherry Kothari | Member | Plasma 4 |
| Roz Davies | Member | Green Estate |
| David Cross | Member | Sky-House |
| Richard Gould | Member | Metlase |
| Ken Perritt | Member | GXO Logistics |

BAB Meetings

3.36 The BAB meets on an eight-weekly cycle and the meetings are held in private.

3.37 The Mayor, MCA Board and portfolio leads may consult the BAB or its members outside of the formal meeting cycle when formulating policy or making decisions. The BAB may also be commissioned to carry out work for the MCA.

Quoracy for BAB Meetings

3.38 As the BAB is a non-decision-making Board there is no minimum attendance required.

BAB Chair

3.39 The Chair of the BAB must have a private sector background.

3.40 The Chair of the BAB is appointed annually at the MCA Annual General Meeting (AGM), following agreement between the BAB members and the MCA.

3.41 The Chair of the BAB is invited to attend every MCA Board meeting in a non-voting capacity.

Mayor's Economic Advisory Council (MEAC)

3.42 The Mayor's Economic Advisory Council (MEAC) is a voluntary group which brings together academics, industry and business leaders and technical experts to advise the Mayor and MCA. The MEAC was established in 2023.

Role of the MEAC

3.43 The MEAC provides expert insight and advice on the global, UK and regional economies and how the MCA can best support economic growth in South Yorkshire. The MEAC is outward-facing and liaises with academics, industry and trade networks, stakeholder organisations, investment institutions and Governments within and outside the UK to raise the profile of South Yorkshire and ensure that the MCA's policy and decision-making is informed by knowledge on economic threats and opportunities.

Responsibilities of the MEAC

3.44 The MEAC is an advisory body to the MCA. The MEAC advises the Mayor and MCA on:

- Growing productivity and prosperity in South Yorkshire and addressing inequality of opportunity
- Driving economic growth and ensuring the range of access to suitable investment
- Maximising trade, export and inward investment opportunities
- Upskilling the South Yorkshire workforce to include opportunity for higher productivity sectors and occupations
- Delivering long lasting, inclusive and regenerative economic growth for residents and investors
- Maximising the impact of strategic investments
- Raising the economic profile of South Yorkshire to that of a top performing region

Membership of the MEAC

3.45 The MEAC comprises of up to 12 regional, national and international experts from a range of sectoral backgrounds including business, academia, investment and finance, property and capital infrastructure and industry leaders. Members are appointed by the Mayor. Membership of the MEAC is detailed in Table 3 below:

Table 3: Membership of the Mayor's Economic Advisory Council 2024/25

| Member | Role | Organisation |
|-------------------------|-------------------------------|--|
| Sir Martin Donnelly | Managing Director | Boeing UK |
| Dame Kate Barker | Economist | Various Non-executive Director roles |
| Miatta Fahnbulleh | Managing Director | New Economics Foundation |
| Benjamin Wegg-Prosser | Chief Executive | Global Counsel |
| Bruce Katz | Member | The New Localism |
| Margaret Stevens | Former Professor of Economics | University of Oxford |
| Richard Stubbs | Chief Executive | Yorkshire and Humber Academic Health Science Network |
| Dr Anna Valero | Director of Growth Programme | London School of Economics and Political Science |
| Professor Koen Lamberts | Vice-Chancellor | University of Sheffield |
| Professor Liz Mossop | Vice-Chancellor | Sheffield Hallam University |
| Andy Haldane CBE | Managing Director | Royal Society of Arts |

MEAC Meetings

- 3.46 The MEAC meets on a frequency as determined by the Mayor and the meetings are held in private.
- 3.47 The Mayor and MCA may commission the MEAC to carry out specific work for the MCA.

Quoracy for MEAC Meetings

- 3.48 As the MEAC is a non-decision-making Board there is no minimum attendance required.

MEAC Chair

- 3.49 The Chair of the MEAC is the Mayor, however the Mayor may delegate the role of Chair to one of the members.
- 3.50 The Chair of the MEAC (if not the Mayor) is invited to attend every MCA Board meeting in a non-voting capacity.

Cabinets

3.51 To support decision-making and delivery, the MCA is supported by eight Cabinets, which are portfolio-based.

Role of the Cabinets

3.52 The purpose of the Cabinets is to drive forward the agenda on a thematic area and to provide advice and steer to the MCA Board.

3.53 The eight Cabinets are accountable to the MCA and each one has a defined portfolio, although they do not have delegated authority to make spending decisions.

3.54 Each Cabinet is led by a member of the MCA Board and they are supported by a Chief Executive from a different authority, and a Director from the MCA Executive Team who ensure that Cabinet leads are informed of research and investment propositions, including funding applications for schemes within each portfolio.

Responsibilities of the Cabinets

3.55 The responsibilities of the eight Cabinets are to:

- Set the direction of travel on regional policy for their portfolio
- Facilitate in-depth discussions on their thematic area, ensuring that MCA Board members have an overview of all work within the portfolio
- Address emerging opportunities and risks and test approaches for their portfolio
- Present or champion investment propositions within their portfolio.

Cabinet Leads and Support

3.56 The lead MCA Board member, supporting Chief Executive and MCA Executive Team Director of the eight Cabinets are set out in Table 4 below:

Table 4: Cabinet Leads and Support 2024/25

| Portfolio | MCA Board Member | Supporting Chief Executive | Supporting MCA Executive Team Director |
|---|---|----------------------------|--|
| Creative, Culture & Digital | Leader - Sheffield City Council (SCC) | Sarah Norman, BMBC | Jenny Holmes |
| Economic Growth | Mayor – South Yorkshire | Martin Swales, SYMCA | Tom Bousfield |
| Education, Training & Skills | Leader - Barnsley Metropolitan Borough Council (BMBC) | Kate Josephs, SCC | Tom Bousfield |

| | | | |
|--|--|----------------------|---------------------------|
| Health Inequalities | Mayor - South Yorkshire | Martin Swales, SYMCA | Steven Pleasant |
| Infrastructure & Housing | Mayor - City of Doncaster Council (CDC) | Sharon Kemp, RMBC | Gareth Sutton |
| Net Zero & Environment | Mayor - South Yorkshire | Damian Allen, CDC | Clare Monaghan |
| Policy, Engagement & Impact | Leader - Rotherham Metropolitan Borough Council (RMBC) | Martin Swales, SYMCA | Clare Monaghan |
| Travel & Transport | Mayor - South Yorkshire | Martin Swales, SYMCA | Pat Beijer / Jenny Holmes |

Audit, Standards and Risk Committee

- 3.57 The Audit, Standards and Risk Committee ensures that the MCA and Mayor are operating in a legal, open, and transparent way.
- 3.58 In accordance with the Chartered Institute of Public Finance and Accountancy (CIPFA) guidance, the Committee provides a high-level focus on assurance and governance arrangements.
- 3.59 The Audit, Standards and Risk Committee monitors the operation of the organisation and public transport operations. Their role is to ensure that the MCA is fulfilling its legal obligations, complies with statutory requirements, is managing risk effectively and has robust control measures in place for all devolved powers and funding. The Committee scrutinises, reviews, and endorses the Treasury Management Strategy, Financial Regulations, and statutory accounts, before they are finalised and presented to the MCA Board for approval, as well as identifying any risks.
- 3.60 Membership of the Audit, Standards and Risk Committee is politically balanced and consists of 4 elected Councillors (or their nominated substitute) from the four South Yorkshire local authorities and two independent members.
- 3.61 The Audit, Standards and Risk Committee meets at least quarterly and reports into the MCA on both financial and non-financial performance. The Chair of the Audit, Standards and Risk Committee is invited to present the work that the committee is undertaking to the MCA Board at least once per year. The Chair also meets with the Mayor on a six-monthly basis and meets the Management Board of the MCA Executive Team on a regular basis.

Overview and Scrutiny Committee

- 3.62 The Overview and Scrutiny Committee holds the MCA, Mayor to account for all decisions taken, including devolved powers and funding. The Overview and Scrutiny Committee has the authority to review and scrutinise any decision made, or action taken by the MCA, Mayor, or MCA Executive Team.

The Committee can, at their discretion, produce reports and make recommendations for change or improvements.

- 3.63 The Overview and Scrutiny Committee is responsible for checking that the MCA is delivering its objectives, and that policies, strategies and plans are made in the best interests of residents and workers in South Yorkshire. They provide independent scrutiny of initiatives and activities and public consultation on draft strategies.
- 3.64 Membership of the Overview and Scrutiny Committee is politically balanced and consists of 10 elected Councillors from the four South Yorkshire local authorities (or their nominated substitute); typically, the Chair of each local authority's overarching Scrutiny Committee.
- 3.65 The Overview and Scrutiny Committee meets on a quarterly basis. The MCA is required to consider the conclusions of any review by the Overview and Scrutiny Committee at the next available meeting.

Statutory Officers

- 3.66 The MCA appoints three Statutory Officers to discharge duties and obligations on their behalf. The Statutory Officers ensure that the MCA is acting in accordance with its legal duties and responsibilities, operating within the financial regulations and receiving appropriate advice on policy and governance.
- 3.67 The Statutory Officer roles are defined in the MCA Constitution and comprise:
- **Head of Paid Service** – The Chief Executive of the MCA fulfils the role of the Head of Paid Service. The Head of Paid Service discharges the functions in relation to the MCA as set out in section 4 of the Local Government and Housing Act 1989.
 - **Section 73 Officer** – The Group Finance Director fulfils the role of Section 73 Officer in accordance with the Local Government Act 1985. The Section 73 Officer administers the financial affairs of the MCA. The Section 73 Officer is equivalent to a Section 151 Officer.
 - **Monitoring Officer** – The Monitoring Officer discharges the functions in relation to the MCA as set out in section 5 of the Local Government and Housing Act 1989.

Remuneration Panel

- 3.68 An independent Remuneration Panel convenes to identify the salary and allowances that should be paid to the Mayor and Deputy Mayor for their term of office. The MCA does not currently have a Deputy Mayor.
- 3.69 The Remuneration Panel reports their recommendations in a report to the MCA Board who decide the salary and allowances that will be paid.

Local Authority Chief Executives Group

3.70 The Chief Executives Group consists of the four Chief Executives of the local authorities in South Yorkshire. They meet monthly with the MCA Chief Executive and MCA Directors, and support the Mayor and MCA in decision-making in three ways:

- Each local authority Chief Executive has a thematic lead and represents the Chief Executives Group on a Cabinet
- Each local authority Chief Executive chairs an Operational Group of key stakeholders and thematic experts which advise the Cabinet on decisions and support the management and monitoring of MCA funded programmes and projects
- The Chief Executives Group discusses current and future activity of the MCA and act as a key liaison point between the MCA, local authority directorates and support their local authority Leader on MCA business

The MCA Executive Team

3.71 The MCA Board, Mayor, Committees, advisory groups and Cabinets and are supported by the MCA Executive Team. The MCA Executive Team is a dedicated resource that provides impartial advice and works in collaboration with partners and stakeholders.

3.72 The role of the MCA Executive Team is to advise and support the MCA and Mayor, and to execute the decisions made.

3.73 The MCA Executive Team are employed by the MCA and support the following activities:

- **Engaging with Partners, Stakeholders, Businesses and Voluntary and Community Groups** – to discuss issues, share information, collaborate on the development of new strategies, programmes and projects.
- **Develop and Consult on Proposed Policy and Strategy** - supporting the MCA and Mayor to draft key policies and strategy documents for public consultation to inform decision-making on investment. This includes authoring the Strategic Economic Plan (SEP) and the Transport Strategy.
- **Initiate and Recommend Project Ideas** – support project applicants in identifying and bringing forward viable project ideas that will deliver the MCA's strategic objectives.
- **Develop and Commission Solutions** – ensure projects in the funding pipeline are fully developed and that delivery options are fully explored.
- **Programme and Project Design and Development** – design and develop investment programmes and projects to deliver the agreed policy objectives of the Mayor and MCA, in line with the agreed Investment Plan, including the preparation and submission of funding bids to central Government or in response to specific calls and opportunities that may arise.
- **Manage Resources and Investment** – manage the operation of the MCA and administer and manage the allocation and spend of the funding streams devolved and awarded by Government.

- **Advise and Support Funding Applicants** – on how to develop an idea for a project or a programme into a robust and comprehensive Business Case by working collegiately with the applicant to develop the project, and advise on the assurance process.
- **Manage the Investment Appraisal Process** – ensure that funding applications follow the correct process, and are independently assessed by technical experts and subject specialists on value for money, risk, viability and deliverability.
- **Advise the MCA and Mayor**– on investment decisions by providing an opinion on the strategic fit, value for money, risk, and deliverability of funding applications.
- **Programme and Project Monitoring** – monitor and report on the delivery, performance and achievements of programmes and projects to the MCA and DLUHC, DfT and DfE in line with Government requirements.
- **Manage the Evaluation Process** - manage the external evaluation of all MCA programmes and projects, and ensure that evaluation reports and regular updates are provided to the MCA, individual Government departments and nationally appointed evaluators.
- **Administration and secretariat function for the Boards** – ensuring MCA Board, Advisory Boards and Committee meetings are planned and arranged in a timely fashion and communicated, and compiling papers and reports for the Mayor and Board members.
- **Enquiries** – dealing with the media and handling general enquiries from the public, including Freedom of Information requests.
- **Publishing Information** – ensuring that minutes, agendas, and papers of the meetings of the MCA Board, Audit, Standards and Risk Committee and Overview and Scrutiny Committee are published promptly on the MCA website and publishing information on MCA policies and procedures.
- **Promoting South Yorkshire** – to potential investors and the public as a place to invest, work and live.

3.74 The functions of the MCA Executive Team are organised to maintain ‘ethical walls’ and ensure that there are no opportunities for conflicts of interest between project and programme commissioning and project appraisal.

The MCA Programme Board

3.75 The MCA has an internal Programme Board which meets every two weeks. The Programme Board consists of the Statutory Officers and Directors from the MCA Executive Team, along with team leads for relevant corporate delivery functions: finance, legal and procurement, assurance, programme management and monitoring and reporting.

3.76 The role of the Programme Board is to oversee programme and project development and progression through funding approval gateways.

3.77 The Programme Board provides officer level authorisation for projects developed and commissioned by the MCA, to check and challenge and ensure that proposed investments are evidence based and maximise return on investment for the taxpayer.

3.78 The Programme Board acts as the appraisal panel for the MCA by reviewing technical appraisals of funding applications and Business Cases and the assurance opinion, and making a recommendation to the MCA Board on the rejection, deferral or approval of schemes. The Programme Board also advises the MCA Board on any action needed to mitigate risk or conditions that are required to be met in order for a business case to progress to funding approval and contract.

Design Review Panel (DRP)

3.79 Active Travel England (ATE) is a Government executive agency, sponsored by the Department for Transport (DfT). It is responsible for making walking, wheeling and cycling the preferred choice of travel and it delivers technical advice, review and inspection functions.

3.80 ATE was designated a statutory consultee on 1 June 2023. This means that ATE have to be consulted on all planning applications for developments equal to or exceeding 150 housing units, 7,500m² of floorspace or 5 hectares of space, and the design of walking, cycling and wheeling infrastructure.

3.81 SYMCA is required to establish a Design Review Panel (DRP) that will be consulted on the design of schemes at an early stage that have an element of walking, cycling or wheeling. The DRP will be set-up from 1 April 2024 and will include representatives from ATE who will provide advice and steer to funding applicants or scheme promoters on scheme design.

4. Accountability for Public Funds

- 4.1 Several measures are in place to ensure that the Mayor and MCA are managing and administering public funds in a responsible, efficient, transparent, and accountable manner.

The Accountable Body

- 4.2 The MCA is the legal and Accountable Body for powers and funding devolved by Government and is responsible for all decisions and expenditure.
- 4.3 The MCA holds all funding, enters contractual arrangements and processes payments. The MCA also provides programme management to account for the funding and ensures that the impact of investment is assessed.
- 4.4 The MCA is accountable for:
- Ensuring that its decisions and activities conform with legal requirements regarding equalities, environmental and UK and European legislation (such as Subsidy Control), and that records are maintained so that this is evidenced
 - Retaining overall responsibility for the appropriate use of public funds by the MCA
 - Ensuring that the approved Assurance Framework is being adhered to
 - Ensuring that all contracts entered discharge their duties
 - Maintaining and publishing annual accounts (including devolved and other funding sources received from Government), in accordance with the relevant regulations, each year in draft form by 31 May and finalised in July.
- 4.5 In accordance with section 101 of the Local Government Act 1972, and The Openness of Local Government Bodies Regulations 2014, the MCA delegates certain decisions to the Statutory Officers. The Scheme of Delegation in Part 4. E of the Constitution specifies the delegations for funding and decision-making that are available to the Head of Paid Service (the Chief Executive of the MCA), the Section 73 Officer (Group Finance Director), and the Monitoring Officer.
- 4.6 In 2023 the MCA established an arms-length company, South Yorkshire Future Trams Limited (SYFTL), to operate South Yorkshire's Supertram network. SYFTL is a company limited by shares with the MCA as the sole shareholder. SYFTL is responsible for operating a safe light railway and running light rail services to the public in accordance with an operating agreement with SYMCA. A Scheme of Internal Control requires SYFTL to agree a Business Plan and budget every financial year and to produce its own annual accounts and financial statements by 31st May each year in line with the Financial Reporting Council Revised Guidance on the UK Corporate Governance Code (2018),

Section 73 Officer

- 4.7 The Section 73 Officer is fully engaged in the operation of the organisation, ensuring that devolved funds are managed responsibly and allocated through a robust application process.
- 4.8 The Section 73 Officer is accountable for:
- Ensuring that devolved funds, including the AEB, are used legally, appropriately and are subject to the usual local authority checks and balances, including discharging financial duties under the Financial Regulations
 - Ensuring that the MCA acts in a manner that is lawful, transparent, evidence based, consistent and proportionate, including the publication of annual audited accounts
 - Signing-off Value for Money Statements for all funding applications during the appraisal process as true and accurate
 - Certifying that funding can be released under the appropriate conditions (in line with statutory duties)
 - Accepting grants for funding on behalf of the MCA, where the MCA has approved the submission of a funding bid to Government
 - Accepting tenders or quotations for the supply of goods, materials or services provided that the spend is within the MCA approved budget or capital programme
 - Signing-off quarterly reports to individual Government departments on programme performance and expenditure
 - Ensuring that the established professional codes of practice are applied
 - Ensuring that strong governance arrangements policies are in place to ensure that the MCA is operating robustly and transparently (by providing an Annual Assurance Statement).

Internal and External Audit

- 4.9 The MCA has an established process for internal and external audit. Internal audit for the MCA is a contracted service provided by RSM for the financial year starting 1 April 2024. KPMG is the MCA's appointed external auditor for the financial year starting 1 April 2024. The audit arrangements cover the MCA's devolved and awarded funding and activities and transport operations, including SYFTL.
- 4.10 Separate audit arrangements are in place for the police and crime, as these are provided under an existing contractual arrangement made by the Office of the Police and Crime Commissioner for South Yorkshire. Grant Thornton is the appointed auditor for the financial year starting 1 April 2024.
- 4.11 In conjunction with the internal audit team, the MCA Head of Paid Service, Section 73 Officer and Monitoring Officer prepare an annual Internal Audit Plan at the start of each financial year, which is reviewed towards the end of the financial year. The Internal Audit Plan includes all aspects of the appraisal, assurance, monitoring and evaluation processes and transport operations. This provides independent and objective assurance to the MCA. The Plan is approved by the MCA and progress against the plan is discussed by the Audit, Risk and Standards Committee at each meeting.

Audit, Standards and Risk

- 4.12 The Audit, Standards and Risk Committee reviews in detail the opinions of the internal and external auditors on behalf of the MCA. The Committee holds the Statutory Officers to account for any improvements identified and required and contributes to the audit opinion at the end of each financial year.
- 4.13 The Audit, Standards and Risk Committee has an annual Work Programme that they deliver against, which includes undertaking a detailed review of the strategic risk management and financial management processes that are in place, assessing the level of risk, reviewing elements of the MCA funded programmes in detail, and contributing to the setting and approval of the Internal Audit Plan.

Overview and Scrutiny

- 4.14 The independent Overview and Scrutiny Committee holds the MCA and Mayor to account on behalf of the public. They have the authority to review and scrutinise any decisions made including the investment of devolved funds, or actions taken. The Committee can at their discretion, make recommendations for change or improvement.
- 4.15 The Overview and Scrutiny Committee has an annual Work Programme of topics that they will scrutinise. Committee members are encouraged to propose additional topics for scrutiny.

Investment Appraisal

- 4.16 The Programme Board oversees the technical review of all business cases. The Programme Board consists of the MCA's Section 73 Officer and Monitoring Officer, Directors and relevant officers from the MCA Executive Team.
- 4.17 The Programme Board makes recommendations to the MCA Board on the value for money and level of risk of a project and whether to endorse, approve, defer, or reject funding applications. The Programme Board also advises on any conditions that are required to be met in order for a business case to progress to funding approval and contract. The Programme Board also advises on the merits of potentially competing funding applications by considering the net impact of the overall investment programme.
- 4.18 The Statutory Officers ensure that the Accountable Body duties are discharged through their representation on the Programme Board. This embeds the roles and functions of the Statutory Officers in the project appraisal process. All projects seeking funding are reviewed by the Programme Board and are subject to independent technical scrutiny.
- 4.19 The Programme Board meets every two weeks, or more frequently, if necessary, to ensure the pipeline of project proposals continues at the required pace. It oversees both the development and delivery of all MCA investment programmes and ensures that funding applications are progressed as efficiently as possible. The Programme Board also provides technical support and advice to the MCA Board, such as the identification and mitigation of risk and considerations of funding. This includes advice on Subsidy Control, the setting of an appropriate interest rate on loans to funding applicants or equity potential for proposed investments.

- 4.20 The Programme Board has delegated authority from the MCA Board to approve early stage applications of funding. The Programme Board is only granted additional delegated authority from the MCA Board on a case-by-case basis. This includes the acceptance of grants and funding from Government on the MCA's behalf or to approve final stage funding applications.
- 4.21 The appraisal process is detailed in Section 5.

Ensuring Value for Money

- 4.22 All projects and programmes that apply for funding are appraised and assessed for Value for Money (VfM) using the HM Treasury Green Book and appraisal guidance published by individual Government departments such as the Department for Education, Department for Transport and the Department for Levelling Up, Housing and Communities.
- 4.23 The VfM assessment considers the potential costs, benefits, risks, uncertainties and impacts of the project. A Benefit Cost Ratio (BCR) is calculated for the project wherever possible, but this is just one of the basket of metrics considered in the VfM assessment. All the wider monetised and non-monetised impacts and benefits of a project are quantified wherever possible and non-quantifiable benefits are also assessed qualitatively. Non-monetised costs and disbenefits are also qualitatively assessed.
- 4.24 The VfM Statement is published on the MCA website, along with the business case. The initial, adjusted, and final BCR for transport projects is calculated in accordance with the DfT's Value for Money Advice Note for Local Transport Decision Makers. The VfM statements and the technical assessment, conducted are proportionate to the level of risk, complexity and funding sought.
- 4.25 The Section 73 Officer is responsible for signing-off VfM Statements, and this must be done before a project can progress a funding agreement can be signed.
- 4.26 The VfM Statement for each project, is presented to the MCA Board. The Statement includes the Programme Board's justification and recommendation on whether the project should be approved, deferred, or rejected and any conditions that should be put in place if funding is approved.
- 4.27 The ambition is always to support projects that demonstrate High VfM. However, projects that are appraised as offering lower VfM, may still be funded if there is a strong strategic case and the project will deliver the strategic and economic objectives in the SEP (for economic growth, inclusion, and sustainability), or where the project is essential to unlock or enable other development to take place. However, the MCA can decide to remove a project from the programme if the appraisal identifies Poor or Low VfM.

Managing Risk

- 4.28 The approach to risk management is comprehensive and in accordance with HM Treasury's Orange Book principles and other project management guidance. The Chief Executive of the MCA is the named officer for managing risk.
- 4.29 Robust control measures and a Risk Management Framework are in place to provide accountability and support due diligence. The Risk Management Framework guides the identification, assessment, and management of risks for all activities.

- 4.30 Risk management controls and mitigation action plans are agreed and added to the Risk Registers. A plan is then constructed to reduce the likelihood of the risk occurring and/or decrease the impact of a risk, should it occur.
- 4.31 Funding applicants are required to include risk and contingency plans as part of their application for funding. Once a project has received funding approval, the MCA Executive Team works with project applicants to monitor delivery of the contract and risks. Quarterly Monitoring reports are compiled for the MCA Board to identify any issues with delivery, perceived or actual risks to the project, any corrective action, and any change requests (for example, a reduction in grant or an extension to the timescale for delivering key milestones).

Reviews by Government

- 4.32 The MCA holds a review meeting with Government each year to discuss delivery of the Devolution Deal and Devolution Investment Funds (known as Gainshare). The meeting is an opportunity to identify achievements and successes and any areas for improvement.
- 4.33 Mayoral Combined Authorities are subject to the Government's national Gateway Review process to evaluate how Devolution Investment Funds (Gainshare) are being invested and the impact the funds are having in relation to economic growth. The Gateway Review is a process undertaken every five years following the release of the devolved funds. The first Gateway Review for the South Yorkshire MCA is scheduled to covers the period April 2020 to March 2025. The MCA is required to produce and submit a series of interim written reports for a Mid-term Review and several written reports for a Final Review. The reports are assessed by nationally appointed evaluators and reviewed by an independent panel of academic and economic experts. The Final Review is presented to DLUHC and the outcome of the first Gateway Review will be known in January 2025.
- 4.34 In addition, the MCA is required to submit annual reports to individual Government departments on specific devolved funding programmes including AEB, CRSTS, UK Shared Prosperity Fund and Multiply, to publicly state how the funding is being invested in South Yorkshire and to report on the achieved outputs and outcomes to date.

5. Robust and Transparent Decision-Making

- 5.1 In accordance with the Transparency Code and Government guidance on best practice, the Mayor and MCA Board act in the interests of South Yorkshire when making investment decisions. All decisions are made via an approved process, free from bias or perception of bias.
- 5.2 To ensure decision-making is robust and transparent, all meetings of the MCA Board, Audit, Standards and Risk Committee and Overview and Scrutiny Committee are held in public. The MCA also publishes a monthly Forward Plan of Key Decisions to alert the public to decisions that will be taken, in advance of the decision being made. The decision-making process is detailed below.

Budget Setting and Allocation

- 5.3 The annual Mayoral Budget is developed by the Mayor, alongside the MCA revenue and capital budget. The budgets are presented to the MCA Board in draft form in November and again for final approval each January. The budgets must be agreed in accordance with the Combined Authorities (Finance) Order 2017 and the Constitution.
- 5.4 The grant funding allocation for policing is known as the Police Funding Settlement. It is published by the Home Office each year in accordance with the Police Act 1996. The grant received by the MCA must be spent on policing.
- 5.5 All approved capital and revenue budgets are published on the MCA website. Budgets are monitored on a quarterly basis with reports submitted to the Boards. Quarterly financial monitoring reports on individual programmes and projects are also submitted.
- 5.6 The South Yorkshire Renewal Fund (SYRF) brings all MCA funds under a single umbrella. Deployment is governed by the principles agreed by the MCA Board in March 2022. A Place Based Investment Plan has been developed by each local authority and approved by the MCA Board. The Place Plans identify a set of priority schemes and projects within each district to transform cities, towns and communities across South Yorkshire. The Place Plans have been based on the strategic objectives outlined in the SEP and local economic strategies and plans.
- 5.7 Investment decisions on the allocation and use of the Adult Education Budget (AEB) in South Yorkshire are made with full consideration to the statutory entitlements. Approximately half of the AEB is allocated to the delivery of the following statutory entitlements:
- English and Maths, up to and including Level 2, for individuals aged 19 and over, who have not previously attained a GCSE grade A* to C or grade 4, or higher, and/or;
 - First full qualification at Level 2 for individuals aged 19 to 23, and/or;
 - First full qualification at Level 3 for individuals aged 19-23.
- 5.8 The remainder of the AEB is allocated to non-statutory training and is procured through an open, commissioning process.

5.9 The MCA Board is the decision-making body for AEB funding awards.

Commissioning and Open Calls

- 5.10 In accordance with the agreed policy, programme and project applications for funding usually originate from three sources:
- **The Place Plans** – the Place Plans each identify named potential projects which are regarded as strategically important to the local authority area and which satisfy the policy objectives of the SEP and other local plans. Projects within the Place Plans are typically funded through the Gainshare allocation, however, other complimentary funding sources may also be used.
 - **MCA Executive Team** – the MCA Executive Team, in discussion with partners and stakeholders, may identify a need for a programme or project that either meets the policy objectives and strategic outcomes of the SEP or other strategies which will respond to an economic shock. These details may be held within an agreed Commissioning Framework or Delivery Plan.
 - **Via a targeted Open Call for Project Applications** – open calls inviting applicants to bid for funding or propose a project are published on the MCA website. Calls have a specific focus, such as delivering an investment priority or targets in the SEP. Project applicants will then submit a response or bid, and if accepted, will be invited to submit a business case.
- 5.11 The MCA has a dual approach to the annual commissioning for AEB delivery, including funding for South Yorkshire based providers who had received grants prior to devolution, and targeted procured provision. All AEB training providers are required to submit a Delivery Plan for approval as part of the commissioning process.
- 5.12 The procurement process for AEB delivery follows established rules and best practice for procurement including the latest HM Treasury Green Book and AEB funding and appraisal guidance and will seek best value for money.

Programme Management Office (PMO)

- 5.13 The Programme Management Office (PMO) in the MCA Executive Team provides support to local authority partners and other funding applicants on how to develop an idea for a project or programme into a viable, deliverable and fundable proposition.
- 5.14 Each project or programme is assigned a named contact in the PMO team who will work with the applicant throughout the assurance process, helping funding applicants to develop their projects and business case documents. The team act as a 'critical friend' by providing advice and feedback on every step of the assurance process from initial project idea, through to business case development and approval.
- 5.15 The PMO can also advise applicants on how to access Project Feasibility Fund and CRSTS revenue – pots of revenue funding which can fund feasibility studies or preliminary works or scheme development, such as scoping or testing. These funding sources can be recycled.

Additional Support Available for Funding Applicants

- 5.16 Funding applicants can procure the services of technical experts to help them develop a project, undertake feasibility work or develop a business case for the project, through Lot 1 of the MCA's Appraisal, Investment and Evaluation (AIE) Framework. The Framework is managed by the MCA's Assurance and Evaluation Team and ten contractors have been appointed who are able to provide support to funding applicants with project or business case development.
- 5.17 Work is commissioned through the AIE Framework through a mini-competition, where contractors provide a written quote for the work based on a Service Specification. Funding applicants are able to assess the submitted bids and select the contractor they wish to appoint.
- 5.18 The cost of the support provided through the AIE Framework is an eligible project cost and can therefore be included as a professional fee in the funding application.

The Appraisal Process

- 5.19 All schemes seeking investment undergo a proportionate process to assess the merits of the application, its strategic fit and value for money.
- 5.20 Each project and application for funding is assessed on its own merit, including where there are potentially competing applications for funding.
- 5.21 For transport schemes, central case assessments must be based on forecasts which are consistent with the definitive version of NTEM (DfT's planning dataset). This requirement does not prevent the MCA from considering alternative planning assumptions. Sensitivity test results of alternatives assist in reaching a decision on whether to approve a scheme.
- 5.22 The MCA's Assurance and Evaluation Team assesses the broad anticipated equality and environmental impacts of programmes and projects at various stages of the appraisal process, alongside social value, value for money and Benefit Cost Ratio. This ensures that the MCA considers economic, social, and environmental impacts of its investment from the outset.
- 5.23 At the earlier stages of project development, funding applicants are required to hold a workshop with key staff, senior officers, and stakeholders where necessary, to discuss the options and possible delivery models for the project or scheme. This assists the applicant in identifying the long-list and short-list of viable options for delivering the scheme in line with guidance from the HM Treasury Green Book. Funding applicants are also advised to consult with their local authority and/or local councillors at the earliest opportunity to engage them in the aims and objectives of the project or programme.
- 5.24 The steps involved in the funding appraisal process are detailed and illustrated in the following sections. Typically, applicants and scheme promoters can expect to receive a decision from the MCA on each step 8 weeks from the point of submission. This timescale takes into account the following:
- Checks by the Programme Management Office on the documentation submitted to ensure the submission is ready for appraisal
 - The Assurance and Evaluation Team issuing clarification questions on the business case,

- Independent and technical appraisal of the business case
- Presentation of the business case and assurance opinion to the Programme Board
- Decision on the business case by the relevant Board (Programme Board or MCA Board)

5.25 The MCA can agree a tailored or bespoke process if circumstances demand it, such as for complex schemes where works need to be phased, or where timescales have been imposed on a local authority such as to comply with any legal or statutory processes. In cases where there is a tailored appraisal process, the MCA will agree a revised process and MCA Statutory Officers will confirm this based on an assessment of risk, complexity, value for money, uniqueness and funding availability. This will always be in compliance with HM Government advice and best practice.

5.26 The MCA Executive Team ensures there is always a clear distinction and adequate separation between the applicants or scheme promoters and the appraisers and eventual decision makers.

Step 1: Programme Entry

5.27 In order for a project to be entered onto the MCA's programme pipeline, it either has to be a named project in a Place Plan, a named project in a bid submitted to Government or a Mandate Form needs to be completed and submitted to the MCA's Programme Board for consideration. This is illustrated in Figure 5 below:

Figure 5: Step 1 – Routes to Programme Pipeline Entry



5.28 As the Place Plans and bids to Government are approved by the MCA Board in advance, named projects are automatically entered onto the MCA programme pipeline, and they can advance to the next step in the appraisal process. Bids to Government which involve an active travel element are presented to the Design Review Panel (DRP) for their advice and steer prior to submission to Government.

5.29 The Mandate Form is a short form which captures the rationale for the programme or project, its alignment and contribution to the MCA's policy objectives and the SEP, and an indication of the types of outputs it could deliver and the estimated cost.

5.30 The Mandate Form, which includes a Statement of Strategic Fit is reviewed by the Programme Board and, if it aligns with the MCA's policy objectives and investment priorities, the project is accepted onto the programme pipeline and the MCA Board is notified.

Step 2: Project Development and Business Case Completion and Submission

5.31 Once in the pipeline, funding applicants and scheme promoters are required to complete either a Strategic Business Case (SBC) for an individual project or a Programme Business Case (PBC) for a group of projects. This is illustrated in Figure 6 below:

Figure 6: Step 2 – Route to stage approval for Strategic and Programme Business Cases



Strategic Business Case (SBC) and Programme Business Case (PBC)

5.32 The purpose of the SBC and PBC is to establish the case for change and it should provide a first detailed (albeit high level) view of what will be delivered, how and when. It is important that an SBC or PBC can demonstrate its alignment with the SEP and other strategies. The SBC and PBC requests the following information from the applicant:

- Project(s) objectives and the rationale for investment
- Project(s) outputs and outcomes against the SEP
- High level timescales
- High level cost estimate of project(s) – a range will suffice at this stage
- Initial estimate of MCA funding required
- Project or programme sponsor
- Identifying risks, initial options analysis, and the preferred way forward

5.33 Projects which involve an active travel element need to be presented to the Design Review Panel (DRP) for their advice and steer prior to completion of the SBC. This is to ensure that Active Travel England are engaged in the scheme design as a statutory consultee.

5.34 The SBC and PBC is also used to identify if any development funding is required to help develop the project(s) or Outline Business Case(s). The applicant is required to provide a breakdown of the costs that development funding will support.

5.35 Eligible costs for development funding include:

- Feasibility studies
- Preliminary assessment work to investigate a site for a capital scheme
- Technical support and advice to develop a project idea, scope the project, consultative workshops or write all or part of the business case
- Support for statutory or procurement processes
- Environmental Impact Assessment
- Equalities Impact Assessment

Appraisal of the Strategic Business Case (SBC) or Programme Business Case (PBC)

- 5.36 The SBC or PBC is assessed in line with the five-dimension model in the HM Treasury Green Book and appraisal guidance published by individual Government departments, and is therefore appraised against the following criteria:
- **Strategic Dimension** – contribution to strategic objectives and national policy objectives
 - **Economic Dimension** – impact on local and national growth, likely BCR category, the social, distributional, and environmental impacts, and an assessment of the value the project adds
 - **Financial Dimension** – cost estimate and sources of funding e.g. identified scheme promoter, private sector, and other contributions
 - **Commercial Dimension** – proven marketplace for the project, certainty in outcomes, procurement processes and commercial viability, consideration of social value
 - **Management Dimension** – demonstration that the project is capable of being delivered successfully, including Delivery Plans, statutory processes, programme, risk management (with appropriate mitigation plans), State Aid and benefit realisation
- 5.37 The biggest emphasis at this stage is on the Strategic Dimension and to an extent the Economic Dimension. It is at this stage that a decision is made regarding the strategic fit of the proposed intervention's objectives, outcomes, impact and benefits relative to the SEP. This needs to be proven and agreed at this stage. An early assessment of the potential value for money offered by the preferred way forward, relative to the current situation and the do minimum option, is also made at this stage.
- 5.38 To assess complex, transport or land related schemes, a series of approved and bespoke testing tools and models may be used (such as FLUTE 18, SCRTM1) to better understand the potential outcomes and value for money of an application. A proportionate TAG assessment may be undertaken, relative to the size of the project, to consider aspects such as the quality of the built environment.
- 5.39 Local authority partners are permitted to use their own templates to appraise, assure and approve SBCs through the local authority's own governance process eg. obtaining sign-off by the Director of Finance and obtaining Cabinet approval. If SBC's are assured by a local authority, the local authority is required to provide evidence of the SBC approval to the MCA Programme Board, along with a formal request for any development funding that is required.
- 5.40 Local authority partners can instead choose to use the MCA's SBC template, and go through the MCA's assurance process. Local authority officers are also invited to present SBCs to the MCA Programme Board. This is to facilitate understanding of the scheme and to support co-development and co-ownership principles.
- 5.41 PBCs and SBCs that are following the MCA assurance process, are appraised by the MCA's Assurance and Evaluation Team, or by external independent assessors appointed under Lots 2 and 3 of the AIE Framework. An Assurance Summary is prepared with the outcome of the appraisal and the assurance opinion. The SBC or PBC and Assurance Summary is assessed by the Programme Board who decide whether to reject, defer or approve the SBC or PBC.
- 5.42 For 2024, the MCA will pilot an approach where project officers can meet with the assessors prior to the appraisal for an Assessment Initiation Meeting. The purpose of this is to aid assessors in understanding

the project and its development and to advise project officers on details that will need to be included in the SBC from an assessor's perspective.

- 5.43 The Programme Board has delegated authority from the MCA Board to release development funding. Development costs are paid upfront in one instalment at a rate tailored to the individual scheme, rather than on a flat rate.
- 5.44 A Grant Letter confirms the award of development funding, key milestones and the breakdown of costs that will be supported by the development funding. Development funding awarded is entirely subject to clawback at the discretion of the MCA Board if the conditions agreed at the time of approval are not met.
- 5.45 The MCA Board is notified of the SBCs and PBCs that are approved by the Programme Board and applicants and scheme promoters are asked to develop a Business Justification Case (BJC) for low risk projects seeking MCA funding of up to £2m or an Outline Business Case (OBC) for projects requesting more than £2m.
- 5.46 Applicants and scheme promoters will be required to develop and submit a BJC or OBC for each named project in the Programme Business Case.

Business Justification Case (BJC) and Outline Business Case (OBC)

- 5.47 The aim of a Business Justification Case (BJC) and Outline Business Case (OBC) is to:
- Identify the investment option which optimises value for money
 - Prepare a scheme for procurement
 - Ensure that statutory processes are undertaken
 - Put in place the necessary finance and management arrangements for the successful delivery of the scheme.

For BJC's the following also applies:

- Identify the procurement opportunity which offers optimum value for money
- Agree the commercial and contractual arrangements for the successful delivery
- Put in place the detailed management arrangements for successful delivery

A BJC is used for projects seeking £2m or less.

Once a BJC or OBC has been developed, there will be a clear understanding of the project plan, project management and governance arrangements, benefits realisation, and risk management arrangements. Project assurance and post-project evaluation details will be fully worked-up. Regarding the BJC, there will also be 95% cost certainty and any statutory processes will have been completed. OBCs are required to have a minimum cost certainty of 75%.

- 5.48 Projects which involve an active travel element need to be presented to the Design Review Panel (DRP) for their advice and steer prior to completion of the BJC or OBC. This is to ensure that Active Travel England are engaged in the scheme design as a statutory consultee.

- 5.49 The BJC and OBC build on the foundations of the Strategic Business Case in that they provide considerably more detail on each of the five dimensions outlined in the latest HM Treasury Green Book guidance.
- 5.50 The five dimensions help to ensure that all impacts of a project (monetised and non-monetised) are presented in the OBC and FBC for consideration. The business case templates and guidance set out the basis for capturing impacts, including Optimism Bias. The Optimism Bias for transport projects is calculated in accordance with the DfT's Value for Money Advice Note for Local Transport Decision Makers.
- 5.51 It is essential that project applicants and scheme promoters agree the scope of costs and benefits before any substantive business case development is undertaken.
- 5.52 Project applicants and scheme promoters must also ensure that the commercial, financial and management arrangements are appropriate for effective delivery.
- 5.53 For all projects, whenever possible, a summary of the business case is published on the MCA's and applicant's websites to allow members of the public to comment.
- 5.54 A fully developed BJC and OBC will have determined the preferred option, potential value for money, ascertained affordability and funding requirements and be preparing the potential deal which enables successful delivery.
- 5.55 All BJCs and OBCs are required to go through the MCAs assurance process. The process for BJCs and OBCs is detailed in Figure 7 below:

Figure 7: Step 2 – Route to stage approval for Business Justification Cases and Outline Business Cases



Appraisal of the Business Justification Case (BJC) or Outline Business Case (OBC)

- 5.56 BJCs and OBCs undergo a technical appraisal, typically by the external independent assessors appointed under Lots 2 and 3 of the AIE Framework. This is to quality assure and scrutinise the project as well as undertaking all necessary due diligence checks. Any comments received from the public on the published business case are considered.
- 5.57 All appraisals are proportionate to the size, complexity, novelty, and risk inherent in the project. Transport projects undergo a TAG compliant appraisal. An Appraisal Scoping Report template is used to assess such schemes, comprising the:
- Level of analytical detail to be applied to approve a scheme against overarching Government transport objectives and the rationale for this
 - Modelling tools to be applied

- Alternative interventions to be considered
- Timescales for business case development

- 5.58 The MCA's Assurance and Evaluation Team compile an Assurance Summary which considers the technical assessment of the Business Case, any additional financial and commercial due diligence advice and comments and advice from the DRP on schemes with an active travel element. The Assurance Summary provides the overall outcome of the appraisal and the assurance opinion, along with a Value for Money (VfM) Statement.
- 5.59 The MCA Programme Board reviews the BJC or OBC and the technical analysis undertaken including the VfM Statement. The Programme Board then discusses and agrees what recommendation should be made to the MCA Board; either to approve the project or defer the project for further work. At this stage it is still possible that an application could be recommended for rejection on the grounds of Poor VfM (determined as having a BCR rating of below 1, along with other indicators also showing poor levels accounting for significant non-monetised impacts and key uncertainties) or presenting significant uncertainty or risk.

Single MCA Board Decision Point

- 5.60 BJCs that are approved by the MCA Board at this stage proceed straight to contract.
- 5.61 The MCA Board will provide an in principle decision to approve OBCs. The in principle approval is dependent on the Full Business Case (FBC) being within agreed tolerances and thresholds. These tolerances and thresholds will be determined by the MCA Board as part of the in-principle approval on a project by project basis. Delegation will be given to the MCA's Statutory Officers to approve the FBC and enter into a funding agreement provided the FBC complies with the conditions set. If, however, the project is complex in design and/or higher value and higher risk, the FBC will be presented to the MCA Board for a final funding decision.
- 5.62 Local authority partners will be provided with the draft terms and conditions of the Funding Agreement following in-principle approval of the OBC.

Preparation for Contract

- 5.63 Much of the work involved in producing the Full Business Case (FBC) focuses on revisiting and updating the conclusions of the OBC and documenting the outcomes of the procurement. The purpose of the FBC is to:
- Confirm the procurement opportunity which offers optimum value for money
 - Agree the commercial and contractual arrangements for the successful delivery
 - Put in place the detailed management arrangements for successful delivery
- 5.64 Any pre-contract conditions which were put in place as part of the OBC approval should be cleared at this stage.

5.65 To make this process easier for applicants and scheme promoters, the MCA uses a combined OBC/FBC template so that information in the OBC can quickly be updated as information is confirmed. This also ensures that if a project is sufficiently developed at OBC stage to be considered a FBC, funding approval for the scheme can be confirmed at OBC stage.

Agreement of Full Business Case

5.66 Once the FBC is submitted, the Assurance and Evaluation Team conduct final assurance checks on the business case to confirm that conditions set by the MCA Board have been satisfactorily met.

5.67 The FBC is presented to the Programme Board who confirms whether it is satisfied that the Funding Agreement can be signed and exchanged. The MCA Board will then be notified.

5.68 If conditions cannot be satisfactorily met, the MCA Board will have an opportunity to reconsider the revised business case and may reach a different decision. Figure 8 below illustrates the final stage in the appraisal process:

Figure 8: Route to full scheme approval and contract



Complaints and Appeals

5.69 All applicants for funding are made aware of the recommendations made by the Programme Board and the decision of the MCA Board, along with the rationale for the recommendations. Complaints can be made if the applicant deems that due process has not been followed.

5.70 Decisions made by the Mayor, MCA and Programme Boards can be scrutinised by the Overview and Scrutiny Committee. All decisions on funding must follow the appraisal process outlined above to be valid.

5.71 If a complaint is made, the MCA Chair and Monitoring Officer will convene an independent committee to review the issue and make a recommendation to the MCA Board as appropriate.

5.72 In any case where it is alleged that the MCA Board is (a) acting in breach of the law, (b) failing to adhere to the process outlined in this Assurance Framework, or (c) failing to safeguard public funds, complaints are directed to the MCA's Monitoring Officer or their deputy. This includes complaints from stakeholders, members of the public or internal whistle-blowers.

5.73 The Monitoring Officer will address the allegation following the protocols set out in the MCA Constitution.

5.74 If the MCA cannot resolve the issue to the complainant's satisfaction, and the complaint relates to funding allocated to South Yorkshire, the issue may be passed to the relevant Government department (such as the DLUHC or DfT).

Conflicts of Interest and Decision-Making

- 5.75 At all stages of decision-making, the national guidance on registering conflicts of interest is adhered to. This includes any interests declared by members of the MCA Board and, Statutory Officers.
- 5.76 Each member of the MCA Board is required to declare their pecuniary and non-pecuniary interests (whether they are a member in their individual capacity or representing an organisation). Members are also responsible for reviewing and updating their register. This includes declaring any gifts or hospitality received. Declarations of interest are also sought and recorded in the minutes of each MCA Board meeting. The Individual Register of Interest forms and the Register of Declarations Made at Meetings are regularly updated and published on the MCA website.
- 5.77 Senior members of staff within the MCA Executive Team and Statutory Officers also complete and maintain an Individual Register of Interest and update it when circumstances change. These are also published on the MCA website.

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6. Contract Management

- 6.1 Once funding is approved for a project, either for project development costs or full award, contracts are issued and regular communication with the project applicant or scheme promoter is maintained throughout the project's lifetime.
- 6.2 This includes quarterly 'highlight' reports from the project sponsor, regular claims for expenditure and at least one visit to the scheme during the project's lifetime.

Contracting

- 6.3 A Grant Letter (for project development costs) or Funding Agreement (for full award) between the MCA and project applicant or scheme promoter sets out the conditions relating to the MCA's agreement to fund the project and the responsibilities of the MCA and applicant or scheme promoter in managing, delivering and monitoring the project. A Grant Letter will only be required where projects are drawing down development cost funding ahead of full approval and full award.
- 6.4 There may be a number of pre contract conditions to resolve before a grant agreement can be entered into. Evidence is sought from the applicant or scheme promoter and saved on the project file which shows how these conditions have been satisfied.
- 6.5 The Funding Agreement specifies that grants and loans are capped, and applicants and scheme promoters bear the risk for all overspend on the project beyond the approved amount. The Funding Agreement also stipulates the expected outputs and outcomes that the project will deliver.

Payment Against Claims

- 6.6 Payment milestones are agreed with the project applicant or scheme promoter at the point of contract. Payment against claims follows HM Treasury principles for Managing Public Money. The milestones depend on the complexity, cost, and timescales of the project. This forms part of the programme management role of the MCA, which is subject to external audit.
- 6.7 Each grant claim is crosschecked against the approved project baseline information as part of the reporting processes. Prior to payment of grant, evidence checks are conducted on approximately 10% of the claim value. The value of the required checks is determined by the level of risk and project performance to date.

Managing Contract Performance

- 6.8 The MCA Executive Team manages the delivery of the contract and works with the applicant or scheme promoter to monitor the project's progress and risks. Monitoring conditions are set out initially in a grant determination letter from Government for each funding source, so the MCA Executive Team is required to adopt a flexible approach to managing contract performance. This may be dependent on the funding source, value or risk of a particular programme or project.

- 6.9 The MCA Executive Team monitors the delivery of the project, and the progress made in achieving the outputs and outcomes, in line with the Monitoring and Evaluation Framework.
- 6.10 Reporting of monitoring information is derived from a number of sources; the submitted reports received from scheme promoters and maintaining regular contact with applicants, scheme promoters and delivery partners, including conducting site visits where appropriate. If required, internal and/or external audit reporting is used. The MCA Executive Team supports the MCA to discharge its duties on reporting and accounting for public monies by gathering information and data, ensuring that a robust audit trail is in place, and escalating any issues or risks to performance.
- 6.11 The MCA Executive Team is responsible for immediately addressing any slippages or concerns regarding project delivery and taking corrective action, including updating the Risk Register as necessary.
- 6.12 Where funding conditions and funding eligibility criteria permit, applicants and scheme promoters will be allowed to vire funding between schemes to manage pressures within defined programme funding envelopes. Any virement needs to be agreed with the MCA's Funding, Monitoring and Reporting (FMR) Team.
- 6.13 A change control process is in place to ensure that variations to an approved project are discussed with the project applicant and agreed with the MCA Executive Team. Variations to a project are logged on the project's file and the Verto system and reported to the MCA Board when appropriate. Most changes can be agreed between the project applicant and MCA Executive Team, but significant changes, such as an increase to the overall MCA grant allocation or major change in project scope, are dealt with and agreed by the MCA Board.
- 6.14 Where there is significant underperformance or cause for concern, a project will be referred initially to the Programme Board and then to the MCA Board for a decision and reported to the Audit, Standards and Risk Committee.

Reporting Performance

- 6.15 Reports are produced from the quarterly information submitted by project sponsors and these are used at Boards to check progress of overall funding programmes. The reports combine qualitative narrative on progress made in delivering the project or programme, as well as quantitative data on outputs and outcomes delivered during the monitoring period:
- a. Information on whether the project has encountered issues or problems affecting delivery
 - b. Confirmation of project milestones that have been met
 - c. Information on project achievements and successes
 - d. An indication of any risks or issues that will affect the timescale, cost or scope of the project
 - e. Confirmation of project income and expenditure
- 6.16 Quarterly reports on project and programme performance for Gainshare and local growth funds are submitted by the MCA Executive to the Department of Levelling Up, Housing and Communities (DLUHC) and other relevant Government departments. All quarterly reports are signed-off by the Section 73 Officer.

Internal Audit

- 6.17 An internal quality and compliance function is responsible for implementing assurance of education and training funded via the MCA's AEB and UK Shared Prosperity Fund for Multiply. This ensures contract compliance and quality of provision of independent training providers, delivery partners, colleges and local authorities through analysing claims, MI, performance data and site visits.

Closure

- 6.18 A project is formally closed once it has physically completed, delivered the range of contracted outputs and outcomes and any required evaluations have taken place. The MCA Executive will normally deal with project closure but any contentious issues can be referred up to the Programme Board and the MCA Board as appropriate. A retention of grant is usually released once these elements have been satisfied.

Clawback

- 6.19 The Grant Letter and Funding Agreement include a mechanism for clawback based on an assessment of risk. This may be used to ensure that funding is only spent on the specified eligible activity. It may be used as a penalty for any projects that under-deliver on outputs and outcomes achievement, or it may be used to monitor any excess or surplus the project may receive greater than a previous estimate. It also gives the MCA the option of clawing back funds for poor performance, misuse or defrauding of funds.

7. Measuring Performance and Success

- 7.1 Monitoring and measuring the performance of projects and programmes provides important lessons which are used to improve future decision-making. This increases the likelihood of successful delivery of future projects.

Monitoring and Evaluation Framework

- 7.2 A comprehensive monitoring and evaluation framework is in place which has been designed in accordance with the most recent HM Treasury's Magenta and Green Book principles and other monitoring and evaluation guidance, such as that published by the What Works Centre.
- 7.3 The Monitoring and Evaluation Framework sets out how projects and programmes including devolved funds such as AEB, CRSTS and the UKSPF will be assessed both during their delivery and post-delivery phases, to understand the inputs, outputs and impacts of investment made in South Yorkshire. The framework outlines in detail the processes in place to enable the MCA Executive Team to gather robust feedback on delivery performance and identify the lessons learnt from projects and programmes and any best practice that can be applied to future activity, programmes, and policy. The Framework supports the Government's five-yearly Gateway Review process for evaluating investment funds.
- 7.4 The framework sets out several logic models and identifies the performance metrics and indicators that are used to assess the impact of a project or programme and its contribution to delivering the Devolution Deal, and SEP and RAP objectives and output and outcome targets for economic growth. This includes the specific objectives and targets for devolved funding such as AEB and CRSTS.
- 7.5 The SEP includes a broad range of economic, social, and environmental indicators that new MCA funded schemes and projects will be measured against. The SEP indicators are also used to regularly track the overall performance and health of the South Yorkshire economy. This quantitative data helps to inform the development of new schemes and interventions to address weaknesses and challenges in the local economy.
- 7.6 The process for monitoring and evaluating project and programme performance is summarised in the sections below.

Monitoring

- 7.7 All project applicants, scheme promoters and AEB delivery partners are required to provide regular financial and delivery information, including progress made in achieving the expected outputs and outcomes, to the MCA Executive Team. Performance Reports are expected quarterly as a minimum, however, reporting frequency is based on the assessment of risk. Where a project or programme is considered high risk, the frequency of formal monitoring increases to monthly. The frequency of reporting on the delivery of outputs and outcomes can reduce to every six months following the completion of works or activity. Again, the frequency is determined by the level of risk.

- 7.8 The applicant, scheme promoter and AEB delivery partner submits quarterly reports to MCA Executive Team. All quarterly reports are signed-off by the Section 73 Officer. This enables the MCA to fulfil its duties on reporting and accounting for public monies.
- 7.9 Site visits to project applicant, scheme promoters and delivery partners are conducted once per year as a minimum. Site visits may by exception, be conducted more or less frequently based on an assessment of risk.
- 7.10 Project Applicants, scheme promoters and delivery partners are responsible for informing the MCA Executive Team of any changes to the scope, costs, and implementation timescales for their project. The MCA Executive Team assesses the impact of any changes on the overall programme, budget, and expenditure. Cost increases, financial slippage and significant changes to outputs and outcomes are reported to the appropriate Board where necessary. The MCA does not guarantee that it will meet any cost increases either in full or in part.
- 7.11 The MCA Executive Team presents Performance Reports on project and programme delivery, including AEB, to the MCA Board. This ensures that Board members are informed of progress on projects and are sighted on any issues that will result in financial slippage or underperformance.
- 7.12 Performance Reports are also submitted to the relevant Government department, specifically DLUHC, the Department for Education and the Department for Transport. The frequency of reporting is determined by the relevant Government department although it usually consists of the submission of quarterly updates to the department and a formal annual report.
- 7.13 Following devolution of the AEB in 2021/22 academic year, the MCA is required to submit an annual report to Government each January on the delivery of AEB functions from the previous academic year to date including:
- South Yorkshire policies for adult education
 - Expenditure against AEB
 - Data analysis of AEB delivery in South Yorkshire

Evaluation

- 7.14 The frequency and type of evaluation conducted, depends on the contract value, duration, and complexity of the project. The level of evaluation required is determined at Outline Business Case stage so that adequate resource can be allocated to fund the cost of evaluation prior to the project's approval. This enables evaluation to be factored into a project and programme's design from the outset.
- 7.15 Pilot projects and major schemes such as AEB, CRSTS and UKSPF, are subject to more extensive and frequent evaluation; typically, annual interim evaluation and a final evaluation after the project has ended.
- 7.16 As a minimum, all projects are evaluated post-delivery on the project's impact on the South Yorkshire economy, to ascertain whether the project's objectives, outputs and outcomes were achieved, the reasons and results of any under or over performance, and to identify any lessons or recommendations that should be applied to future projects. The evaluation assesses the economic, social, and environmental impact against the core and supplementary key performance indicators listed in the SEP

and the individual Monitoring and Evaluation Plans developed for specific programmes such as TCF, as well as the national key performance indicators for Gainshare, AEB and CRSTS. The MCA's core and supplementary Key Performance Indicators are listed in Appendix B.

- 7.17 The MCA Executive Team procures external and independent evaluation of all MCA funded programmes and projects, including AEB and CRSTS through a Framework Agreement to evaluate the impact of specific funding streams, significant investments, and pilot projects.
- 7.18 Research and evaluation consultants were invited to tender for the provision of evaluation services through the MCA's Investment and Appraisal Framework. Experts are contracted based on their subject and thematic expertise and evaluation experience and produce independent evaluation reports of MCA funded projects, schemes, and programmes.
- 7.19 The use of external evaluation experts to provide technical expertise and specialist advice on conducting project and programme evaluation, ensures that all evaluation conducted on projects and programmes funded by the MCA is as objective and impartial as possible.
- 7.20 Project evaluation provides accountability for the investment made. It also provides local evidence on which to base future projects and programmes. The MCA Executive Team reviews the results of the evaluation against the objectives of the project as set out in the business case and Funding Agreement and the most appropriate counterfactual. Evaluation results for all projects are published on the MCA website.
- 7.21 Where there is a variation between a project's objectives and its outcomes, the MCA Executive Team works with the applicant or scheme promoter to agree corrective action. If the corrective action is unsuccessful, clawback clauses in the Funding Agreement can be invoked as a final resort and to secure the desired outcomes via alternative measures.
- 7.22 The MCA Executive Team compiles a summary report for the MCA of all projects that have completed during the previous quarter. This report confirms whether the project has delivered against its spending profile and achieved the outputs and objectives in the Funding Agreement. The report also recommends whether each project can be closed.
- 7.23 As part of the annual report to Government on the delivery of AEB functions from the previous academic year to date, the MCA will also provide an update on interim evaluation findings on the impact that AEB has had in South Yorkshire. These findings will be derived from qualitative data such as employer and learner survey responses and quantitative data on the take-up of AEB funded provision in South Yorkshire and improvements in participation, progression, and attainment in statutory and non-statutory training.

Gateway Review of Gainshare

- 7.24 The MCA was required to produce and publish a Local Evaluation Framework (LEF) in May 2023 which identified the individual projects and programmes that would be funded by Gainshare in the first Gateway Review period (April 2020 to March 2025) including projected outputs, outcomes and match funding. The LEF explains how the progress, outputs, outcomes and impacts of the Gainshare funded schemes will be monitored and evaluated.

- 7.25 All schemes and programme included in the LEF will be evaluated during the Gateway Review period, with the financial data, monitoring reports and evaluation reports shared with the national evaluators appointed by DLUHC. This information will be used to inform a series of written reports for the Mid-Term Review and Final Review, and by the national evaluators, to ascertain the impact that Devolution Investment Funds have had in South Yorkshire, particularly in relation to supporting and enabling economic growth in the region and in the UK.
- 7.26 The Mid-Term Review process took place between October 2023 and February 2024, where the MCA compiled and submitted five Evidence Papers on the administration and utilisation of Gainshare funding in South Yorkshire:
- **Contextual Economic Forecasting** – this document set out the baseline economic data against a set of key performance indicators for 2020 and the level of change and growth in the South Yorkshire economy that the MCA was projecting to see over the five-year Gateway period up to 2041.
 - **Impact** – this was an in-depth review of the impact that a nearly completed project had achieved to date.
 - **Progress Plus** – two additional projects that were in an advanced stage of delivery were evaluated to identify the achievements made to date and the anticipated impact that would be demonstrated on project completion.
 - **Progress** – this document provided an update on the delivery status and financial, output and outcome delivery to date on Gainshare funded schemes that had been approved and were in delivery.
 - **Capacity and Partnership Development** - this report provided an overview of the governance and decision-making structures at the MCA, the allocation of the Devolution Investment Funds and a narrative account of how the MCA has collaborated with local authority partners and other stakeholders in building capacity, developing projects and programmes and feedback from stakeholder and partner interviews and surveys.
- 7.27 The Mid-Term Evidence Papers were assessed by the national evaluators in February 2024 and an assessment report was presented to a technical panel of academics and economic experts, prior to a report being submitted to DLUHC on the MCA's progress to date.
- 7.28 The Final Review process will start in October 2024 where a further series of Evidence Papers will be completed and submitted by the MCA to the national evaluators on Gainshare funded schemes. These will again be assessed by the national evaluators and presented to the panel. A Gateway Review Report will then be compiled by the national evaluators and presented to DLUHC in January 2025. The MCA will then meet with DLUHC.

8. Inclusive and Collaborative Working

8.1 The strength and success of the MCA in South Yorkshire is founded on good governance and partner collaboration. Collaboration and a true partnership approach have been a cornerstone of the MCA achieving what it has to date. This collaboration is resulting in a focused programme of engagement; designed to accelerate the delivery of the SEP and harness South Yorkshire's latent potential.

Collaboration with Metro Mayors, the Northern Powerhouse and

8.2 The Mayor and MCA are committed to working in collaboration with other Mayoral Combined Authorities, the Northern Powerhouse and, to pool knowledge and resource and enhance the effectiveness, transparency, decision-making and leadership in local economic development.

8.3 The Mayor and the MCA have achieved the following by working across geographical borders:

- A series of joint lobbying by the Northern Mayors on Levelling-Up and transport funding including Northern Powerhouse Rail (NPR) and the National Rail Plan
- Led work to support the Metro Mayors network
- Collaborated with Public Health England and the integrated care system on health issues throughout the Covid-19 pandemic
- Explored a pilot project on innovation with peer MCAs including the West Midlands
- Collaborated with Transport for the North (TfN) to inform the development of TfN's Strategic Transport Plan. TfN also contributed to the development of the South Yorkshire Transport Strategy and Integrated Rail Action Plan
- Worked in partnership with the Metro Mayors on an Air Quality Summit and joint lobbying to Government for increased powers and funding
- Collaborated on Working Win, the health-led employment trial
- Led a trade delegation to India in conjunction with other Northern Powerhouse members
- Shared intelligence on AEB procurement

Engaging with Other Partners

8.4 Regular meetings are held with partners to ensure an open and two-way dialogue on activity being undertaken across South Yorkshire, and to discuss the development of strategies and progress in delivering the SEP priorities and objectives. These meetings take place with business representative organisations, including the Chambers of Commerce, Federation of Small Business, CBI, Institute of Directors and Make UK, as well as local authority partners and the universities, such as the Business Advisory Group meetings.

8.5 A programme of engagement events is also held with partners across South Yorkshire. Typically, these events are thematic based, and are used to obtain input and feedback from partners to inform South Yorkshire's policies, strategies, and project formulation. These engagement events are advertised on the MCA website and social media channels and through partners such as the business representative organisations.

8.6 Examples of collaboration with partners and agencies have included:

- Establishing a series of boards with key stakeholders and partners from the public, private and voluntary and community sectors to inform policy direction in South Yorkshire, including the Music Board, Innovation Board, Art and Culture and Public Health
- Establishing a Local Resilience Forum to collaborate on the response to the COVID-19 pandemic
- Development of a Renewal Action Plan to direct investment towards economic recovery and growth
- Having representation on the Northern Powerhouse Investment Fund Board
- Playing an active part of the national network established for the devolution of the Adult Education Budget (AEB).
- Developing a strong working relationship with Department for International Trade (DIT) on the Northern Powerhouse agenda, including trade missions and having three exciting investment propositions showcased through the Northern Powerhouse Investment portfolio/pitchbook

8.7 Local and national partners have been, and will continue to be, fully engaged throughout the development phase of AEB devolution. A Skills Advisory Network brings together employers' representatives, local authority, and further education providers with other partners from South Yorkshire. The Network assists in the identification of skills priorities across South Yorkshire and feeds into the processes of setting the priorities for AEB commissioning, and the development of a Regional Skills Strategy.

Engaging with the Public

8.8 The MCA publishes all key decisions that will be taken at least 28 days before the decision is due to be made, on a rolling basis. A key decision relates to any revenue expenditure or savings that are over £250k or any capital expenditure or savings that are over £1m. The MCA also publishes a Forward Plan of Key Decisions which includes decisions that have a financial implication (such as projects that are seeking investment from the MCA, new programmes or schemes that would be delivered across South Yorkshire, or new strategies) and non-financial decisions which impact on two or more local authority areas. The plan is refreshed and published on the MCA website every month and it enables members of the public to view information on decisions before they are made so that they can comment on them.

8.9 The plan provides brief information on the project, programme or strategy, the date the decision will be taken, the lead officer's contact details and information on how to access any relevant reports (subject to restrictions on their disclosure).

8.10 In addition to publishing information on potential investment decisions in the Forward Plan of Key Decisions, the VfM Statement and business case for each project is published throughout the assurance process. This enables members of the public and stakeholders to comment on proposed projects before funding decisions are made. Any comments received are considered by the Programme Board in deciding whether to recommend a project for approval, deferment, or rejection, and are made available to the MCA Board.

8.11 The MCA website also explains how members of the public can request information as well as providing feedback and submitting questions for MCA meetings.

8.12 The MCA holds its AGM in June each year.

Formal and Public Consultation

- 8.13 In accordance with the MCA's statutory obligations, the MCA Executive Team undertakes a public consultation exercise when revising or developing a new strategic document. The consultation period runs for between 6 and 12 weeks. Information on the consultation is posted on the homepage of the MCA website with a draft document and details of how to submit views, comments and supporting evidence electronically and by post. Information on any scheduled consultation events is also displayed.
- 8.14 Comments and evidence submitted by partners and individuals during the public consultation period are logged, analysed, and categorised, with records kept on how the final draft of the strategy has been amended to reflect the comments and evidence received.
- 8.15 In 2020 the public were consulted on the draft Strategic Economic Plan. In 2022 the MCA publicly consulted on Enhanced Partnerships, an agreement between the MCA as the Local Transport Authority and bus operators in South Yorkshire on delivering bus service improvements. Future public consultations will take place on the development of the Nature Recovery Strategy and re-fresh of the Transport Strategy.

9. Publishing Information

- 9.1 The MCA is subject to the same Transparency Code that applies to local authorities. To deliver the responsibilities under the code, the MCA has developed a robust, but proportionate, approach to sharing and publishing information so that it is accessible to the public.

Access to Information

- 9.2 The MCA Constitution includes a publication scheme which sets out how and when agendas, minutes, papers, and other documents produced by the MCA and MCA Executive Team will be made available to the public. It also sets out any exceptions to publishing information, such as not disclosing information that is prohibited by law or which is exempt under the Local Government Act 1972 Schedule 12A or Freedom of Information Act 2000.
- 9.3 The Publication Scheme is published on the MCA website. MCA Board papers clearly state whether the paper will be published under the Publication Scheme and whether any exemptions apply.
- 9.4 The MCA is subject to the Local Government Act 1972, Freedom of Information Act 2000, Data Protection Acts of 1998 and 2018, the General Data Protection Regulations (GDPR), the Environmental Impact Regulations 2004 and Public Sector Equality Duty.
- 9.5 The public are made aware of their right to access information through the MCA website. Requests for information are dealt with in accordance with the relevant legislation and information is not unreasonably withheld. The MCA Executive Team elects to publish more information on activities and decisions than is stipulated in Government guidance, so that Freedom of Information requests are less necessary.
- 9.6 All data supplied to the MCA and MCA Executive Team, including personal, financial, confidential, and sensitive information is processed and handled in line with data protection legislation. Personal information is stored securely to maintain privacy. This process is detailed in the Privacy Policy.

MCA Website

- 9.7 Core information regarding activity being undertaken by the MCA and Mayor is available on the MCA website.
- 9.8 The MCA website is structured into the following sections:
- **Who We Are** – this section contains information on the Board structure and Board membership, agendas, and papers for the MCA, and Youth Combined Authority as well as vacancies in the MCA
 - **What We Do** – this section provides information on the SEP, thematic priorities, public consultations on draft strategies, mini-portfolios on funded projects and initiatives and the MCA's Data and Intelligence Hub
 - **Growing Our Economy** – this section is targeted at potential inward investors and indigenous businesses and explains the schemes and initiatives available to support businesses to start-up,

thrive and grow, including the Growth Hub service and the portfolio of land available for investment in South Yorkshire. Tenders and contracts are also advertised in this section

- **Governance** – this is a dedicated section on how the MCA functions, including MCA policies, procedures, processes, decision-making and expenditure.), statutory notices on the Mayoral Election (in the period leading up to an election) and Freedom of Information requests
- **The Mayor** – this section contains information on the elected Mayor including the Mayor's role, powers, priorities and plans, Mayor's Question Time sessions and the Citizens Assembly

Meeting Papers

- 9.9 The schedule of MCA Board, Audit, Standards and Risk Committee and Overview and Scrutiny Committee meetings for the year ahead are published on the MCA website.
- 9.10 The notice of the meeting, the agenda and accompanying papers are published five clear working days in advance of the meeting. Where papers contain commercially sensitive information or are subject to one of the exemptions under the Local Government Act 1972 Schedule 12A or Freedom of Information Act 2000, they are not published and are categorised as a private item. Decisions on whether individual agenda items are private items are made by the Head of Paid Service and Monitoring Officer using existing local authority regulations.
- 9.11 Draft minutes of meetings are published no more than ten working days after the meetings on the MCA website. All MCA minutes are signed at the same or next suitable meeting of the Authority and published within ten clear working days.

Notice of Decisions

- 9.12 As stated in previous sections, the MCA publishes all key decisions and a Forward Plan of Key Decisions that will be taken by the MCA Board or Programme Board at least 28 days before the decision is made to enable members of the public to view and comment on them.
- 9.13 Details of all project approvals made by the MCA Board, are recorded in the Minutes of the meetings. In addition, the MCA Executive Team maintains and publishes a Grants and Contracts Register on the MCA website which provides details of all contracts and agreements signed, a summary of the project, and the value of the contract.
- 9.14 A Delegated Authority Report for decisions taken by the Programme Board is produced for the MCA which documents all decisions that the Programme Board has taken, including any approval they have given to projects within their delegated authority and any endorsement, deferment or rejection of projects. Delegated Authority Reports is a standing agenda item for discussion at each MCA meeting and they are published in the meeting paper pack on the MCA website.

Information on Board Members

- 9.15 The following information on MCA Board Members is published on the MCA website:
- Biography – including name, job title, organisation represented, membership of Committees and any lead roles
 - Individual Register of Interests
 - Declarations at Meetings
 - Attendance Record
 - Gifts and Hospitality Record
 - Term of Office
- 9.16 The MCA Executive Team publishes details of all expenses and subsistence claimed by Board Members and authorised by the Head of Paid Service in Quarterly Expenses Reports.
- 9.17 The MCA Executive Team also publishes any gifts or hospitality accepted and received by Board members with a notional or actual value that exceeds £50. Gifts and hospitality are recorded in each Board Members' Individual Register of Interest.

Financial Information

- 9.18 A range of budgetary and financial information is published on the MCA website so that it is transparent and accessible to the public.
- 9.19 MCA and Mayoral budgets, including the Police Funding Settlement, are set prior to the start of the financial year within the Budget and Policy Framework. As the Accountable Body, the MCA is responsible for setting and approving the annual budgets for the organisations within the MCA governance structure. This includes approving the transport revenue budget for transport operations in South Yorkshire and setting the transport levy.
- 9.20 The MCA is also responsible for agreeing an annual programme of capital expenditure, together with proposals for the financing of that programme. This includes projects promoted and projects directly managed by the MCA.
- 9.21 Quarterly updates on the performance of capital and revenue programmes are provided to the MCA Board and these are published in meeting papers.
- 9.22 As stated previously in this section, funding decisions are also published on the MCA website in the Grants and Contracts Register. Payments to general suppliers that have a value of more than £250 are published every month in the Payments Made to Suppliers register.
- 9.23 The draft accounts are considered by the MCA Board in June/July each year. The finalised accounts which include the Annual Governance Statement, are published alongside the Independent Audit Certificate for the financial year.
- 9.24 The roles and salary bands of all staff employed in the MCA Executive Team which exceed £50,000 per annum are also published on the MCA website.

Procurement and Funding Opportunities

- 9.25 The MCA Executive Team publishes calls for projects on a regular basis on the MCA website and social media feeds. The application templates and guidance documents for each commissioning call are available via the MCA website.
- 9.26 An open and competitive procurement process is in operation. When undertaking any procurement, all Boards, officers, and staff must comply with the Contract Procurement Rules. Opportunities to supply goods and services are advertised on the Procontract website with a link from the MCA website.
- 9.27 Information on how businesses can access advice and support services, including applying for grant-funded programmes, is advertised in the Growing Our Economy section of the MCA website.

Branding

- 9.28 In accordance with branding guidance on awarded and devolved funding, the MCA Executive Team ensures that the correct logos and wording are displayed in all promotional materials for MCA funded projects and programmes. Promotional materials include the MCA website, websites of project applicants or scheme promoters, signage, social media posts, press notices and marketing literature.

Glossary of Terms

| | |
|-------------------|---|
| AEB | Adult Education Budget |
| AGM | Annual General Meeting |
| BCR | Benefit Cost Ratio |
| BF | Brownfield Fund |
| BJC | Business Justification Case |
| BMBC | Barnsley Metropolitan Borough Council |
| CDC | City of Doncaster Council |
| CRF | Community Renewal Fund |
| CRSTS | City Region Sustainable Transport Settlement |
| DfE | Department for Education |
| DfT | Department for Transport |
| DLUHC | Department for Levelling Up, Housing and, Communities |
| DIT | Department for International Trade |
| FBC | Full Business Case |
| FLUTE | Forecasting the interactions of Land-Use, Transport and Economy |
| GBF | Getting Building Fund |
| LEP | Local Enterprise Partnership |
| LGF | Local Growth Fund |
| LTA | Local Transport Authority |
| MCA | Mayoral Combined Authority |
| OBC | Outline Business Case |
| R&D | Research and Development |
| RMBC | Rotherham Metropolitan Borough Council |
| SBC | Strategic Business Case |
| SCC | Sheffield City Council |
| SCR | Sheffield City Region |
| SCRTM1 | Sheffield City Region Transport Model 1 |
| Section 73 | Equivalent to a Section 151 Officer |
| SEP | Strategic Economic Plan |
| SYMCA | South Yorkshire Mayoral Combined Authority |
| TAG | Transport Appraisal Guide (formerly known as WebTAG) |
| TCF | Transforming Cities Fund |
| UKSPF | UK Shared Prosperity Fund |

The core and supplementary key performance indicators that the MCA assesses funding applications and monitors programme, project, and economic performance against are detailed below:

Stronger

| Core Indicator | Outcome | Data Source | 2027 Target | 2040 Target | Gap |
|------------------------------|--|--|-------------|---|--|
| Productivity per hour worked | A higher productivity workforce | Labour productivity measured in GVA per employee. Annual Population Survey | | Increase productivity rate in South Yorkshire by £6.80 per hour (24%) to match the UK average | South Yorkshire: £28.3 UK: £35.2 GAP: £6.8 per hour |
| High growth businesses | A larger proportion of high growth businesses. | Business Demography Table 7.1 | | Increase proportion of high growth businesses in South Yorkshire by 25 (0.5%) | South Yorkshire: 3.9% Range: Barnsley (3.3%) – S/R (4.0%) UK: 4.3% |
| Business density | A higher density is economically beneficial in terms of GDP | Nomis UK Business Counts 'Business density (businesses per 10,000 people | | Increase the number of businesses in South Yorkshire by 20,600 (42%) | Barnsley (312), Doncaster (363), Rotherham (346), Sheffield (335), England (648) |
| Higher-level occupations | Higher proportion of employees in managerial, technical & professional occupations (SOC 1–3) | Nomis | | Additional 42,000 (6.3%) 16-64 year olds working in higher level occupations | South Yorkshire: 43.7% GB: 50.0% Gap: 6.3 p.p (equivalent to 40,500) |

| Supporting Indicator | | | | | |
|-----------------------------------|---|--|--|-----------------------------|---|
| Economic output per worker | The size of our economy relative to our workforce (and population) will increase. | Labour productivity measured in GVA per worker. Annual Population Survey. | | Parity with UK average | South Yorkshire: range £42,620-45,434 UK: £56,670 |
| Employment | More working-age people are in employment. | Annual Population Survey | | Parity with GB average | South Yorkshire: 70.8% GB: 74.4% Gap: 3.6 p.p. (equivalent to 33,000 people) |
| Enterprise birth rate | Higher density and growing business base | Business birth rate. ONS Business Demography data. | | Exceed UK average | South Yorkshire: 14% (range 12.6 [Sheffield]-17.1% [Doncaster]) UK: 13% |
| Enterprise survival rate | Higher density and growing business base | New business 1-year survival rate. ONS Business Demography data. | | Exceed UK average | South Yorkshire: 89.5% SY range: Sheffield (88.3%) – B/R (91.1%), UK (88.3%) |
| R&D expenditure | A greater investment in R&D indicates an innovative economy | R&D expenditure as a % of the economy using ONS and Eurostat data | | 2.4% of GDP by 2027 | South Yorkshire: £440m UK: £69,600m |
| Digital connectivity | A higher proportion of SY is covered by full fibre. | Gigabit capable | | Parity with England average | South Yorkshire: range (9-38%) England: 36% |
| Urban centres | Consistent or improving levels of footfall in town and city centres. | (Potentially 'Locomizer' commercial data – currently exploring possibilities) | | TBC | TBC |

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Greener

| Core Indicator | Outcome | Data Source | 2027 Target | 2040 Target | Gap |
|-----------------------------|--|--|--------------------------|--|--|
| Flooding | Flood risk demonstrably reduced overall by xx% compared to 2020 baseline | TBC | | 17,000 additional homes and businesses protected from flooding | TBC |
| Carbon | Reduce carbon emissions. | UK local authority and regional carbon dioxide emissions national statistics | | Reduction of carbon dioxide emissions in each local authority to be equal to or lower than the England average of 4.9/capita | South Yorkshire (range): 3.8 to 6.4/capita England: 4.9/capita |
| Modal shift | Car usage and motor traffic falls, indicating mode share and lower pollution due to transport. | Either using DfT source for miles driven, or more local (SYPTTE) data | | Additional 29,000 workers using public transport to commute and 14,000 using active travel modes to commute | TBC - net reduction in line with strategy |
| Supporting Indicator | | | | | |
| Bus patronage | Increase bus patronage | BUS0110 passenger journeys on local bus services per head | | | South Yorkshire: 20.9 journeys per head England: 27.8 journeys per head |
| Bus time | More buses on time | Increase in cumulative journey times for an agreed | -4.0% (BSIP 2025 target) | -4.0% | +0.3% compared to 2017 levels (current) |

| | | | | | |
|---|--|---|--------------------------|--|--|
| | | set of frequent services compared to 2017 baseline | | | |
| Reliability | More reliable transport infrastructure | Bus operator data | 99.5% (BSIP 2025 target) | 99.5% | 98.8% (current) |
| Bus satisfaction | More satisfied users | Transport Focus annual survey | 92% (BSIP 2025 target) | 92% | 89%(current) |
| Ecosystem services | The value of total ecosystem service flows increases | Natural Capital Solutions report for South Yorkshire (2021) | | Increasing value of ecosystem service provision relative to 2021 benchmark | Barnsley (£117m), Doncaster (£131m), Rotherham (£100m) Sheffield (£171m) |
| Commuting mode of travel | More people use public transport and active travel | Census (QS701EW) | | TBC | Bicycle (9,395), on foot (63,724) |
| Renewable energy generation | Increase | Annual generation (MWh), BEIS | | TBC | South Yorkshire (1,174 GWh) |
| Net Zero Carbon Emissions (Scope 1 and 2) for the region | Reduction | CO2e – ONS | | Net Zero | TBC |
| Air quality | Reduction | Air emissions Nitrous Oxide (N2O) CO2e – ONS | | TBC | TBC |
| Carbon intensity | Reduction | per capita and per km2 | | TBC | TBC |
| Woodland coverage | Increase | % coverage – Natural Capital Mapping | | TBC | South Yorkshire (10.6%) |
| Housing stock energy efficiency | All new homes in South Yorkshire are built to Energy | TBC | | TBC | TBC |

| | | | | | |
|---------------|--|---|--|-----|-----|
| | Performance Certificate Grade C standard and above | | | | |
| Active travel | Increase | % using 'active' modes of travel Walking and Cycling Statistics, England – ONS | | TBC | TBC |

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Fairer

| Core Indicator | Outcome | Data Source | 2027 Target | 2040 Target | Gap |
|------------------------------------|---|--|-------------|---|---|
| Economic inactivity | Fewer people are economically inactive | % who are economically inactive - aged 16-64 Annual Population Survey | | Reduction of 31,600 (2.2%) 16-64 year olds classified as economically inactive | South Yorkshire (24.0%) UK (21.8%) |
| Qualifications & skills | Delivering a local workforce for future growth. A higher proportion of working-age population (16-64) possess higher qualifications, indicating progression in education and employment | NVQ 3 and above. Nomis. | | Additional 12,000 (2.8%) 16-64 year olds in South Yorkshire obtaining a higher level qualification (NVQ 3+) | South Yorkshire: 58.1% GB: 61.3% Gap: 2.8 p.p (equivalent to 12,000 people) |
| Wage levels | A lower proportion of employees on low earnings (further work to assess lowest pay gap within 20th percentile of earnings distribution). | Annual Survey of Hours and Earnings. Hourly pay (gross) all workers | | Gap of £1.38 per hour between South Yorkshire and UK average is reduced by all workers receiving a 14% pay increase | South Yorkshire: £14.28 UK: £15.71 Gap: £1.48 |
| Personal wellbeing | Estimated levels of worthwhile, life satisfaction, happiness and | Self-reported wellbeing – people with high anxiety | | Reduction in South Yorkshire residents self-reporting high | South Yorkshire: range (20.1-24.1%) England 21.9% |

| | | | | | |
|-----------------------------|--|---|--|---|---|
| | anxiety are indicators of personal well-being. | score (NHS Fingertips) | | anxiety to below 2020 level or to England average | |
| Supporting Indicator | | | | | |
| NVQ – all levels | Increasing | Nomis | | Parity with GB average | TBC |
| Health | Our population live increasingly long, healthy lives. | Healthy life expectancy at birth - PHE/ONS | | Parity with England average | South Yorkshire: range 77.8-79.3, (male) 81.8-82.5 (female) England: 79.8 (male) 83.4 (female) |
| Housing costs | The housing system and wider economy means that earning power is not being eroded by inflating house prices. | MHCLG House Price (existing dwellings) to residence-based earnings ratio. | | Net decrease in relative housing costs | South Yorkshire: range (4.66-5.92) England: 7.84 |

| | | | | | |
|---------------------------------|--|---|--|-----------------------------|--|
| Education & schools | More children leave secondary school with better attainment to boost their prospects in FE and employment. | Attainment 8 scores average. DfE data. | | Parity with England average | South Yorkshire: Attainment 8 range (44.0-44.9) England: 46.8 Gap to average: 649 students |
| Higher-level occupations | Higher proportion of employees in managerial, technical & professional occupations (SOC 1-3). | Nomis | | Parity with GB average | South Yorkshire: 43.7% GB: 50.0% Gap: 6.3 p.p (equivalent to 40,500 people) |
| Fuel poverty | Fewer households living in fuel poverty. | BEIS Fuel Poverty Statistics use Low Income Low Energy Efficiency (LILEE) indicator. | | Parity with England average | South Yorkshire: 17.7% England: 13.4% Gap: 4.3 p.p |
| Child poverty | Lower proportion of children living in poverty. | <u>End Child Poverty</u> derived data | | Parity with UK average | Barnsley (33.3%), Doncaster (34.7%), Rotherham (34.3%), Sheffield (35.5%), UK (31%) |
| Cultural participation | Gap for overall participation in cultural activity between SCR and national average closes. | DCMS Active Lives Survey Variable 'Spent time doing a creative, artistic, theatrical or music activity or a craft' | | Parity with England average | South Yorkshire: 69.7% England: 76.1% Gap of 6.4 p.p |

| | | | | | |
|--|--|---|--|---|--|
| Deprivation | Lower share of local areas in deprivation. | MHCLG Index of Multiple Deprivation (2019) - Proportion of LSOAs in most deprived 10% nationally (converted to %) | | Parity with England average | South Yorkshire has 18.59% areas in 'bottom 10% index'. By definition this is 8.59% higher than average. |
| Out-of-work benefit claimant rate | Lower percentage of people claiming out-of-work benefits | CCO1 Regional Labour Market | | Parity with UK average | South Yorkshire: 5.6% Range: Barnsley (5.1%) – Doncaster (6.2%) UK: 5.0% |
| Connect to jobs | (a) Increasing the number of economically active people living within 30 minutes of key employment locations and universities by public transport. Improving journey times to employment centres. | Talk to transport team about data sources. Note: if these come from Census, better using sources that refresh much more regularly. | | Decrease in journey times relative to 2020 level. | Baseline year to be established. |
| Affordable housing delivery | Increasing number of affordable housing completions | Live Table 1008C | | Increase on 2020 level | Barnsley (228), Doncaster (74), Rotherham (240), Sheffield (207) |
| Net additional dwellings | Increasing number of net new dwellings | Live Table 122 | | Increase on 2020 level | Barnsley (590), Doncaster (761), Rotherham (566), Sheffield (1,850) |

| | | | | | |
|--|------------|--|--|-----|-----|
| Avoidable mortality | Decreasing | Premature preventable deaths – ONS | | TBC | TBC |
| Common mental health disorders | Decreasing | Fingertips – ONS | | TBC | TBC |
| Gross disposable household income | Increasing | ONS | | TBC | TBC |
| Key stage 4 destination measures | Increasing | Higher % sustained education, apprenticeship or employment destination – ONS | | TBC | TBC |
| Apprenticeships and trainees | Increasing | DfE apprenticeships and trainees data | | TBC | TBC |
| NEET | Decreasing | DfE 'NEET and participation' | | TBC | TBC |

South Yorkshire Mayoral Combined Authority

11 Broad Street West
Sheffield
S1 2BQ

0114 220 3400
enquiries@southyorkshire-ca.gov.uk

