



CLEATOR MOOR TOWN DEAL BOARD

AGENDA

Venue: This meeting will be a virtual meeting

Date: Thursday 09th March 2022

Time: 10.00am

1. **Welcome from the Chair/Meeting protocol**
2. **Attendances and apologies for absence**
3. **Declarations of Interest**
For the Board to note/ update any declarations of interests in Agenda items.
4. **Minutes of meeting held on 15th December 2022 and matters arising not covered in the agenda**
[cm_tf_minutes_15_12_22.pdf \(copeland.gov.uk\)](#)
5. **Cleator Moor Town Deal – Accountable Body & Assurance update**
For the Board to note the update from the Accountable Body including Assurance and Supplementary Guidance published by DLUHC and proposed updates to the Local Assurance Framework for the Cleator Moor Town Deal.
6. **Cleator Moor Town Deal – Programme update (not for publication)**
This item has been excluded from the public and press on the grounds that it involves the likely disclosure of exempt information as defined in Paragraph 3 of Part One of Schedule 12A of the Local Government Act 1972, as amended by the Local Government (Access to Information) Act 1985 and Access to Information (Variation) Order 2006.

For the Board to note a Programme update including:
 - a) *Programme and project update*
 - b) *Programme risks*
 - c) *Communications and engagement*
 - d) *Funding and finance*
 - e) *Transition to Cumberland*
7. **AOB**



Contacts:

Email: towns.fund@copeland.gov.uk

Website: <https://www.copeland.gov.uk/regeneration-projects>



Item 5 – Cleator Moor Town Deal Board Accountable Body and Assurance Update

Venue: This meeting will be a virtual meeting

Date: Thursday 9th March 2023

Time: 10.00am

As reported to the Board in December 2022, Government have updated the assurance framework and issued supplementary guidance in relation to Town Deals in November 2022. A full update on this guidance, including any relevant issues for the Cleator Moor Town Deal Board, is provided for the Board to note.

It is envisaged that proposed updates to the Local Assurance Framework will be brought as an Agenda Item at the next Board meeting. These updates will reflect any requirements both as a result of the updated Government guidance and the evolution of the programme from development to delivery, and of the impact of Local Government Reorganisation with the Lead Council for the Cleator Moor Town Deal becoming Cumberland Council.

Recommendation:

That Cleator Moor Town Deal Board:

- a) Note that the Accountable Body submitted a statement of grant usage to Government on 25 January 2023 as part of Levelling Up Funds assurance process (appendix A).
- b) Note that supplementary guidance in relation to Town Deals was issued by DLUHC on 08 November, and a summary of this in the context of the Cleator Moor Town Deal Board has been provided for Board members to note.
- c) Note that proposed updates to the Cleator Moor Town Deal Local Assurance Framework will be brought to the next Board meeting.

Government Assurance and Compliance

1. In addition to the established annual assurance cycle, a request was received from Government on 17 January around an assurance review covering the period 01 April 2022 to 30 September 2022 for Town Deal activity.
2. The Chief Finance Officer for the Accountable Body was required to complete a grant usage statement form and return it to DLUHC by 25 January 2023.
3. This assurance review forms part of the assurance cycle, as indicated in the Levelling Up Funds Local Authority Assurance Framework, which was received in September 2022 and relates to Town Deal, Future High Streets Fund and Levelling Up Funds and 'Levelling Up Funds' in general. The Framework sets out how the assurance for each programme provides three separate and defined levels of assurance, referred to as the Three Lines of Defence.
4. A copy of the grant usage statement form, the 'First Line of Defence', which was submitted to Government in line with the required timescales is provided at Appendix A.
5. The information provided within the grant usage statement reflects the early stage of the implementation of the systems and processes required to oversee delivery of the programme between 2022 and 2026, both in line with the Local Assurance Framework and Government requirements.

Local Assurance Framework

6. It is anticipated that updates will be required to the Local Assurance Framework to ensure that the requirements of managing the funds remain both compliant and relevant, recognising the evolution in line with the Programme from development to delivery.
7. It is proposed that these updates take place following the implementation of Local Government Reorganisation, as this will not only be able to fully recognise the transition of the Lead Council to Cumberland Council, but also provide an opportunity to align governance processes with other Town Deals being delivered within the Cumberland area.
8. Key elements of the review are anticipated to be:
 - A refresh of the Terms of Reference for relevant bodies, including the Town Deal Board.
 - Updating references in relation to the Lead Council, with the re-aligning of relevant policies



- The establishment of a local change control process, which complies with Government tolerances.

Supplementary Guidance

9. Section 4 of the Towns Fund Guidance (published in June 2020) sets out the role of the Town Deal Board. On 08 November 2022, DLUHC published additional guidance on requirements for Town Deals Boards during the delivery phase of the Towns Fund. It is stated that this guidance should be read as supplementary to the Towns Fund guidance published previously which sets out important information about interventions in scope, and the roles of different stakeholders throughout the process, and shows the path towards implementation of Town Deals.
10. DLUHC expects Boards to continue meeting regularly to discuss progress, ensure that projects are staying true to the vision of the Town Investment Plan, and to work through risks and issues together. Whilst important to maintain the distinction between the local authority as the accountable body, and the Town Deal Board, DLUHC expect the Town Deal continues as a collaborative effort.
11. DLUHC also recognises that engagement with local communities is a vital part of the Town Deal process, and this remains the case as projects move into delivery. Town Deal Boards have demonstrated that they are a key link to the local community and local businesses and should be involved in any refresh of engagement and communication plans.
12. DLUHC also make it clear that Town Deal Boards have a key role in reviewing the six-monthly performance reporting returns and any Project Adjustment Requests.
13. Governance checks will be carried out annually on publicly available records. Details of the key aspects of this in relation to the Cleator Moor Town Deal Board are provided at Annex A.



Requirement	Cleator Moor Town Deal Board
Boards to continue meeting regularly to discuss progress, ensure that projects are staying true to the vision of the Town Investment Plan, and to work through risks and issues together, being involved in key decisions.	Quarterly meeting schedule established.
Town Deal Boards have demonstrated that they are a key link to the local community and local businesses and should be involved in any refresh of engagement and communication plans.	Any update of engagement and communication plans to be brought to the Board for consideration.
Town Deal Boards are required have sight of the six-monthly performance reporting returns, and the opportunity to feed into them, before they are submitted to DLUHC by the accountable body. The Town Deal Board Chair must sign the performance reporting return before it is submitted to DLUHC.	This is built into the quarterly meeting schedule and will be a standard Agenda Item at relevant Boards.
Town Deal Boards should review and agreed any Project Adjustment Request proposals. Town Deal Boards should be involved in any discussions around project changes and agree these before they are made either under local delegation or submitted to DLUHC for a decision.	The Change Control Process within the Local Assurance Framework will be updated to reflect this, with any Project Adjustment Requests being considered at relevant Board meetings or by written procedure if timings necessitate this.
Governance Checks (annual):	
The Town Deal Board should have a document, published on the lead council's website, which clearly sets out the roles and responsibilities and the governance and decision-making processes for the Town Deal Board, the Town Deal Board Chair and lead council.	The Cleator Moor Town Deal Local Assurance Framework clearly sets out roles and responsibilities and is published on Copeland Borough Council's website. Towns Fund - Cleator Moor Copeland Borough Council
Code of conduct policy: outlining the lead council's record keeping responsibilities on behalf of Town Deal Board with specific reference to the seven principles of public life, including a register of gifts and/or hospitality	The Code of conduct policy clearly sets out the Town Deal Board member responsibilities with specific reference to the seven principles of public life and is published on Copeland Borough Council's website. Regeneration projects Copeland Borough Council

<p>Conflict of interest policy: process of record for each Board member.</p>	<p>The Conflict of interest policy sets out the process for recording and updating Board member interests and is published on Copeland Borough Council's website. Towns Fund - Cleator Moor Copeland Borough Council</p>
<p>Transparency: transparent decision making is supported by the publication of information on the Lead Council's website, and we expect the following standards to be applied:</p> <ul style="list-style-type: none"> • a documented decision-making process outlining the voting rights of the Board to be published • profiles of Board Members to be published (stating private or public member) • all Board papers to be published on the lead council's website in advance of the meeting (within 5 clear working days) • to promptly publish draft minutes of meetings on the lead council's website following the meeting (within 10 clear working days) • to publish final minutes on the lead council's website, once approved by the Board (within 10 clear working days) • any conflicts of interest reported to be formally noted within the published minutes 	<p>Transparent decision making is supported by the processes outlined in the Terms of Reference which is published on Copeland Borough Council's website. All additional information is published on Copeland Borough Council's website as required.</p> <p>Towns Fund - Cleator Moor Copeland Borough Council</p>
<p>The Town Deal Board's membership should reflect the diversity of the town and surrounding area. The Towns Fund Prospectus stated that membership of Town Deal Boards should comprise:</p> <ul style="list-style-type: none"> • a private sector chair • all tiers of local government for the geography of the town • the MP(s) representing the town • the Local Enterprise Partnership • local businesses and investors • community/local voluntary community sector representatives • other relevant local organisations, such as FE colleges or Clinical Commissioning Groups 	<p>The Cleator Moor Town Deal Board membership reflects the diversity of the town and surrounding area and is published on Copeland Borough Council's website.</p> <p>Towns Fund - Cleator Moor Copeland Borough Council</p>



Statement of Grant Usage

Chief Finance Officer Assurance Statement

This form is to be completed by the Chief Finance Officer (CFO) (Section 151/127/114/95/54) in conjunction with the Department for Levelling Up, Housing and Communities, First Line of Defence Assurance Review Guidance (V2 October 22) and covers the following Levelling Up funds:

Levelling Up Fund (Round 1)	LUF
Town Deals	TD
Future High Streets Fund	FHSF

Part 1: Funding Details

Part 2: Governance and Assurance report

Part 3: Compliance

Part 4: Declaration and Signature Box

Part 5: Department for Levelling Up Housing and Communities (DLUHC) use only

Filling in the Form

Only the areas shaded blue should be completed by the local authority/accountable body.

Colour Coding Key:

	To be completed by local authority/accountable body
	Internal use only: To be completed by DLUHC Assurance and Compliance Team

Contacting us

If you wish to contact the Assurance and Compliance Team, please do this via email at LUFandTFAssurance@levellingup.gov.uk



Department for Levelling Up, Housing & Communities



Part 1: Funding Details		
1	Name of local authority/accountable body	Copeland Borough Council
2	Confirm name of CFO	Jemma Thompson
3	Confirm email for CFO	[REDACTED]
Name of fund(s) this statement will cover – for multiple funds enter in each applicable section (4-6) - for multiple projects under one fund, list the projects as appropriate		
4	Levelling Up Fund Round 1	
	DLUHC Reference number	
	List of projects:	
	Contact details for the fund/projects: please state name/email	
5	Town Deals	
	DLUHC Reference number	31/6333
	List of projects:	Cleator Moor: <ul style="list-style-type: none"> • Enterprising Town • Revitalised Town • Healthy Town • Connected Town Millom: <ul style="list-style-type: none"> • The Iron Line • Reactivating Heritage Buildings • Activating Community Health • Connected Millom & Haverigg
	Contact details for the fund/projects: please state name/email	Jemma Thompson [REDACTED]
6	Future High Streets Fund	
	DLUHC Reference number	
	List of projects:	
	Contact details for the fund/projects: please state name/email	



Part 2: Governance and Assurance report

This section requires the CFO to provide a brief report (max 500 words) **for each fund**. The report should detail the checks they have undertaken to secure assurance that the local authority/accountable body has in place the proper administration of financial affairs associated with the fund(s) names above.

Cleator Moor Town Deal

The Cleator Moor Town Deal is managed in line with its Local Assurance Framework (LAF), which was approved by the Town Deal Board in November 2021 and by the Accountable Body's Executive Committee in December 2021. Based on the Government's National Local Growth Assurance Framework guidance, the LAF demonstrates appropriate governance arrangements and value for money processes are in place for managing the delivery of the Town Deal projects and funding. It demonstrates that there is transparency and openness in the decision-making process and provides details of the relevant roles and responsibilities in ensuring this.

The LAF covers three key areas:

1. Town Deal Governance
2. Transparent and Accountable Decision Making
3. Programme Management and Assurance

Following confirmation from Government in November 2022 that the Town Deal summary documents had passed the review process, a review of the LAF is due to be undertaken to ensure that the requirements of managing the funds remain both compliant and relevant, recognising the evolution from development to delivery. It is anticipated that a refreshed LAF will be taken to the Town Deal Board in March 2023 for consideration.

The Accountable Body is now progressing the systems and processes that will ensure that robust monitoring is maintained across all schemes that meets Government requirements to oversee the delivery of the programme.

This is anticipated to include the use of 'Initial Facility' agreements with project delivery bodies external to the Accountable Body. It is anticipated that these agreements will cover the eligible expenditure incurred on projects to date including an advance payment towards any remaining 22/23 capital expenditure. From April 2023, due to LGR all projects will be delivered by Cumberland Council, meaning there will be no external project delivery bodies.

Memorandums of Understanding (MoUs) are being developed which will be used to pass full funding allocations to project delivery departments within Cumberland Council. These will include the terms and conditions of funding, reporting obligations and agreed Monitoring and Evaluation Plans for each project, providing separation between Accountable Body and Project Delivery functions.

The obligations and reporting requirements within MoUs are anticipated to allow for sufficient checks to be undertaken on project activity and expenditure, in order to obtain assurance that project delivery has in place appropriate controls to manage the delivery of projects, including the proper administration of financial affairs. This assurance is obtained prior to any payments of Towns Fund under MoUs being authorised.

Payment of Towns Fund to project delivery departments is in line with Accountable Body financial delegations.

This progress will be reported via M&E performance returns to Government. These performance returns will be compiled using information received from those responsible for project delivery, which is subject to check by the Accountable Body (PMO) and review by the Chief Finance Officer and Town Deal Board, prior to submission.



Millom Town Deal

The Millom Town Deal is managed in line with its Local Assurance Framework (LAF), which was approved by the Town Deal Board in December 2021 and by the Accountable Body’s Executive Committee in December 2021. Based on the Government’s National Local Growth Assurance Framework guidance, the LAF demonstrates appropriate governance arrangements and value for money processes are in place for managing the delivery of the Town Deal projects and funding. It demonstrates that there is transparency and openness in the decision-making process and provides details of the relevant roles and responsibilities in ensuring this.

The LAF covers three key areas:

1. Town Deal Governance
2. Transparent and Accountable Decision Making
3. Programme Management and Assurance

Following confirmation from Government in November 2022 that the Town Deal summary documents had passed the review process, a review of the LAF is due to be undertaken to ensure that the requirements of managing the funds remain both compliant and relevant, recognising the evolution from development to delivery. It is anticipated that a refreshed LAF will be taken to the Town Deal Board in March 2023 for consideration.

The Accountable Body is now progressing the systems and processes that will ensure that robust monitoring is maintained across all schemes that meets Government requirements to oversee the delivery of the programme.

This is anticipated to include the use of ‘Initial Facility’ agreements with project delivery bodies external to the Accountable Body. It is anticipated that these agreements will cover the eligible expenditure on incurred on projects to date including an advance payment towards any remaining 22/23 capital expenditure. From April 2023, due to LGR all projects will be delivered by Cumberland Council, meaning there will be no external project delivery bodies.

Memorandums of Understanding (MoUs) are being developed which will be used to pass full funding allocations to project delivery departments within Cumberland Council. These will include the terms and conditions of funding, reporting obligations and agreed Monitoring and Evaluation Plans for each project, providing separation between Accountable Body and Project Delivery functions.

The obligations and reporting requirements within MoUs are anticipated to allow for sufficient checks to be undertaken on project activity and expenditure, in order to obtain assurance that project delivery has in place appropriate controls to manage the delivery of projects, including the proper administration of financial affairs. This assurance is obtained prior to any payments of Towns Fund under MoUs being authorised.

Payment of Towns Fund to project delivery departments is in line with Accountable Body financial delegations.

This progress will be reported via M&E performance returns to Government. These performance returns will be compiled using information received from those responsible for project delivery, which is subject to check by the Accountable Body (PMO) and review by the Chief Finance Officer and Town Deal Board, prior to submission.

DLUHC Internal use only, check complete (tick box):	<input type="checkbox"/>
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Part 3: Compliance

- 1.1 The CFO to confirm adherence with each element of governance and transparency for the funds received and confirmation funding is delivered with propriety, regularity and value for money.



3a Procurement

- Please briefly detail how the local authority/accountable body has ensured compliance with the appropriate public contract regulations.
- Briefly detail what checks the local authority/accountable body has in place to ensure project partners will comply with public contract regulations.

Cleator Moor & Millom Town Deals

As part of the local assurance process, all projects were subject to due diligence around procurement policies and compliance with the appropriate public contract regulations. It is anticipated that MoUs will include obligations relating to compliance with public contract regulations.

It is anticipated that continued compliance will be monitored by the Accountable Body, through its PMO arrangements, at the appropriate time through the receipt of quarterly reports for each project, with evidence of procurement being provided and checked where necessary.

<p>1.2 All projects are compliant with the appropriate Public Contract Regulation and are in the public domain (e.g., Contract Finder/Find a Tender Service) and any onward disbursement of the grant funds to project partners (e.g., sub-grant arrangement) fully meets public procurement requirements and confirmation robust due diligence has been undertaken. Confirm adherence by answering yes or no (enter a cross in the box)</p>	<p>1.3 Yes <input type="checkbox"/> 1.4 Yes (box will not check)</p>	<p>1.5 No <input type="checkbox"/></p>
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1.6 Where you have answered 'No' please set out your concerns below, please state under which fund and project.

N/A

DLUHC Internal use only, check complete (tick box):

3b Conflict of Interest

Please briefly describe how declaration of Conflict of Interest is managed and what controls are in place to monitor and check conflicting interests.

Cleator Moor Town Deal

The Town Deal Board Terms of Reference states that:

“Although the Board does not have final decision-making responsibilities in setting policy, it does have significant responsibility in that it is an advisory body to Copeland Borough Council as Lead Council. It also has access to privileged information about future investment opportunities. It is therefore essential that any member who may have pecuniary or non-pecuniary benefit from any discussions in the Board declare these in line with Section 4.5 Of the Cleator Moor Town Deal Local Assurance Framework on Conflict of Interest and the Declaration of Interest protocol”.

Declarations of Interest are held by the Accountable Body’s Democratic Services team and a declaration of these by members, including any updates required is a standard agenda item at each Board.



Department for Levelling Up, Housing & Communities



Within the Accountable Body, conflict of interest is managed in line with Copeland Borough Council's Declaration of Interest policy.

Millom Town Deal

The Town Deal Board Terms of Reference states that:

"Although the Board does not have final decision-making responsibilities in setting policy, it does have significant responsibility in that it is an advisory body to Copeland Borough Council as Lead Council. It also has access to privileged information about future investment opportunities. It is therefore essential that any member who may have pecuniary or non-pecuniary benefit from any discussions in the Board declare these in line with Section 4.5 Of the Millom Town Deal Local Assurance Framework on Conflict of Interest and the Declaration of Interest protocol".

Declarations of Interest are held by the Accountable Body's Democratic Services team and a declaration of these by members, including any updates required is a standard agenda item at each Board.

Within the Accountable Body, conflict of interest is managed in line with Copeland Borough Council's Declaration of Interest policy.

Conflict of Interest controls are active and in line with local authority/ accountable body policies. Confirm adherence by answering yes or no (enter a cross in the box).

1.7 Yes
1.8

1.9 No

Where you have answered 'No' please set out your concerns below, please state under which fund and project.

N/A

DLUHC Internal use only, check complete (tick box):



3c Business Case(s) or Project Adjustment Requests (PARs)

Please briefly describe the decision-making processes in place for business cases and/or adjustments requests:

Cleator Moor Town Deal

Town Deal Summary documents were submitted in August 2022 which detailed the decision-making processes around the relevant business cases. Following confirmation in November 2022 that these had passed Government's review, adjustment requests may need to be considered going forward.

It is recognised that the Town Deal will need to be managed effectively to ensure it delivers both the Town Investment Plan's strategic objectives as well as value for money. The Local Assurance Framework therefore sets out a local change control process to actively manage this and to respond to changes in project circumstances. This includes a mechanism for relevant escalation to the Town Deal Board or Government as required.

It is anticipated that an updated change control process will form part of the updated Local Assurance Framework which is currently under review, to reflect further guidance which has now been provided to support the delivery of Town Deals.

This will mean that all changes from approved Business Cases are recorded and considered at the appropriate level. If this requires the submission of a PAR to Government, this is reviewed prior to submission by the PMO, Accountable Body and Town Deal Board as will be laid out in the change control process.



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Millom Town Deal

Town Deal Summary documents were submitted in July 2022 which detailed the decision-making processes around the relevant business cases. Following confirmation in November 2022 that these had passed Government's review, adjustment requests may need to be considered going forward.

It is recognised that the Town Deal will need to be managed effectively to ensure it delivers both the Town Investment Plan's strategic objectives as well as value for money. The Local Assurance Framework therefore sets out a local change control process to actively manage this and to respond to changes in project circumstances. This includes a mechanism for relevant escalation to the Town Deal Board or Government as required.

It is anticipated that an updated change control process will form part of the updated Local Assurance Framework which is currently under review, to reflect further guidance which has now been provided to support the delivery of Town Deals.

This will mean that all changes from approved Business Cases are recorded and considered at the appropriate level. If this requires the submission of a PAR to Government, this is reviewed prior to submission by the PMO, Accountable Body and Town Deal Board as will be laid out in the change control process.

1.10 All business cases/PARs are signed off in line with the local authority/accountable body decision-making processes. Confirm adherence by answering yes or no (enter a cross in the box)	1.11 Yes <input checked="" type="checkbox"/> 1.12	1.13 No <input type="checkbox"/>
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Where you have answered 'No' please set out your concerns below, please state under which fund and project.

N/A

DLUHC Internal use only, check complete (tick box):

3d Subsidy Control and State Aid Practices

- Please briefly describe the local authority/accountable body, Subsidy Control or State Aid measures and explain the active controls and checks you have in place.
- Briefly detail what checks the local authority/accountable body has in place to ensure project partners will comply with Subsidy Control and State Aid regulations.

Cleator Moor & Millom Town Deals

The local assurance process for all projects included due diligence around Subsidy Control measures, and independent legal opinions were sought as part of this process.

Where it was identified that there would need to be ongoing checks around compliance with Subsidy Control regulations, this was recommended as a project specific condition at the time of Business Case approval. It is anticipated that these conditions will be carried forward into project MoUs, including reviews as necessary to reflect commencement of the Subsidy Control Act.

Ongoing compliance with conditions is checked by the Accountable Body (PMO) at the appropriate time, and it is anticipated that this will be through the receipt of quarterly project reports. It is also anticipated that confirmation of compliance with project specific conditions will require authorisation from the Accountable Body's Chief Finance Officer (s151) prior to payments being made to projects under an MoU.

1.14 The necessary arrangements are in place and all projects are compliant with the appropriate regulations	1.15 Yes <input checked="" type="checkbox"/> 1.16	1.17 No <input type="checkbox"/>
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for State Aid and Subsidy Control. Confirm adherence by answering yes or no (enter a cross in the box)			
Where you have answered 'No' please set out your concerns below, please state under which fund and project.			
N/A			
DLUHC Internal use only, check complete (tick box):		<input type="checkbox"/>	
3e Counter Fraud			
Please briefly list details of active governance and assurance arrangements to support Counter Fraud.			
Cleator Moor & Millom Town Deals			
It is anticipated that all payments approved as eligible for Town Deal expenditure will be subject to evidence of all expenditure and defrayment being provided at quarterly reporting periods, and checks of this evidence by the PMO, Accountable Body finance department and Accountable Body audit team as required. It is anticipated that all claims processed by the PMO undergo a QA review by a different officer within the PMO, prior to a recommendation for payment being made to the Accountable Body.			
The payments themselves are then made in line with the established Accountable Body financial procedures, which mitigate against the risk of both fraud and payment error.			
1.18 The necessary governance and assurance arrangements are in place and all legal and other statutory obligations and consents will be adhered to, ensuring the safe administration of grants and that appropriate measures are in place to mitigate against the risk of both fraud and payment error. Confirm adherence by answering yes or no (enter a cross in the box)	1.19 Yes <input checked="" type="checkbox"/>	1.21 No <input type="checkbox"/>	
	1.20		
Where you have answered 'No' please set out your concerns below, please state under which fund and project.			
N/A			
DLUHC Internal use only, check complete (tick box):		<input type="checkbox"/>	
3f Risk			
Please briefly list details of your risk management process.			
Cleator Moor Town Deal			
Risk is managed in line with the Local Assurance Framework, which states:			
"As part of the project monitoring arrangements, each approved project will provide updates through the project risk schedule using a RAG rating, as well as an explanation of the risks and required mitigation steps. The RAG rating will be used to flag any issues that require action or amendments. This will also allow changes in risk to be tracked over time.			
Risk will be managed through a programme risk register which will cover all risks relevant to the implementation of work of The Board. Any risks considered high enough to be monitored by The Board will be reported by exception.			



A risk owner will be assigned to each risk and appropriate mitigation actions will be identified to demonstrate how each risk line is being managed.

The risk register will be monitored by The Board and will be a standing item on the agenda for each meeting”.

Millom Town Deal

Risk is managed in line with the Local Assurance Framework, which states:

“As part of the project monitoring arrangements, each approved project will provide updates through the project risk schedule using a RAG rating, as well as an explanation of the risks and required mitigation steps. The RAG rating will be used to flag any issues that require action or amendments. This will also allow changes in risk to be tracked over time.

Risk will be managed through a programme risk register which will cover all risks relevant to the implementation of work of The Board. Any risks considered high enough to be monitored by The Board will be reported by exception.

A risk owner will be assigned to each risk and appropriate mitigation actions will be identified to demonstrate how each risk line is being managed.

The risk register will be monitored by The Board and will be a standing item on the agenda for each meeting”.

1.22 Risk management is active with live Risk Register(s) and appropriate scrutiny to manage and mitigate risk. Confirm adherence by answering yes or no (enter a cross in the box)	1.23 Yes <input checked="" type="checkbox"/> 1.24	1.25 No <input type="checkbox"/>
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Where you have answered ‘No’ please set out your concerns below, please state under which fund and project.

DLUHC Internal use only, check complete (tick box):	<input type="checkbox"/>
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3g Financial management
Please briefly summarise or list for each fund your financial checks and management of project budgets.

Cleator Moor & Millom Town Deals

Each project has an agreed total project budget (made up of Towns Fund and any match funding), and it is anticipated that this will be set out within the MoUs and be consistent with the latest details approved by Government.

Project budgets will be broken down into agreed expenditure headings within MoUs, which will also include an agreed annual profile of expenditure and Towns Fund.

It is anticipated that MoUs will include the requirement for project delivery bodies to report project expenditure to the Accountable Body on a quarterly basis. This will include evidence of all expenditure and defrayment through copy invoices, bank statements or other acceptable documentation. This evidence will be checked by the PMO, including an internal QA, before a recommendation for payment is made to the Accountable Body, at which point a further review may take place prior to payment being made.



Department for Levelling Up, Housing & Communities



The payments themselves are then made in line with the established Accountable Body financial procedures, which mitigate against the risk of both fraud and payment error.

It is therefore anticipated that variances to budget headings or profiles will be identified through quarterly reporting and raised with the project delivery body as necessary. This may result in a change control, which would be in line with agreed process set out in the Local Assurance Framework.

1.26 All expenditure is in line with the policies and in support of DLUHC agreements (e.g., Memorandum of Understanding/Grant Funding Agreement). Confirm adherence by answering yes or no (enter a cross in the box)	1.27 Yes <input checked="" type="checkbox"/> 1.28	1.29 No <input type="checkbox"/>
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Where you have answered 'No' please set out your concerns below, please state under which fund and project.

N/A

DLUHC Internal use only, check complete (tick box):

Part 4 Declaration and Signature box: CFO (or Acting CFO only)

By signing this Statement of Grant Usage as the CFO you are confirming adherence with each element of governance and transparency for the funds received and that funding is delivered with propriety, regularity, value for money and in line with DLUHC funding agreements.

Signature:	
Print Name:	Jemma Thompson
Position:	Strategic Finance Accountant (Section 151 Officer)
Date:	25/01/2023



Department for Levelling Up,
Housing & Communities



Part 5: DLUHC Assurance and Compliance Team admin use only	Return to applicant (tick box)	Initial checks complete
Initial checks below complete		<input type="checkbox"/>
Part 2: Governance and Assurance report not completed	<input type="checkbox"/>	
Part 3: Confirmation missing (not answered yes/no) 3a to 3g (state which section is not fully completed)	<input type="checkbox"/>	
Part 4 (and letter): Assurance letter or Statement of Grant Usage not signed	<input type="checkbox"/>	
Part 4 (and letter) Not signed by CFO (Section 151/95/54) or Acting CFO	<input type="checkbox"/>	
Part 4 (and letter) Different signatures across letter/statement	<input type="checkbox"/>	