



# **NW Coalfield Communities Regeneration Programme Phase 2**

## **“Promoting Enterprise & Reducing Worklessness in Coalfield Communities”**

### **Commissioning Framework**



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## Introduction

The NW Coalfield Communities Regeneration Partnership Board is refreshing its strategic approach to Enterprise and Worklessness and the deployment of the NW Coalfield Communities Regeneration Programme Phase 2 (NWCCRP Phase 2). The Delivery Plan for the NWCCRP Phase 2 Programme will define the overall approach to improving the levels of enterprise and reducing the levels of worklessness in the N W Coalfield Communities by delivering a more localised 'community focused approach' that targets those 'hard to reach' people furthest from the labour market.

The commissioning framework is underpinned by:

- The Delivery Strategy identifies the issues and barriers within coalfield communities and provides a robust evidence base that defines the priority issues;
- An action planning process that will identify interventions that can be commissioned to address the priority issues and achieve the NWDA targets;
- This commissioning framework (based on Wigan Council's Economic Partnership Framework and working in conjunction with the LSPs commissioning proposals) to procure provision for the delivery of the interventions.

The commissioning framework and action plan has been developed to include:

- Identification of needs and priorities
- Consideration of likely interventions and how these may be procured
- Market development and procurement
- Monitoring and evaluation and exit strategy

In developing this work the following needs to have also been considered:

- Recognition that whilst the focus of NWDA is specific, the approach as to how to address the issues should be wider to consider initiatives from all sections of the NWCCRP Structure and external partners.
- Recognition of the potential opportunities to use NWCCRP Phase 2 as match against other funding sources such as Working Neighbourhoods Fund and the recently announced European Programme (ERDF/ESF).
- An acceptance that whilst some individual projects and programmes may have been successful in their own right in the past, the silo approach (for example with Neighbourhood Renewal Fund) has prevented a strategic co-ordinated approach to addressing the key issues facing coalfield communities.

There also needs to be some mutual expectations within the commissioning process.

What NWCCRP Partnership Board/Wigan Council (Accountable Body) will expect from the delivery organisation(s)	Shared expectations	What the delivery organisation(s) should expect from NWCCRP Partnership Board/Wigan Council (Accountable Body)
<ul style="list-style-type: none"> <li>• Quality</li> <li>• Accountability</li> <li>• Reliability</li> <li>• Value for money</li> <li>• Effective management and employment systems</li> <li>• Community involvement</li> <li>• Recognition of support</li> <li>• Engagement in contracts that reflect capacity to deliver service level agreement</li> <li>• Expected targets/outcomes achieved</li> </ul>	<ul style="list-style-type: none"> <li>• Trust</li> <li>• Openness</li> <li>• Transparency</li> <li>• Clarity</li> <li>• Honesty</li> <li>• Flexibility</li> <li>• Effectiveness</li> <li>• Equalities</li> <li>• Commitment to the local community</li> <li>• Standardisation</li> <li>• Knowledge transfer</li> <li>• Desire to achieve priorities, improved targets/outcomes</li> </ul>	<ul style="list-style-type: none"> <li>• Stability</li> <li>• Support</li> <li>• Prompt payment</li> <li>• Consistency</li> <li>• Recognition</li> <li>• Respect for independence</li> <li>• Commitment to local organisations</li> <li>• Feedback on performance</li> <li>• Clear specification about expected targets/outcomes</li> </ul>

*Reference: Knowsley CYPS – commissioning framework (adopted from Tower Hamlets)*

## **Background to N W Coalfield Communities Regeneration Programme**

The NWCCRP is a unique partnership-led approach to the regeneration of former coalfield communities across the North West. Funded through the North West Development Agency (NWDA) and a wide range of other public and private sources, the Phase 1 programme invested over £20 million between 2004 and 2008. This investment delivered activity across targeted coalfield communities in eight local authorities: Allerdale, Bolton, Copeland, Knowsley, Salford, St Helens, Warrington and Wigan. The programme has been developed through the North West Coalfield Communities Campaign (NWCCC), now the North West Alliance, which aims to address deprivation through promoting economic, social and environmental regeneration of former coalfield areas. It aims to narrow the gap in prosperity, and improve the well-being, of those who formerly worked in coalfield areas.

The over-arching aim of the Phase 1 programme was to narrow the gap in prosperity, and improve the well-being, of those former North West coalfield communities. Activity was focused on five key priority themes: Engaged Communities, Competitive Communities, Enterprising Communities, Healthy Communities, and Attractive Communities. Over 35 projects have been funded across the eight local authority areas involving a wide range of delivery partners and strategic stakeholders.

### **Evidence of need within the North West coalfield communities**

Whilst deprivation is not unique to traditional industrial areas and former mining areas, the figures for 2007 underline that there continues to be some real issues of need and high levels of deprivation concentrated in certain neighbourhoods within north west coalfield communities. Overall, the deprivation analysis identifies:

- 22.2% (67 out of 301) SOA's within the north west coalfields areas are within the top 10% deprived in England, with 39.8% (120) in the top 20%;
- education, skills and training domain – 18.9% (57) SOA's within the top 10% most deprived in England, with 40.8% (123) within the top 20% deprived;
- employment domain – 28.9% (87) SOA's within the top 10% most deprived in England, with 52.8% (159) within the top 20% deprived; and,
- income domain – 17.3% (52) SOA's within the top 10% most deprived in England, with 30.2% (91) within the top 20% deprived.

This context provides the rationale for the continuation of focused intervention within the north west coalfield communities to address issues of enterprise and worklessness, building on the success of the Phase 1 programme and complementing and adding value to the initiatives that are being delivered at the regional level.

## The 'new' NWCCR Phase 2

The North West Coalfield Communities Regeneration Phase 2 Programme will focus on promoting enterprise and reducing worklessness in the coalfield areas of the eight targeted local authorities in the North West. The areas of focus have been informed by the "GENECON evidence base study for the development of the NW Coalfield Communities Regeneration Programme (Phase 2)" commissioned by the NW Alliance, and reflect the change of emphasis that has been noted over the last 12 months of the phase 1 programme, with many more projects coming forward linked to the national enterprise and worklessness agendas. The priority areas also reflect the changing focus of the North West Development Agency priorities as detailed within the Regional Economic Strategy. The detail of the project has also been informed by the recent DCLG review of Coalfield programmes and the Joseph Rowntree Foundation report entitled "Coalfields and neighbouring cities: economic regeneration, labour markets and governance"

The NWCCR Phase 2 has been allocated £4,350,000 over 3 years as follows:

2009/10	2010/11	2011/12
£690,000	£1,780,000	£1,880,000

**Table 1 – NW Coalfield Communities Regeneration Programme Phase 2 allocation**

This funding alone cannot deliver the objectives of significantly promoting enterprise and reducing worklessness and building the economic base of the most disadvantaged areas. Key to delivery will be the targets and implementation of activity that local areas agree in consultation with their partners in the private and community and voluntary sectors.

### Mainstreaming

It is just as important to ensure that enterprise and worklessness is being tackled in an integrated mainstream manner, to this end the strategy identifies interventions that can deliver to the North West coalfield communities enterprise and worklessness needs.

All organisations as part of the process should identify what and how activities they are responsible for delivering can be funded and mainstreamed achieving sustainable delivery in the long term.

It is important to remember that enterprise and worklessness is the key issue that needs to be addressed and NWCCR Phase 2 is only one of a series of funds that will be used to deliver the changes required.

## Roles and Responsibilities

The success of a commissioning framework is dependant on strong leadership and clear strategic objectives linked to outcomes that are needed in the North West Coalfield Communities.

The North West Regional Development Agency 2006 has the overall responsibility for the performance of the N W Coalfield Communities Regeneration Programme through the Regional Economic Strategy.

The programme fits with all three of the Regional Economic Strategy's major drivers for growth, **improving productivity and growing the market, conditions for sustainable growth and growing the size and capability of the workforce.**

Under the RES drivers for growth the project will directly contribute towards:

- **Transformational Action 28:** deliver the skills required to maximise the economic impact of key growth opportunities.
- **Action 3:** Ensure that business start-up and survival is targeted at the under-performing sectors of the region.
- **Action 43:** deliver employability activities and reduce the number of people on incapacity benefit.

The programme will improve the employability of residents in coalfield areas and contribute to reducing incapacity benefit claimants and will further promote better community pride and cohesion to enable all sections of the community to benefit from economic growth in targeted coalfield areas.

The **NWCCRP Partnership Board** is the strategic driver for the programme, which will comprise 16 members. This will include eight local authority members – 1 from each participating authority, and a further eight members from sectors representative of the programme i.e. health, business, enterprise, environment and community. The Partnership Board is responsible for overseeing the effective delivery of the Programme. Board Membership will be reviewed annually. The Board provides a strategic and co-ordinated approach for the Programme targeted coalfield areas across the North West and ensures the NWCCRP Partnerships needs and priorities are addressed and continue to be addressed throughout the ongoing development of the Programme. The Board is responsible for producing a programme of initiatives that reflect the needs and aspirations of local people and ensure local, regional and national issues are addressed through the Programme. The Board is also responsible for monitoring, promoting and raising the awareness and profile of the NWCCRP Programme.

The Programme Co-ordinator will be responsible for servicing the Board and preparing reports for the Board. A key part of the Programme Co-ordinator's role is to secure additional funding from other strategic funding bodies by identifying opportunities for joint working and match funding.

The Programme Co-ordinator is located within Wigan Council's Economic Regeneration Office and is able to draw upon the full resources of the department. The Programme Co-ordinator is responsible for liaison with the Board and will also work closely with partner authorities to ensure appropriate support for applicants in developing projects. The Programme Co-ordinator also has key responsibility for liaising with strategic funding partners and identified joint working / matched funding opportunities.

### **NWCCRP Phase 2 Working Group**

The NWCCRP Phase2 Working Group was established under the mandate of NWCCRP Partnership Board. The group's purpose is to provide support and guidance in the development of the NWCCRP Phase 2 programme, specifically the action plan and the framework for commissioning. The group is made up of representation from each of the 8 coalfield local authorities and partners. The terms of reference for the group are at appendix one.

This group will take on the responsibility of commissioning, and making recommendations for approving which commissions deliver the areas of activity.

### **Environmental Services Department**

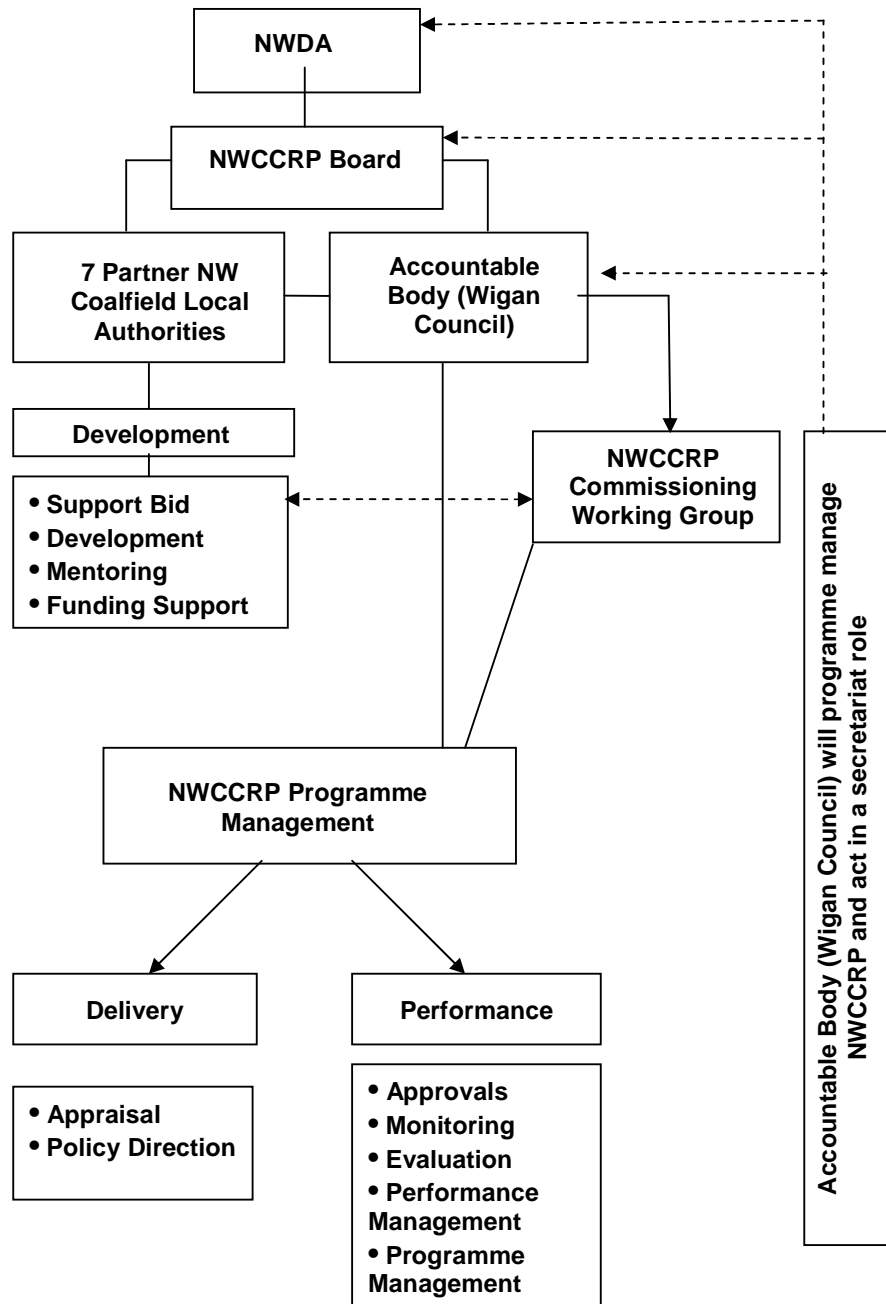
Wigan Council is the accountable body for the Programme and will manage the Programme on behalf of the Board through the Programmes Management Team located within the Council's Environmental Services Department Economic Regeneration Office within the Regeneration and Protection Division. The Economic Regeneration Office has a proven track record of managing successfully the current Phase 1 NW Coalfield Communities Regeneration Programme and major UK government and EU funded regeneration programmes. In order to manage and deliver the programme Wigan Council appointed a dedicated NW Coalfield Communities Regeneration Programme Management Team to manage the Phase 1 programme and this will continue into Phase 2 giving continuity to the programme.

The team comprises of a Programme Co-ordinator, a Monitoring Officer and administrative support. The team is responsible for the effective delivery of the strategic objectives of the Programme including the monitoring of expenditure, outputs and milestones and providing progress reports to the NWDA and the Board. Additional support for the Coalfield Communities Regeneration Programme Management Team will be provided by the Marketing Officer, Communications and Information Officer, Senior Regeneration Officer, Technical Support Officer and Graphic Designer within the Economic Regeneration Office.

A clear structure of support will be established to ensure applicant organisations have the necessary help they need in completing any commission.

Figure 1

Management Structure



The figure 1 overleaf illustrates the management structure that NW Coalfield Communities Regeneration Programme will operate.

## Commissioning Structure and Framework

The commissioning process runs from the initial needs analysis and identification of work to address those needs to the end of delivery and evaluation.

Commissioning is needed to ensure that N W Coalfield Communities Regeneration Programme Phase 2 activities in the targeted coalfield communities are developed which meet the identified needs in a systematic and co-ordinated way, ensuring that services:

- Are appropriate and meet the identified needs;
- Achieve the desired outcomes;
- Are flexible enough to be changed or decommissioned if ineffective.

There are three main approaches to commissioning:

- **full commissioning;**
- **selective commissioning; and**
- **non procurable services.**

Selective commissioning by-passes the stage of the commissioning specification being put out to open competition and instead proceeds straight onto working up an agreement with the pre-selected delivery organisation(s). This option will normally only be chosen because the potential negative impact of pre-selection is significantly out-weighed by the extra value added achieved. This option will also allow NWCCRP Phase 2 to buy-in other mainstream funded activity providing there is a clear demonstration of additionality. It can also allow for specific delivery organisations to be identified who has tried and tested processes and principles. Any support given through selective commissioning will need to follow procurement law; this will need all previous commissioning briefs to have been developed with the flexibility to include additional resources and delivery opportunities for that activity.

Some interventions may not be a procurable service and in these instances direct bidding for grant will need to be considered.

Consideration is currently being given to the options of full commissioning being based around a Panel framework approach, similar to that operated by the North West Development Agency, or whether it is more appropriate for individual commissions based on individual interventions. As this work develops delivery arrangements may need to be amended to reflect the best solutions for the North West coalfield communities.

All procurement requirements for NWCCRP Partnership Board and NWDA will be adhered.

## Commission approaches

The action plan makes recommendations in relation to the priority interventions. The NWCCRP Phase 2 working/commissioning group and the NW Coalfield Communities Partnership Board have approved these approaches for delivery. Each commission approach will be reviewed by the NWCCRP Phase 2 working/commissioning group who will endorse recommendations based on the protocol below:

- Is there an existing provider who already delivers the service demonstrating value for money?
- Is this an area of activity that is a non-procurable service?
- Is this an innovative approach that is only being delivered in other areas of the country by specific delivery organisations that could be of benefit to North West coalfield communities?
- Is there mainstream provision that would align and add further value to the areas of activity?
- Is this activity already being commissioned by one of our partners who have a flexible enough commission brief that allows this area of activity to buy-in further support?
- Is there adequate consultation with the local coalfield community and ward members? (NWCCRP Board Members will not take part in this process due to conflicts of interest as members will be approving activity and commissions. Although members can act in an advisory role while activity is being developed with the Local Authority Officers.)

Figure 2

Commissioning Framework

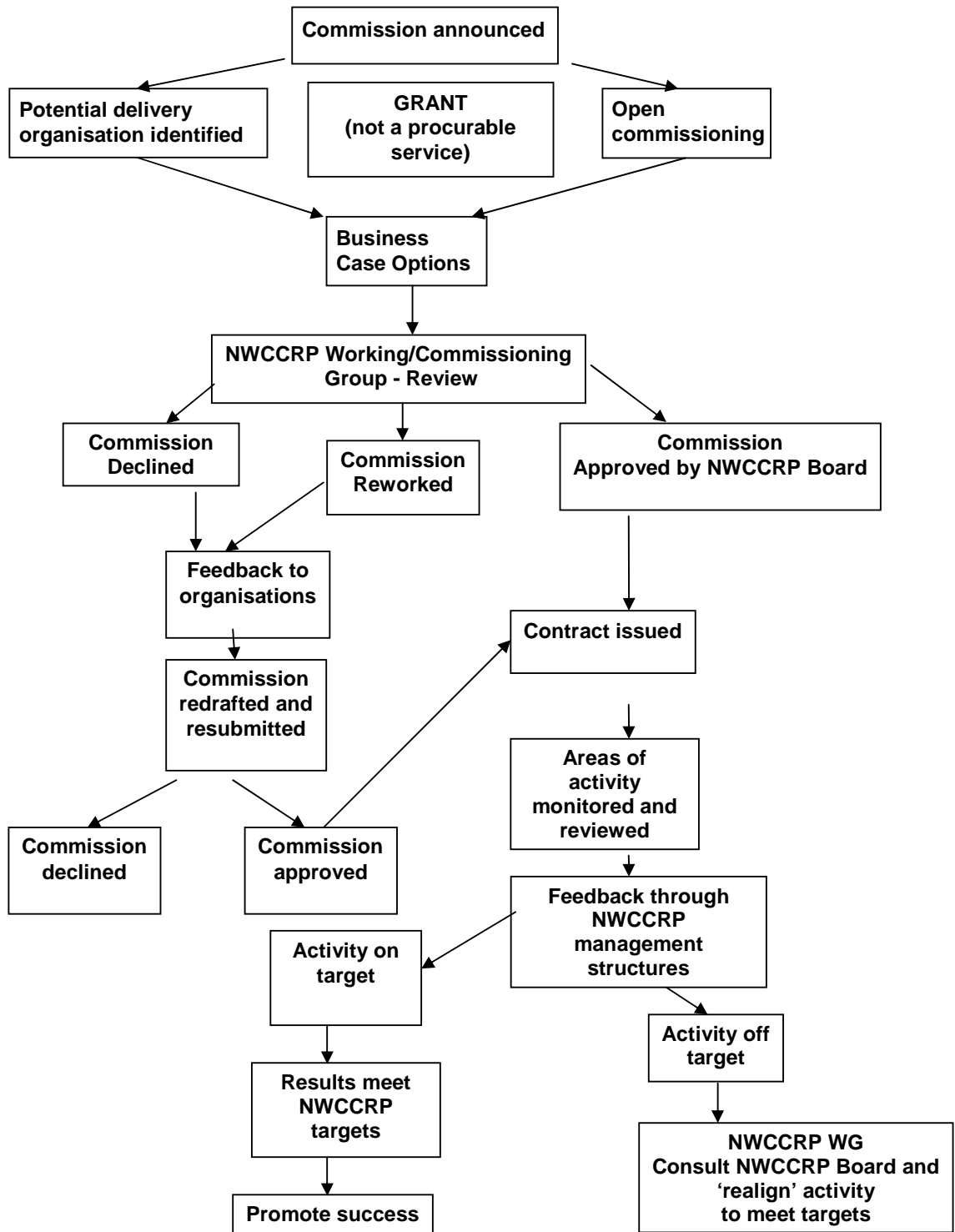


Figure 2 outlines the commissioning framework for delivery of NWCCRP Phase 2:

## Threshold levels

To ensure that there is a clear framework for procurement Wigan Council's top level procurement process map will be implemented. This follows the requirements of the Official European Journal process and conforms with procurements laws.

### Less than £5,000

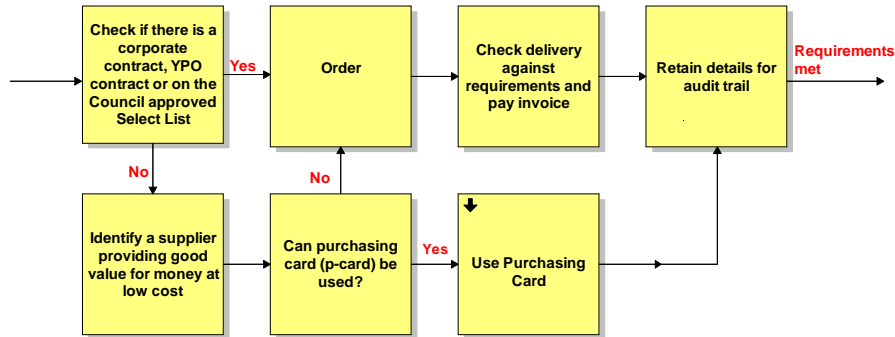


Figure 3- Wigan Council's procurement process for less than £5,000

## Procurement at Wigan Council

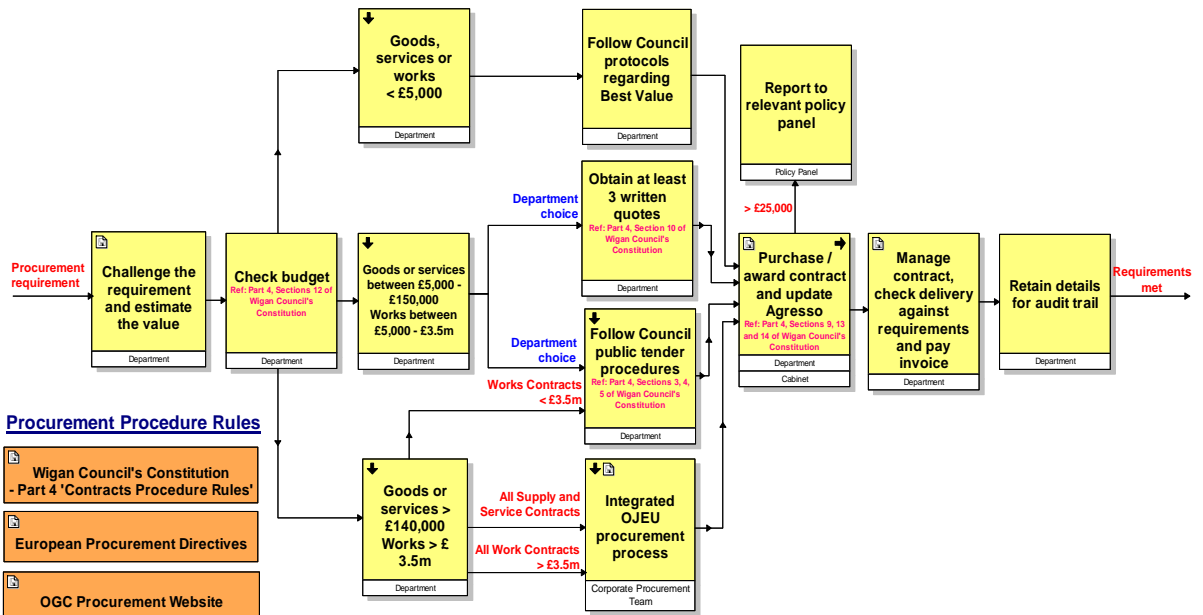


Figure 4 – Wigan Council's procurement process for greater than £5,000

## Definition of Contract Category

### Works

Works contracts are contracts for the carrying out of civil engineering or building works or under which such facilities are provided to meet specific user requirements.

Work concession contracts are works contracts under which the consideration given by a public authority consists of or includes the right to exploit the work or works to be carried out under the contract.

Subsidised works contracts are works contracts to be awarded by a body other than a public authority for certain types of works where a public authority contributes more than half the cost.

Apart from the standard exclusions (e.g. secret project) there are no general exclusions from the regulations.

### Supplies

Supply contracts are contracts for the purchase, lease, rental or hire of goods (including any siting or installation requirements).

Apart from the standard exclusions (e.g. secret project) there are no general exclusions from the regulations.

### Services

Service contracts are contracts under which the purchaser engages with a contractor (service provider) to provide a service. Contracts not already covered in the works and supply regulations are swept up by the service regulations, with limited exceptions.

There are two categories **Part A** services and **Part B** services:

- **Part A Services** – Full application, regulations apply in full.
  - Maintenance and repair of vehicles and equipment services
  - Land transport services
  - Air transport services
  - Transport of mail by air and by land
  - Telecommunication services
  - Financial services including insurance and investment services
  - Computer related services

- Research and Development services
- Accounting, auditing and book keeping services
- Market research and public opinion polling services
- Management consultant services and related services
- Architectural, engineering, planning and related scientific and technical consulting services
- Advertising services
- Building cleaning services and property management services
- Printing and publishing services

Sewage and refuse disposal services, sanitation and similar services

**Part A Services** are referred to as “priority services” and must be awarded in accordance with the provisions of the regulations.

**Part B Services** – Partial Application, only subject to the requirements of the regulations applying to technical specifications and post award information.

- Hotel and restaurant services
- Rail transport services
- Water transport services
- Supporting and auxiliary transport services
- Legal services
- Personnel placement and supply services
- Investigation and security services
- Education and vocational educational services
- Health and social services
- Recreational, cultural and sporting services
- Other services

**Part B Services** are referred to as “residual services” and only the provisions covering technical specifications and contract award notices apply to Part B services.



## **Eligibility**

There are two principles around eligibility, the communities in need and the organisations who can offer the required support.

Communities in need – enterprise and worklessness analysis has illustrated that there are specific target areas that need intervention. There are 22.2% (67 out of 301) SOA's within the north west coalfields areas are within the top 10% deprived in England, with 39.8% (120) in the top 20%. However there are pockets outside of the SOA's that also demonstrate that additional support is needed. The NWCCRP eligible areas are ward based and identified within the phase 1 programme, it is recognised that SOA's within ward boundaries will be the focus of activity although the whole coalfield ward is eligible. The eligible coalfield wards are attached at appendix 2.

In the action plan enterprise and worklessness evidence there is further clarification on communities in need, specifically relating to interventions required. As there is recognition that not all communities in need will require all interventions.

Organisations - A key consideration is who is eligible to respond to commissioning opportunities. Variables that will be considered in determining eligibility are:

- Sectors - public, private, voluntary and community
- Status - charitable, incorporated with constitution
- Track record - experience of delivery of similar projects
- Accounts - level of funding previously managed
- Quality standards - IIP, etc.
- Project management experience
- Structure and staffing

It is important that through the process communities and organisations are not excluded. If collaborative, partnership or consortia proposals are presented then clearly the lead partner will be the one that will be assessed against eligibility as they will be the organisation taking collective responsibility for performance.

## **Project specification**

All activities commissioned should:

- Demonstrate a clear link between the activity and the identified national targets specific to worklessness and those additional ones identified that support the focus on reducing worklessness and increasing enterprise activity/area of work;
- Demonstrate clear thinking about the process of how the activity/area of work will achieve measurable impact on the gap;

- Be strategic – so that resources are targeted towards meeting the priorities of the strategy;
- Be realistic and based on evidence of what has worked elsewhere, or if a new initiative, then present strong research or evidence as to why the new approach will be successful;
- Have a measurable impact – so that the effect of specific interventions are clear at each stage of the activity/area of work;
- Empower people involving them in both the design and delivery of the activity/area of work;
- Be preventative wherever possible;
- Be capable of being mainstreamed;
- Identify good practise issues that can be sustained past the life of the original activity/area of work;
- If possible, be multi-agency so that there are a range of organisations each targeting one or more of the underlying issues but working together in a clear, accountable and structured organisational framework;
- Have a robust management approach with accountability, monitoring and reporting roles clearly defined;
- Emphasis should be on qualitative and sustainable rather than high volume outcomes, with recognition that specialist skills will be needed to achieve this. Specifically, the focus should be on the hard to reach and severely disadvantaged groups within the area of deprivation
- Additional funding sources whether organisations own or other external funding.

It is recommended that:

- No additional staff to be appointed on temporary contracts without detailed appraisal and confirmation of suitable exit plans;
- Resources can be allocated to mainstream services only where this helps to support changes in long term mainstream service or activity in the target neighbourhoods.
- Resources can be awarded on a performance related basis where this is felt to be appropriate to the service and agencies involved.

Attached at appendix 3 is the template that organisations will be asked to complete when tendering for work.

## **Appraisal**

Initiatives brought forward through a commissioning process should be subject to appraisal in the same way as non-commissioned initiatives. NWCCRP Phase 2 commissioned activity will be assessed against the following criteria:

- Strategy – links to targets, priorities and outcomes;
- Analysis – has an analytical approach been followed to problem solving;

- Good practice – is the commission based on good practice
- Impact – will the proposal target specific disadvantaged communities and will it compliment existing activity;
- Measurement – are the outcomes and outputs challenging, realistic and achievable;
- Management – does the delivery organisation have sufficient capacity, appropriate systems in place, etc;
- Value – does the proposal show value for money and is there a exit/forward strategy;
- Partnership working – identified and established partnership working is embedded into the process and delivery;
- Funding including match funding – consideration has been given to other funding sources to bring maximum benefit;
- Engagement – involvement of local people;
- Risk – identified and established ways of managing;
- Exit strategy – clear forward/legacy strategy.

Recommendations from this assessment will be presented to the NWCCRP Phase 2 Working/Commissioning Group for consideration. The group may request further information or clarification prior to making a final recommendation to the NWCCRP Partnership Board. This may be in the form of additional supporting information in writing or in the form of a panel interview.

### **Approvals and contracting**

Once the NWCCRP Phase 2 Working/Commissioning Group has made its recommendations on delivery, those recommendations will be presented to a meeting of NWCCRP Partnership Board. Organisations will be formally notified of NWCCRP Partnership Board decision shortly after the meeting.

Should NWCCRP Partnership Board not approve a recommendation of the NWCCRP Phase 2 Working Group and select another organisation, then NWCCRP Partnership Board decision will override the NWCCRP Phase 2 Working Group. Should NWCCRP Partnership Board not approve a recommendation of the NWCCRP Phase 2 Working Group, and not select an alternative, then the NWCCRP Phase 2 Working Group will repeat the process of identifying suitable organisations again for the activity/area of work.

Once commissions have been approved Service Level Agreements (SLA) will be issued. Each service level agreement will contain information relating to the following:

- Nature of provision;
- Activity outcomes;
- Activity outputs and targets;
- Specific conditions attached to the approval of funding;
- Duration of agreement;
- Payment arrangements;

- Statement of grant arrangements;
- Progress reporting;
- Grant accounting requirements;
- Eligible expenditure (specifically as NWCCRP Phase 2 programme is a revenue (with a small capital element) based allocation);
- Publicity;
- Specific legislation requirements;
- Breach of conditions and recovery of grant requirements;

These details have to be adhered to, specifically timescales set to ensure effective reporting to all structures through the NWCCRP Phase 2 programme period.

Attached at appendix 4 is a draft SLA

### **Publicity and promotion**

Any approved commission must ensure that publicity is given to North West Development Agency and the NW Coalfield Communities Regeneration Programme by making reference to the assistance offered. Projects should seek to incorporate NWDA logo and the NWCCRP logo in any information on the services/activities that have been supported.

A NWCCRP Phase 2 web page is being created that will contain information relevant to NWCCRP Phase 2 Programme. The web page will also publicise all commissioned activity, together with relevant meeting documentation at which consideration and approvals have been made.

This is a tool for all and any relevant web links can be added to this page to ensure that anyone accessing the site can obtain a wide spectrum of information on NWCCRP Phase 2 Programme.

## Value for Money

Value for Money (VfM) is the term used to assess whether or not maximum benefit has been obtained from the resources invested in a scheme, service or project.

Some elements of VfM may be subjective, difficult to measure, intangible and misunderstood. Judgement is therefore required when considering whether VfM has been satisfactorily achieved or not. It not only measures the costs of the goods or services, but also takes account of the mix of quality, cost, resource used, fit for purpose, customer satisfaction, timeliness and convenience to judge whether or not, when taken together, they constitute good value.

Other factors such as wider social (including local priorities, equity and access to services) and environmental impact, long term costs and benefits may also be relevant informing a VfM conclusion.

Overall, achieving VfM may be described in terms of the 'three Es' - economy, efficiency and effectiveness:

- **Economy.** Improving the price(s) paid for what goes into providing a service, whether on a unit costs basis or “whole life” costs, using the most appropriate measurers to demonstrate costs are known and managed. Doing less with fewer resources, i.e. making savings.
- **Efficiency.** Improving productivity e.g. doing the same as before, but with fewer resources (money, staff, space). Or, doing more than before with the same resources as now (or less).
- **Effectiveness.** Is a measure of the impact achieved and can be qualitative or quantitative.

When assessing VfM these principles have to be considered.

Value for money through WNF will be demonstrated in relation to:

- (a) total project costs
- (b) total gross public sector cost
- (c) programme specific funding
- (d) outcome

If the targets/outputs of the area of activity does not have any comparator VFM figures from a national, regional or local level, the organisation commissioned must fully justify how the project represents VFM. The amount of information provided will need to be detailed and will be subject to appraisal. Development of relevant performance based data as the project progresses will assist in maintaining accountability.

National and regional evidence can be used to demonstrate the under provision of the area of activity being provided or the applicant can relate to evidence of need / demand for the project through consultation processes.

There needs to be a clear decision in relation to value for money as to whether it is increased numbers that is the key or whether it is the quality of the provision with long term sustainable end results.

The evaluation will help assess value for money in terms of qualitative measures.

### **Risk Assessment**

The nature of some organisations that may be commissioned to undertake areas of activity will inherently have risk associated with them. Risk assessments will need to be identified to ensure all delivery organisations have the same opportunities.

<b>Risk Matrix</b>	<b>Project Idea</b>	
<b>Applicant Organisation</b>	<b>Proven</b>	<b>Innovative</b>
Established	Low risk	Medium risk
New	Medium risk	High risk

**Table 2 – Risk Matrix**

Table 2 illustrates the risk matrix that will be used to identify any organisation requiring project development support.

Third sector organisations may not have the financial capacity to deliver interventions without consideration being given to financial support upfront. As part of the risk assessment process an analysis will need to be completed on financial capability on each third sector organisation to ensure provision where necessary is made.

### **Benchmarks**

The process of establishing benchmarks will be a continuous process informed through continuous monitoring and evaluation, data from previous projects and standard national comparator figures. Current established benchmark figures include:

Achievement of a skills for life qualification	£1,000 per learner
Achievement of a Level 2 Qualification	£1,400 to £2,000 dependent on subject

Achievement of a Level 3 Qualification	£1,800 to £2,800 dependent on subject
Assisting somebody currently claiming Incapacity Benefit to return to work	£2,200
Generic business start up	£2,000
Business start up and support for disaffected young people	£4,000

Source: Skills – Learning and Skills Council; Benefits – Department for Works and Pensions; Business Starts – evaluation calculation from ERDF activities.

**Table 3 - VFM Benchmarks**

Benchmark data will be reviewed on a quarterly cycle to ensure that the most up-to-date analysis is used through the process. This will enable trends to be identified quickly and solutions to remediate presented prior to being commissioned.

## **Targets**

Funding alone cannot deliver the objectives of significantly reducing worklessness and raising enterprise and building the economic base of the most disadvantaged areas. Key to delivery are the targets and implementation plans that local areas agree in consultation with their partners in the private, community and voluntary sectors.

The NW Coalfield Communities Regeneration Programme Phase 2 has currently been set the following NWDA targets to illustrate improvements to worklessness and enterprise indicators, these cannot be considered alone. Specific additional targets have been identified to demonstrate how these have contributed to the delivery of NWDA targets.

## Outputs

Please quantify what the project will deliver over its life. Before completing these tables please refer to full definitions in the Technical Notes.

**Table 1: Gross Outputs:**

<b>NWCCRP Phase 2 Outputs</b>	<b>Headline Output Totals</b>	<b>2009/10</b>	<b>2010/11</b>	<b>2011/12</b>	<b>Total</b>
<b>People helped to secure employment, education or training</b>	<b>780</b>				
NEET – People Helped (employment/education/training)		60	340	380	<b>780</b>
NEET 1 - JSA/Income Support claimants assisted		9	55	63	<b>127</b>
NEET 2 - Incapacity Benefit claimants assisted		9	55	63	<b>127</b>
NEET 3 - Others assisted		9	55	63	<b>127</b>
NEET 4 - No of people securing employment		5	15	20	<b>40</b>
NEET 5 - No of people securing education		14	80	86	<b>180</b>
NEET 6 - No of people securing training		14	80	85	<b>179</b>
		60	340	380	780
<b>People assisted in their skills development</b>	<b>780</b>				
S/T – Skills Development (by learning type)					
Basic Skills		7	65	65	<b>137</b>
Level 2 Qualification		7	65	65	<b>137</b>
Level 3 Qualification		4	10	11	<b>25</b>
Work Based Training		7	65	65	<b>137</b>
Apprenticeships		4	15	16	<b>35</b>
Enterprise Skills		7	35	45	<b>87</b>
Leadership & Management		6	35	45	<b>86</b>
Economically inactive completing vocational training		6	65	65	<b>136</b>
		48	355	377	780
S/SEC – Skills Development (by sector)					

<b>Number of Businesses Assisted</b>	<b>35</b>				
Business Assisted by (Type)					
Business Assists SME	2	4	6	<b>12</b>	
Business Assists Social Enterprise	1	4	5	<b>10</b>	
Business Assists Other Companies	2	5	6	<b>13</b>	
Business Assisted (by Sector)					
Business Assists Other	2	5	7	<b>14</b>	
Business Assists Retail	2	6	8	<b>16</b>	
Business Assists Food	1	2	2	<b>5</b>	
Business Assisted (Depth of Assistance)					
Business Assisted by Intermediate Assistance	5	13	17	<b>35</b>	
Business Assisted (by Support Product)				<b>0</b>	
Business Assists Skills	3	7	9	<b>19</b>	
Business Assists Inovative Finance	2	6	8	<b>16</b>	
<b>£m of public and private leverage</b>	<b>2,500,000</b>				
£ Public	<b>2,000,000</b>	400000	700000	900000	<b>2000000</b>
£ Private	<b>500,000</b>	50000	200000	250000	<b>500000</b>
Number of Referrals to Business Link / Business Start Up Project	<b>250</b>	30	100	120	<b>250</b>
Number of referrals to Job Centre Plus activity	<b>250</b>	30	100	120	<b>250</b>

## **Monitoring and Evaluation**

### **Monitoring**

To ensure effective management and monitoring of NWCCRP Phase 2 programme the following processes will be implemented based on the criteria below:

- There will be minimal flexibility in financial details as provided in the service level agreement. Carry over from one year to the next will not be readily acceptable.
- Over claiming is not acceptable.
- All projects must receive at least one monitoring/verification visit per year.
- Projects must provide targets through the life of the project; slippage will not be readily acceptable.
- Projects should submit quarterly claims with full breakdown of costs and targets.
- Mandatory quarterly progress reports.
- Maintenance of clear audit trails.
- On-going evaluation.
- Training for representatives from commissioned organisations.

### **How the criteria will be implemented**

#### 1. Pre-service level agreement meeting

Representatives from all organisations delivering a commission will be invited to attend and initial meeting prior to the SLA being issued. This will ensure all organisations have been given the opportunity to receive clear advice on:

- How to monitor performance of expenditure and targets;
- How to maintain suitable information to record expenditure and targets;
- Requirement to keep acceptable evidence to verify expenditure and targets.

Particular emphasis will be placed on the spreadsheets; these will form the basis of quarterly monitoring reports.

At the meeting the representative will be issued with a guidance pack which will include:

- Sample service level agreement
- Blank monitoring sheet
- Description of targets/outputs/outcomes
- Blank annual profile
- Details of relevant logos
- Blank asset register form
- Sample verification visit proforma
- Written summary proforma
- Contact list

## 2. Monitoring

All claims received will be checked for arithmetical accuracy and to identify underperformance against approved expenditure and output targets. Monitoring sheets will be used to monitor project performance towards achieving approved expenditure, including match funding and outputs as detailed in the service level agreement.

All projects will be required to provide a breakdown of expenditure and outputs with each monitoring return. This will ensure projects maintain up to date records of expenditure and targets on a regular basis.

## 3. Monitoring visits

All projects will be visited at least once a year.

A schedule and record of visits will be maintained to ensure implementation and continuity.

Projects identified through the quarterly monitoring returns as under-performing will be prioritised for additional monitoring visits. This will allow problems to be identified at an early stage and corrective action taken.

A "project monitoring visit form" will be completed during the visit. Recommendations and actions to be taken will be noted on the form. The form will be signed and dated by monitoring officer and project officer. This information will also be used to update on progress.

Monitoring visits will specifically

- Check the effectiveness of management and monitoring systems in place within each organisation - the project's management and monitoring systems must demonstrate that a clear audit trail exists.
- Check expenditure (including match funding) has been defrayed and evidence exists to verify expenditure and outputs.
- Check all expenditure and beneficiaries assisted are eligible.
- Identify possible shortfalls in either expenditure or targets.
- Ensure there is sufficient amount of match funding available.
- Ensure projects acknowledge North West Regional Development Agency and North West Coalfield Communities Regeneration Programme.

The procedure for monitoring is illustrated at appendix 5.

## Evaluation

Evaluation is critical and clear parameters will need to be implemented from day one of approvals so that evaluations can help in the way improvements can be made and to inform future support. There needs to be two forms of evaluation, commissioned activity and the process itself.

## **Evaluation of commissioned activity**

Evaluations of commissioned activity should consider the following aspects:

- Whether there is continued need for the area of activity being evaluated?
- What has worked well/not well and why?
- What are the implications for future design and delivery of the area of activity?
- What good practice is there from elsewhere that may inform the future design and delivering of the area of activity?
- Are there broader lessons that should be shared with a range of people within the NWCCRP structures and with other partners?

The primary objectives of any evaluation should be to:

- Provide robust evidence on the impact of the area of activity (both direct and strategic activities), assessing how they have contributed to key target outcomes that would not otherwise have been achieved;
- Determining how far the area of activity has achieved its objectives to date and what implications this has for the future conduct of the activity;
- Identify the lessons from the area of activity for wider dissemination and, in particular, the future focus of the area of activity, stakeholder roles, on-going monitoring and final evaluation.

The secondary objectives are to understand what continued need there is for the area of activity and identify relevant good practice from elsewhere to inform any father support.

## **Evaluation of the commissioning process**

The evaluation of the commissioning process is just as important as the areas of activity supported. This is why the following questions will be asked of the process from day one to ensure any corrective action can be taken as necessary:

1. Did the process generate activities that met the NWCCRP objectives?
2. Did the commission specifications accurately reflect the intentions behind the areas of activity?
3. Did the commission specifications effectively communicate these intentions to potential applicant organisations?
4. Were the organisations commissioned to deliver reflective of the target communities?
5. Did the activities commissioned reflect the commissioned specifications?
6. Did commissioned activities achieve the intended targets/outcomes?
7. Did the commissioning process adhere to the specified timetable?

There is no right or wrong way to do evaluations; however, independent overview is essential. This allows for clear impartiality in any findings and that the evaluation presents the correct position.

The Economic Regeneration Office has produced an evaluation toolkit in support of previous regeneration programme activity. This toolkit will be made available to all commissioned organisations.

Evaluation is an area of activity that will be commissioned and is detailed in the action plan.

## **Timetable/Timescales**

To ensure that the introduction and implementation of the commissioning process has direction of series of timescales will be identified with key dates.

Round 1 Open Commissions published 26 June 2009

Round 2 Open Commissions published 18 September 2009

This cycle would continue as required each financial year until 2011. A rolling programme of commissions will also take place until March 2012.

## Contact Details

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## **NWCCRP Phase 2 Working Group Terms of Reference**

### **Introduction**

The NWCCRP Phase 2 Working Group was established under the mandate of the NWCCRP Partnership Board. Its purpose is to provide support and guidance in the development of NWCCRP Phase 2 programme to address the key issues of high levels of worklessness, low skill levels and low levels of enterprise.

The purpose of this document is to define clear guidelines about the way in which the Group will work and operate. It is intended to be used a reference for current Group Members and in particular sets out the principles of how they should conduct the business of the Group.

### **Terms of reference**

#### **Group values and beliefs**

The Group will adhere to a common set of values:

- Equal rights and equal responsibilities.
- Commitments to equality of opportunity for all people, regardless of race, age, disability, gender, sexual orientation or religion.
- All Group Members are accountable for their actions. All actions must work to core principles of fairness, integrity, objectivity, openness, honesty and leadership.
- Effective communication and collaboration between all levels of the voluntary, public and private sectors. This will be achieved through more effective sharing of information and through learning from action.
- Recognition of the added value that all sectors will achieve by working together.
- Ensure that all partners and the wider community are fully engaged in, and feel ownership of the NWCCRP Phase 2 Programme.
- Include basic principles such as equity and openness.
- The Group is a non-political body.
- Wherever possible, decisions are to be reached on the basis of consensus. Minority views will be sympathetically considered but following full discussion should not prevail over the majority.

#### **Group responsibilities**

The Group will work within the structure of the NWCCRP Partnership Board to support the development of NWCCRP Phase 2 Programme. The Groups specific responsibilities will include:

- Provide support and guidance on the NWCCRP Phase 2 Programme through constructive feedback.
- Provide support and guidance on the action planning process through constructive feedback on identified activity.
- Provide support and guidance on the development of the Commissioning Framework through constructive feedback.
- Provide support and guidance on developing commissioning briefs.
- To actively contribute to the creation of documents as required.
- The Programme coordinator will complete an initial eligibility appraisal checklist on commission applications received.
- Officers nominated by each coalfield partner local authority area will appraise each commission application received against eligible NWCCRP programme criteria. To ensure appraisals are objective no officer will appraise a project from within their own geographical area. Recommendations will then be made to the NWCCRP Partnership Board.

The Group will not have final sign off authority for the NWCCRP Phase 2 Programme documents and commissions; this will remain within the NWCCRP Partnership Board.

## **Group Membership**

### **Principles of membership**

The number of members within Group will balance the need to be inclusive and open for a wide number of partners with the need to remain small enough to provide effective leadership and decision making. It is recognised that the membership of the Group will include people from different organisations and backgrounds. It is also recognised that members will bring to the Group their own individual expertise and agendas from their organisations. However, it is expected that the Group will work collectively towards the common goal of supporting the development of the NWCCRP Phase 2 Programme.

### **Membership:**

- Membership will consist of Programme Coordinator and one Officer from each of the eight partner Local Authorities.

### **Qualities of membership:**

- Members should have a commitment to improving the NW coalfield communities as a place for people to live and work.
- Members should have a commitment to the purpose of the Group.
- Appointments to the Group need to balance the individuals' ability to contribute with the requirement that key partners and sectors need to be represented and involved.

- Individual members should ideally be senior representatives from key partner organisations or sectors.
- Members should have the authority to represent their organisation or sector.

#### **Responsibilities of membership:**

- Where appropriate, members should ideally represent their sector or network, and not their specific organisation.
- Members should collectively act in the interests of the wider coalfield Communities.
- To relay and explain the decisions of the Group within their organisation, sector or network.

#### **Substitute members**

If a Group Member is unable to attend a meeting then a stand in representative may attend. However, this should be avoided if at all possible to ensure continuity of work.

#### **Group meetings**

The Group meetings are the principle mechanism for conducting the business of the NWCCRP Phase 2 Working Group. Some business may be undertaken using e-mail.

#### **Meeting schedule**

A meeting schedule will be put in place. Meetings will be on a quarterly basis. Once the work and NWCCRP Phase 2 programme has been completed, the Group will disband.

#### **Meeting agenda and notes**

The meeting agenda and papers will normally be circulated at least a week in advance. In preference to formal minutes, notes and action points will be taken at the meeting, and normally circulated within two weeks.

#### **Confidential information disclosure**

The Group has a responsibility to effectively communicate both internally and externally. By default, all Group discussions/decisions/information are deemed suitable for public disclosure and meeting notes and information relating to the business of the Group will be publically available. However, it is recognised that in certain circumstances (e.g. commercial sensitivity), Group business may be considered confidential. It is important that any such requests for confidentiality are clearly communicated within the Group to ensure that publicly available notes or information reflect such requests.

#### **Group Code of Conduct**

The Group will maintain and promote the highest standards of conduct and integrity. Each member of the Group agrees to abide by the principles contained within the following Code of Conduct:

### **Declaration of prejudicial interests**

Members must declare to the Chairperson any prejudicial interest in a matter under consideration by the Group. Prejudicial interests include matters which a member of the public may consider likely to influence that Member's judgement. The Chairperson may use their judgement, or seek the consensus of the meeting, to decide the most appropriate action, including:

- Requesting the Member to withdraw from the meeting
- Allowing the Member to remain in the meeting as an observer, authorised to speak on request.
- Allowing the Member to fully participate in the meeting, but with the prejudicial interest formally noted.

### **Declaration of personal interests**

Members must declare to the Chairperson, any personal interest in a matter under consideration by the Group. Personal interests include Group matters that may affect:

- The Member personally
- Relatives of the Member
- An organisation employing the Member or their relatives
- An organisation in which the Member or their relatives have a financial interest.

Involvement in the affairs of another public sector organisation or voluntary association by a member of the Group is not automatically construed as an interest.

The Chairperson may use his judgement, or seek the consensus of the meeting, to decide the most appropriate action, including:

- Request the Member to withdraw from the meeting
- Allow the Member to remain in the meeting as an observer, authorised to speak on request.
- Allow the Member to fully participate in the meeting, but with the personal interest formally noted.

### **Interests in other organisations**

Members are required to provide information about any involvement in a public organisation which may be in conflict with the interests of the Group. A public register of such outside interests will be maintained by Wigan Council's (accountable body) Economic Regeneration Office (ERO) under the supervision of the Chairperson.

Members should notify the Chairperson of membership of any organisation that is not open to the public, and which has secrecy about its rules of membership or conduct. Such membership need not be declared on the register.

See Appendix 2 for the Declaration of Interest Form.

### **Equality**

All members, and any person with whom the partnership has a working relationship, have the right to be treated with fairness, equity and without discrimination or harassment. This right is irrespective of their age, gender, race, religion, colour, marital status, sexuality, or any disability.

Group members must promote equality by:

- Not discriminating unlawfully against any person
- Treating others with respect
- Not doing anything which may compromise the impartiality of those who work for or on behalf of the Group.

### **Respect for confidentiality**

The Group may from time to time receive information from its members and make decisions on confidential matters. Members must not disclose such confidential information to any parties outside the Partnership, unless authorised consent has been given by the originator of the information.

Members should not prevent an individual from gaining access to information to which that person has a legal entitlement. (Advice on this matter can be provided upon request).

### **Disrepute**

Members must not conduct themselves in any way that might be reasonably regarded as likely to bring the Group into disrepute. Members must not use their position on the Group to secure personal advantage for themselves or any other individual. Members should take notice of advice given by relevant officers of the Council, Police and other similar bodies together with other guidance from the Local Authority or other statutory bodies.

### **Gifts, favours and hospitality**

When representing the Group, members should not accept personal gifts, favours or hospitality from any organisation seeking a commercial relationship or advantage with the Group, partner organisation or any other organisation represented within the NWCCRP Partnership Board.

### **Contravention of the Code of Conduct**

Group members have a duty to report any contravention of this Code of Conduct directly to the Chairperson.

## **Principles of Community Cohesion**

### **Valuing people in neighbourhoods**

Wigan Borough is made up of many different communities. Some are small neighbourhoods with a strong history. Some are newer and include people of different race, religion and background. All of them are important. NWCCRP Partnership Board recognises that the strength and vitality of the coalfield

communities. we are therefore committed to making the most of what we have locally, encouraging people to feel part of where they live and to contribute to the everyday life and well being of the area. Our principles are:

- We recognise and value what people can contribute because of their different backgrounds and circumstances.
- We support a common vision and want to see all the different communities in the Borough working towards common goals.
- We want to make sure that strong and positive relationships are developed between people of different backgrounds, in the workplace, in our schools and in our neighbourhoods.
- We want to develop a common attitude of zero tolerance of racism and discrimination, making sure that everyone has similar life opportunities.
- We believe that we need to focus our work towards young people to build awareness and tolerance throughout our communities.

## Declaration of Interests form

## Appendix 2

The NWCCRP Phase 2 Working Group is part of the NWCCRP Partnership Board structure. It is important that any outside activity of individual members does not conflict with the interests of this Partnership. The Group has adopted a code of conduct to help provide guidance on avoiding conflicts of interest. Group members should complete this form to record their potential conflicts of interest. In case of doubt members should seek advice from the Chairperson or the Accountable Bodies Economic Regeneration Office. This information will be subject to public disclosure.

I, the undersigned wish to declare that I have the following potential conflict of interest(s) in respect of a business, company, organisation, contract or other matters outside the Group and NWCCRP Partnership Board:

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Signed: \_\_\_\_\_

Print Name: \_\_\_\_\_

Organisation / Role \_\_\_\_\_

Date: \_\_\_\_\_

Counter Signed: \_\_\_\_\_

Print Name: \_\_\_\_\_

Organisation / Role; \_\_\_\_\_

Date: \_\_\_\_\_

## Appendix Three

### Communities in Need

#### NWCCRP Phase 2 Eligible Coalfield Communities

<b><i>District/ Local Authority</i></b>	<b>Eligible Wards</b>
<b>Allerdale</b>	Dearham, Ewanrigg, Flimby, Clifton, Northside, Salterbeck, Westfield
<b>Bolton</b>	Farnworth, Kearsley
<b>Copeland</b>	Cleator Moor North, Distington, Howgate, Bransty, Kells, Harbour, Hensingham, Mirehouse West, Mirehouse East, Sandwith
<b>Knowsley</b>	Whiston South
<b>Salford</b>	Little Hulton, Pendlebury, <b>North Swinton</b>
<b>St Helens</b>	Newton West, Billinge and Seneley Green, Broad Oak, Marshalls Cross, Newton East, Parr and Hardshaw, Sutton and Bold, Thatto Heath, West Sutton, Blackbrook, Rainhill, Haydock
<b>Warrington</b>	Burtonwood and Winwick, Bewsey and Whitecross, Poplars, Fairfield and Howley, Poulton North, Orford
<b>Wigan</b>	<p>Abram (<i>Bickershaw</i>), Ashton (<i>Stubshaw Cross</i>), Astley Mosley Common (<i>Mosley Common</i>), Atherleigh (<i>Howe Bridge</i>), Bryn (<i>Landgate</i>), Golborne &amp; Lowton West (<i>Golborne</i>), Hindley (<i>Hindley Town Centre/Castle Hill</i>), Leigh East (<i>Higher Folds</i>), Leigh West (<i>Plank Lane</i>), Tyldesley (<i>Shakerley</i>)</p> <p>The areas in brackets in italics, reflect the direct beneficiary communities. Project activity must be delivered within these communities or if the activity takes place outside of these communities the grant can only be used to support the costs of residents from the beneficiary communities participating in the activity.</p>

## Project Specification

Please e-mail completed application form to [s.hurst@wigan.gov.uk](mailto:s.hurst@wigan.gov.uk) by ..... Alternatively, please ensure two printed copies are delivered by 5-00 pm on ..... to the reception of:

Wigan Council  
Environmental Services Department  
Regeneration & Protection Division  
Economic Regeneration Office  
Gateway House  
Standishgate  
WIGAN  
WN1 1AE - marked clearly For the Attention of Stuart Hurst

Due to our tendering regulations, extensions to submission deadlines can not be permitted. It is the applicant's responsibility to ensure that project specifications are delivered to the reception desk of the Economic Regeneration Office by the deadline, using the correct paperwork and applying for the correct activity/area of work. No changes can be made to a project specification once this deadline has passed.

Receipt of project specifications will formally be acknowledge within one week of the deadline (by email wherever possible), so if you have not received confirmation by **(insert date)**, you should contact Stuart Hurst on 01942 828975 ([s.hurst@wigan.gov.uk](mailto:s.hurst@wigan.gov.uk) ). You are advised to obtain proof of delivery of project specifications as only in cases where such evidence is available but the project specification has not been received will project specifications be accepted beyond the given deadlines.

The submission of this document will be the only opportunity for your organisation to present written information to the NWCCRP Phase 2 Working Group. The information contained within this document will be used to make the decision as to which organisation is commissioned to complete the activity/area of work. Please be as comprehensive as possible and ensure all **relevant** information is included, but also try to be as concise as possible. Although the submission will not be judged on readability, please remember poor grammar, punctuation and spelling may detract from the content being presented, making it difficult for the reviewer to understand the meaning and relevance. Please do not include supplementary documents or brochures.

When completing the application, please use only Arial 12 point font.

Whilst the project specification is activity/area of work specific, and will be assessed as such, NWCCRP Phase 2 Working Group is looking to identify innovative organisations who can contribute to reducing worklessness and raise levels of enterprise in the coalfield communities. This process will help the group to identify such organisations for future commissioning work.

The NWCCRP Phase 2 Working Group may well request further information or clarification prior to making a final recommendation to the NWCCRP Partnership Board. This may take the form of a panel interview process.

## NWCCRP Phase 2 Selective Commission Application Form

**Activity/Area of work:**

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### Section 1 – Contact details

Name of applicant organisation (or lead organisation if partnership)	
Address	
Legal status of Applicant Organisation (Private company, charity etc.)	
Contact name	
Contact telephone	
Contact fax	
Contact e-mail	
Organisation web site	
If partnership, please list other organisations	

### Section 2 - Activity/Area of work summary

<b>Question 2a</b> - Brief summary of proposed activity/area of work	
<b>Question 2b</b> -Funding required	
<b>Question 2c</b> - Start date	
<b>Question 2d</b> - End date	

### Section 3 – Details of activity/areas of work

<b>Question 3a</b> - Who will benefit from this activity/area of work? (specify any geographic focus)	
<b>Question 3b</b> - How will the proposed beneficiaries be reached? (please identify and highlight any innovative approaches)	

<b>Question 3c</b> - What targets will you achieve and how will they be achieved, please be specific	
<b>Question 3d</b> - What outputs/outcomes will you achieve and how will they be achieved, please be specific	
<b>Question 3e</b> - Who will deliver this activity/area of work? (if applying as a partnership, please detail partnership responsibilities including financial contributions)	
<b>Question 3f</b> - If not applying as a partnership detail any other partners involved in the activity/area of work and what they are contributing including financial contributions.	
<b>Question 3g</b> - How will the activity/area of work be marketed and publicised to potential beneficiaries	
<b>Question 3h</b> - What is the exit strategy? Clearly illustrate at what point activity being mainstreamed	

#### **Section 4 – Financial Information**

<b>Question 4a</b> - What is the breakdown of the budget required to deliver this activity/area of work?	
<b>Question 4b</b> - Match funding needs to be identified and confirmed together with clear breakdown against costs	

## Section 5 – Management Framework

<p><b>Question 5a</b> - How will the overall activity/area of work be managed? (if applying as a partnership please detail management structures and procedures)</p>	
<p><b>Question 5b</b> - How will the performance of the activity/area of work be monitored and reported? Please use this section to detail any relevant experience you may have of monitoring and reporting projects, especially for activities/areas of work with multiple funding streams. If you have no experience of monitoring and reporting such projects, please detail how you will address this key requirement</p>	

## Section 6 – Relevant experience

<p><b>Question 6a</b> - Please detail your organisations experience of working with the specified client group</p>	
<p><b>Question 6b</b> - Please detail any relevant experience of working within areas of deprivation</p>	
<p><b>Question 6c</b> - Please provide details of your organisations most successful relevant project, including why you believe it was successful</p>	

<p><b>Question 6d</b> -Please provide details of your organisations least successful project, including why you believe it was unsuccessful and what you have learned from the project.</p>	
<p><b>Question 6e</b> -Please provide details of your organisations experience of delivering successful externally funded projects</p>	
<p><b>Question 6f</b> - Please provide details your organisation may have in successful partnership working</p>	

**Sample Contract**

**Provision of NWCCRP Phase 2 Funding 2008-2009**  
***Named Activity***

**Between**

Wigan Council (Accountable Body) acting for the NWCCRP Partnership Board:

Contact Address

Wigan Council  
Environmental Services Department  
Regeneration & Protection Division  
Economic Regeneration Officer  
Gateway House  
Standishgate  
Wigan  
WN1 1AE

01942 828975

**And**

Contact Address

Issued ..... 2008

1	<p><b>Nature of Provision</b></p> <p>The projects aims .....</p>
2	<p><b>Project Outcomes</b></p> <p>The project will contribute to the following NWDA Targets</p> <p>.....</p>
3	<p><b>Project Outputs/Targets</b></p> <p>The project will delivery the following outputs and targets</p> <p>.....</p>
4	<p><b>Specific Conditions Attached to the Approval of Funding</b></p> <p>NWCCRP Partnership Board have attached the following conditions to the approval:</p> <p>.....</p>
5	<p><b>Duration of Agreement</b></p> <p>The Partnership has approved a revenue grant of is £..... in total for the financial year <b>2008/09</b></p> <p>(Grant can only be claimed for actual expenditure incurred from 1 October 2008 and paid for by 31 March 2008.)</p>
6	<p><b>Payment Arrangements</b></p> <p>Wigan Council projects can use the one bill system to process the grant claim (using the recharge code provided by the programme management team), but are still required to process the claim and send in quarterly spend return with supporting evidence, to the programme management team in line with the timetable set out in section 7.</p> <p>Other projects must invoice Wigan Council for payment of their claims and include the Statement of Grant form and supporting evidence with the invoice in line with the timetable set out in section 7. The invoice should be sent to the programme management team at the Economic Regeneration Office.</p>
7	<p><b>Statement of Grant</b></p> <p>The project is required to submit all payment claims relating to expenditure via invoice or one bill and provide a statement of grant (supported by evidence of</p>

	<p>expenditure to back up the claim) to the programmes management team in the Economic Regeneration Office as follows</p> <p>Expenditure incurred <b>£(insert total)</b></p> <p>Expenditure incurred or accrued £(insert total) no later than <b>£(insert date)</b></p> <p>Failure to submit invoices/one bill claims by this deadline and provide the statement of grant form, with supporting evidence, on time will result in delays in processing the payment and may even lead to the grant payment being withheld.</p> <p>(Annex 1 provides a useful guide to assist projects to provide the required supporting evidence.)</p>
8	<p><b>Progress Reports</b></p> <p>(insert name of deliverer) is required to report to the projects progress on a quarterly basis. All reports need to be submitted in line with the timescales set below:</p> <p><b>(insert dates)</b></p>
9	<p><b>Grant Accounting</b></p> <p>The project must ensure that the requirements set out in this Service Level Agreement are complied with and in particular</p> <ul style="list-style-type: none"> <li>• must identify in advance any significant changes to the approved project activity and the agreed outputs/outcomes and these must be approved by the partnership before any changes can be implemented.</li> <li>• must establish effective project performance monitoring and financial systems so that the outputs and costs can be clearly identified and the propriety and regularity of all payments and handling of the grant is ensured.</li> <li>• shall maintain a sound system of internal financial controls and take adequate measures to safeguard against fraud and theft. All cases of fraud or theft, whether proven or suspected, relating to grant paid under this determination, will be referred to the Northwest Regional Development Agency.</li> <li>• must maintain reliable, accessible and up-to date accounting records with an adequate audit trail for all expenditure funded by NWCCRP grant. Prime documents such as original invoices, receipts, accounts and deeds, and other relevant documents, whether in writing or electronic form, in accordance with legal and accounting requirements, and must be kept for at least seven years after the completion of the project.</li> <li>• must be available for inspection and scrutiny at any time by the accountable body (Wigan Council), the Northwest Regional Development Agency or anyone acting on their behalf or by the National Audit Office.</li> <li>• on request, submit properly audited/certified accounts to the accountable</li> </ul>

	body (Wigan Council).
10	<p><b>Fixed Assets</b></p> <p>Projects are required to keep a register of fixed assets over <b>£500</b> purchased wholly or partly using NWCCRP grant and submit this information at the end of the financial year. This information should be provided at the end of each financial year using the template provided in Annex 2.</p> <p>If fixed assets are sold or their ownership transferred whilst they have any economic value, the project must notify the accountable body (Wigan Council) as soon as possible</p> <p>The project shall not allow a third party to take charge on any fixed asset funded wholly or partly by the NWCCRP grant.</p>
11	<p><b>Eligible Expenditure</b></p> <p>Eligible expenditure means payments made by the project in respect of the delivery of the service approved by the Partnership.</p> <p>Eligible expenditure does not include:</p> <ul style="list-style-type: none"> <li>(a) contributions in kind;</li> <li>(b) payments for activities of a political or exclusively religious nature;</li> <li>(c) depreciation, amortisation or impairment of fixed assets;</li> <li>(d) input VAT reclaimable</li> <li>(e) interest payments or service charge payments for finance leases;</li> <li>(f) gifts, other than promotional items with a value of no more than £10 in a year to any one person;</li> <li>(g) entertaining; and</li> <li>(h) statutory fines, criminal fines or penalties.</li> </ul> <p>The project shall not incur liabilities for eligible expenditure before there is an operational need for it to do so. The project shall not pay for eligible expenditure sooner than the due date for payment.</p> <p>For the purpose of defining the time of payments, a payment is made by the project when money passes out of its control. Money will be assumed to have passed out of such control at the moment when legal tender is passed to a supplier (or, if wages, to an employee), when a letter is posted to a supplier (or employee) containing a cheque, or an electronic instruction is sent to a bank to make a payment to a supplier (or employee) by direct credit or bank transfer.</p>
12	<p><b>Publicity</b></p> <p>The project must ensure that publicity is given to the NWCCRP grant by making reference to the assistance offered through the NWCCRP Phase 2 programme and give credit to this support by drawing attention to the benefits and</p>

	<p>opportunities that are being funded by the NWCCRP grant supported by the Northwest Regional Development Agency.</p> <p>Projects should seek to incorporate information on the services/activities funded with support from NWCCRP Phase 2 Programme on their websites to improve access to services/activities. Details of the website address should be provided to the programmes management team and it will be added as a link to the NWCCRP website pages.</p> <p>The NWDA and NWCCRP logo's should be incorporated on any websites, publications, letters, press releases and materials produced to promote the service/activities funded with support from NWCCRP Phase 2 Programme.</p> <p>Examples of any publicity/service materials produced by the project during the financial year should be attached with the progress reports</p>
13	<p><b>United Kingdom Law</b></p> <ul style="list-style-type: none"> <li>• The project must take all reasonable steps to ensure that they, or anyone acting on their behalf, take all the necessary steps to secure the health, safety and welfare of all persons involved in the project; and comply with the law for the time being in force in the United Kingdom, including, in particular (so far as binding on the Project), the requirements of the Health and Safety at Work Act 1974, Data Protection Act 1998, the Human Rights Act 1998, the Sex Discrimination Act 1975, the Race Relations Act 1976, the Race Relations (Amendment) Act 2000, the Disability Discrimination Act 1995 and the Employment Equality (Age) Regulations 2006.</li> <li>• The NWCCRP Partnership Board and Wigan Council (accountable body) is committed to a policy of equal opportunities in the delivery of services and decision-making and applies these principles to all projects. In accordance with the Commission for Racial Equality and the Equal Opportunities Commission Codes of Practice, no participants in the programme and project should receive less favourable treatment on the grounds of gender sexuality, marital status, religion, social class, race, ethnic origin, nationality or age.</li> <li>• All necessary steps must be taken to secure the health, safety and welfare of all persons involved in the scheme.</li> <li>• The project will, where relevant, ensure free and fair competition in the letting of any contracts involving NWCCRP funds.</li> <li>• The project shall, where relevant, use its best endeavours to employ residents of the NWCCRP eligible coalfield communities.</li> <li>• Where projects involve capital expenditure, priority should be given, subject to UK Government and EC Legislation, to the use of local contractors.</li> <li>• The project is responsible for obtaining all necessary statutory consents. Partnership approval does not convey any such consent.</li> </ul>
14	<p><b>Breach of Conditions and Recovery of Grant</b></p>

	<p>Payment of grant will be made subject to compliance with the conditions set out in the Service Level Agreement and on satisfactory progress being made in achieving the outputs and outcomes set out in the project proposal approved by the Partnership and any subsequent agreed written alterations to this document.</p> <p>If the conditions are not complied with, or if any overpayment is made under this grant or any amount is paid in error, or if any of the events set out below occurs, the lead Partnership may request the accountable body (Wigan Council) to suspend, reduce or withhold the NWCCRP grant or may require all or part of the NWCCRP grant to be repaid</p> <ul style="list-style-type: none"> <li>(a) the project purports to transfer or assign any rights, interests or obligations arising under this determination without the prior agreement of the NWCCRP Partnership Board and accountable body (Wigan Council);</li> <li>(b) any information provided in any application for grant monies payable under this determination, or in any subsequent supporting correspondence is found to be significantly incorrect or</li> <li>(c) other circumstances have arisen or events have occurred which are likely to significantly affect the projects ability to contribute to the achievement of the NWCCRP targets and outcomes</li> </ul> <p>Should such circumstances arise then the amount of grant repayable will be determined by the lead Partnership and notified in writing to the project. The sum notified will immediately become repayable.</p>
15	<p><b>Agreement</b></p> <p>If you wish to accept this Agreement, please sign both copies of this agreement in the space indicated and return one signed copy of the agreement to the Accountable body (Wigan Council) and retain one set your own records.</p> <p>I accept the Terms and Conditions of the grant as outlined in this letter</p> <p>Name.....</p> <p>Position .....</p> <p>Organisation.....</p> <p>Signature..... (Authorised to sign on behalf of the project organisation)</p>

	Date.....
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## Appendix Five

### Procedure for Monitoring NWCCRP projects against Performance

