

## 2019 Assurance Framework

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**Release Status:** Final

**Author:** New Anglia LEP and Suffolk County Council

**Date:** 31 March 2015; revised 10 May 2016; revised 14 February 2017; revised 27 February 2018, revised 27 March 2019.

**Location** This document is stored in the following location:

<b>Filename</b>	New Anglia LEP Assurance Framework
<b>Location</b>	<a href="https://newanglia.co.uk/governance-decision-making-and-faqs/">https://newanglia.co.uk/governance-decision-making-and-faqs/</a>

**Revision History** - This document has been through the following revisions:

Version No.	Revision Date	Filename/Location stored:	Brief Summary of Changes
1		As above	N/A
2	10/05/2016	As above.	Revisions made to reflect progress on the LEP's governance framework and the processes that underpin this.
3	09/02/2017	As above.	Revisions made in light of the updated National Assurance Framework (published November 2016) and to reflect progress on the LEP's governance framework and the processes that underpin this.
4	27/02/2018	As above	Revisions made to reflect progress on the LEP's governance framework and the processes that underpin this.
5	27 March 2019	As above	Revisions made in the light of the updated National Assurance Framework and to incorporate new policies and practice adopted by the LEP.
6	Tbc June 2019	As above	Minor additions of information on LEP policies

**Authorisation** - This document requires the following approvals:

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**Related Documents** - Summary of filenames and locations of related documents:

Document Name	Filename/Location stored:
<b>Strategic Risk Register</b>	New Anglia LEP electronic files: T:\NEW ANGLIA LEP2\03 GOVERNANCE\Principal Risk Register
<b>Economic Strategy for Norfolk and Suffolk</b>	<a href="https://newanglia.co.uk/our-economic-strategy/">https://newanglia.co.uk/our-economic-strategy/</a>
<b>Growth Deal grant offer letter(s)</b>	New Anglia LEP electronic files: T:\NEW ANGLIA LEP2\08 GOVERNMENT\Growth Deals\Government Agreement
<b>Monitoring and Evaluation Plan</b>	New Anglia LEP electronic files: T:\NEW ANGLIA LEP2\08 GOVERNMENT\Growth Deals\Monitoring & Reporting
<b>Communications Strategy</b>	New Anglia LEP electronic files: T:\NEW ANGLIA LEP2\04 COMMUNICATIONS
<ul style="list-style-type: none"> <li>• <b>Gifts and Hospitality Policy</b></li> <li>• <b>Scheme of Delegation</b></li> <li>• <b>Complaints and whistleblowing policies</b></li> <li>• <b>Articles of Association</b></li> </ul>	<a href="https://newanglia.co.uk/governance-decision-making-and-faqs/">https://newanglia.co.uk/governance-decision-making-and-faqs/</a>

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## Introduction

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This Assurance Framework outlines the processes and procedures for decision making at New Anglia LEP. The document is an agreement between New Anglia LEP and Government, underlining the LEP's commitment to transparency in decision making.

It outlines the LEP structure, including our Boards, Sub Boards and Committees. It also explains the relationships between the LEP and local authorities.

It also explains arrangements for the delivery and oversight of projects, including relationships with delivery partners.

This document should be read in conjunction with a number of associated documents which provide more detail on the arrangements. For example, the LEP's Articles of Association and the legal agreement (Accountable Body Agreement) between the LEP and its Accountable Body, Suffolk County Council. The Assurance Framework should also be read in conjunction with the

**Growth Deal grant offer letter** in which the Department for Communities and Local Government (DCLG) will set out the degree of flexibility on offer to each LEP and any limited conditions around use of that funding.

**Monitoring and evaluation plan** which sets out the local arrangements for output and outcome monitoring and evaluation of projects.

The LEP and Accountable body will undergo an annual review of the assurance framework and Accountable Body agreement.

## Background and Context

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The New Anglia Local Enterprise Partnership was officially granted permission by Ministers to form in November 2010.

This followed the submission of a bid to ministers supported by leaders from local authorities, dozens of individual businesses as well as business representative groups, MPs and academia.

The newly appointed LEP board was keen to develop a governance model that was fit for purpose, a model that provided for efficient decision making, was transparent to all parties, and operated on the basis of consensus.

The Board agreed to establish the LEP as a company limited by guarantee, with its governance model built into the LEP's legally binding Articles of Association.

During 2017 board members agreed that the LEP's governance and operations needed reviewing to keep pace with the expansion of the organisation and its increase in roles and responsibilities. It commissioned PwC to conduct a review, which was published in summer 2017.

All recommendations of the review were endorsed by the LEP board and in September 2017 an implementation plan was agreed by the LEP board and implementation began immediately.

In September 2017, Mary Ney published an independent review on behalf of Government into governance and transparency of all LEPs. Recommendations from the review followed soon after.

New Anglia LEP has accepted and has implemented all the recommendations of this review as well as the recommendations of the PwC review.

During 2018 the Government published its own review of LEPs. New Anglia LEP has implemented in full the recommendations of this review. This Local Assurance Framework brings New Anglia LEP's governance in line with the recommendations of the LEP Review.

## LEP Board Structure

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The LEP board membership, more details of which are set out in the company's Articles of Association, is as follows:

Eighteen board members comprising: ten private sector board members, six local authority board members and two education sector board members. For the purposes of quorum and voting, the education sector board members are classified as private sector. Since its formation New Anglia LEP has ensured SME representation at board level with a policy of reserving at least one place on the board for business representatives from the SME community with a specific remit to represent that community. This role of SME champion includes liaising with small businesses groups such as the Federation of Small Businesses (FSB), the Institute of Directors (IoD) and small businesses more widely.

The chair must be one of the private sector board members and the appointment of the chair must be agreed by the full board, according to our formal election process. The Chair serves a maximum term of 3 years. The advice states that it is best practice for the LEP Deputy Chair to come from the private sector. Our Deputy Chair is a private sector Board member and serves for a maximum of 3 years. The appointment of the Deputy Chair must be agreed by the full board, according to our formal election process. Quorum for voting purposes is 50% of members from each of the public and private sector membership.

Each private sector board member is initially recruited for one year. This can be extended by a further two years and at the end of this period can be extended by a further three years, making a maximum length of service of six years.

Recruitment of private sector board members is conducted by an open and transparent process, with all vacancies extensively advertised.

The role of the Chair will include:

- Chair and lead the Board to ensure the development and implementation of the Norfolk and Suffolk Economic Strategy in order to enable economic growth in the region.
- Ensure that New Anglia LEP and the Board comply with the published Local Assurance Framework.
- Set priorities, develop plans, monitor performance, manage risks and ensure that there are sufficient resources available to deliver the LEP's plans.
- Support the development of the effective and inclusive private public sector partnership to achieve practical outcomes with a consensual approach
- Promote and inspire confidence in the wider business community and our partners by demonstrating an understanding of the economy, the area and our stakeholders to support and attract business growth
- Formally represent New Anglia LEP in meetings with business and public sector partners including with Government Ministers, and in the media.
- Work collaboratively with Chairs of other LEPs and work closely with the Chief Executive and the Senior Management Team to ensure a coherent approach

The rules governing conduct for board members are set out in our briefing document to all Board members. The Code of Conduct to which staff and board members adhere is published on our website. The New Anglia LEP has adopted the Nolan principles as the core of the code of conduct, and board members are therefore expected to adhere these principles, in addition to their responsibilities as company directors. The seven principles were established by the Committee on Standards in Public Life, which provides independent advice to the prime minister on standards of conduct of holders of all public office. New Anglia LEP has a role

description for private sector Board members which is used in Board member recruitment and induction. All Board members sign a Non-Executive Director Agreement which sets out their formal governance responsibilities. Both documents are on our website.

All Board members receive a handbook as part of their formal induction process. Board roles are non-remunerated. Mileage and other direct travel expenses may be claimed at cost in line with the staff travel expenses policy.

The LEP is committed to ensuring that it reflects the diverse economy and people of Norfolk and Suffolk. When LEP Board opportunities arise they are advertised widely in the local press, through our sector groups, the LEP website, social media and other avenues. We recruit Board and sub board candidates from a broad range of backgrounds that include our sector strengths, and ensure that we have members from small business and entrepreneurial backgrounds as well as from bigger business and from the voluntary and community sector. We ensure that through our recruitment process, we provide clear and accurate information to enable potential applicants to assess their own suitability for the post. We welcome applications from everyone regardless of age, gender, ethnicity, sexual orientation, faith or disability. LEP Board members are recruited through a formal application process, with a sub-group of the Board forming an appointments panel and interviewing the shortlisted candidates. The interview panel then makes a recommendation to the LEP Board for approval.

The LEP Board has appointed a Diversity Champion and adopted a [Diversity Policy](#) in 2018. In the New Anglia area we are committed to removing barriers that might restrict people and we are proactively working towards positive change.

Whilst all the Norfolk and Suffolk local authorities are members of the LEP company, the Articles of Association grant local authorities six board positions. Norfolk and Suffolk County Councils, Norwich City Council and Ipswich Borough Council have permanent seats on the board, with the other district and borough authorities each nominating a representative, one for each county.

Recognising the importance of all local authorities, the LEP has developed a number of mechanisms to ensure all local authorities are engaged with the strategy and decision making of the LEP. These are outlined later in the document.

The area's colleges and universities are also members of the LEP company. Two seats are taken by representatives from the sector. Mechanisms to ensure engagement of all colleges and universities are outlined later.

## **LEP Board Succession planning**

The LEP recognises the importance of succession planning for the role of chair and board members. Our approach ensures that the board is able to move swiftly to fill vacancies at the end of agreed terms of office or in the event of resignations. The LEP has an agreed policy for the recruitment of the chair and deputy chair which is enacted either in advance of the end of the term of office or in the event of a resignation.

Succession planning for Board members is undertaken as follows -

- **Private sector.** The formal recruitment process for private sector board members begins in advance of the end of term of office of private sector board members, or at the point of resignation. The board position or positions are advertised extensively. As part of the recruitment process the board will look to broaden the range of expertise on the board, as well as its diversity. This will include ensuring suitable representation from SMEs, a spread of sectoral expertise and increased female representation.

- **Education sector.** The college and universities in Norfolk and Suffolk are all members of the LEP and are responsible for selecting their board representatives, one for colleges and one for universities. Each representative serves a three year term. At the end of term or in the event of a resignation a new representative is selected by these groups.
- **Local authorities.** Norfolk County Council, Suffolk County Council as the upper tier authorities and Norwich City Council and Ipswich Borough Council as the larger urban centres, have places on the LEP board taken by their leaders. In the event of a change of leadership, the LEP board seat transfers to the new leader.

The remaining district and borough authorities in Norfolk and Suffolk jointly nominate representatives for two board seats - one for Norfolk and one for Suffolk. In the event of a resignation the local authority leaders in each county are responsible for nominating a new board member.

## LEP Accountable Body

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The Accountable Body for New Anglia LEP is Suffolk County Council. There is an Accountable Body Agreement which is reviewed annually.

The Accountable Body agreement sets out the relative roles of the two organisations in relation to financial and programme management and includes a procedure for dispute resolution.

The LEP works closely with the Section 151 officer and her designated deputy in Suffolk County Council. The section 151 officer or her designated deputy attend the LEP Management Committee at which forthcoming Board business is discussed. They also have an open invitation to attend Board meetings.

The Section 151 Officer and/or other members of the Accountable Body team are core members of the LEP Audit and Risk Committee which meets twice a year or more often if needed. The Audit and Risk Committee manages LEP external audit arrangements and identifies, assesses and manages risk from a strategic and operational perspective, assisted by a detailed LEP Risk Register, which is updated at least monthly. The Section 151 Officer is also able to attend LEP board meetings as required.

The Section 151 Officer provides a letter by 28 February each year as part of the LEP Annual Performance Review confirming that the LEP is compliant with its Assurance Framework.

The LEP finance team and Accountable Body staff have shared access to financial information on Programmes and review financial data on an ongoing basis, with frequent communication between the teams.

Responsibility for final sign off of financial decisions rests ultimately with the LEP Chair, with a scheme of delegation in place (and accessible on the LEP website) for sign off of individual funding decisions.

Grant agreements for Growth Deal funding are signed off by the Section 151 Officer, who reviews the full range of documentation for each grant, including the relevant Board paperwork and any additional briefing from the LEP. Another member of the Accountable Body team reviews and signs off grant agreements for Growing Places Fund and Growing Business Fund on behalf of the Accountable Body.

Financial claims for the Growing Places Fund, Growth Deal and BEIS Growth Hub funding are checked for compliance by the LEP team and passed for payment to the Accountable Body team, who are able to raise any concerns they identify in processing the claims for payment. Financial claims for the Growing Business Fund are handled directly by the Accountable Body team.

## LEP Decision Making

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The board is the ultimate decision making body for the LEP. The board operates through a principle of consensus – that all board members should consent to a decision.

However there may be occasional instances where it is not possible to reach unanimity on decisions. On these instances the company's Articles of Association provides that a decision may be made by a simple majority.

The LEP board is required to approve the LEP's significant and strategic decisions, including annual budget and business plan and the LEP's Economic Strategy as well as retaining overall responsibility for risk and performance.

It is also responsible for agreeing bids for funding by the LEP, such as bids to the Local Growth Fund and subsequent Growth Deal, requests for funding from the LEP and investment decisions on the Growing Places Fund, other than requests for funding or investment below £500,000 which can be determined by the Investment Appraisal Committee under delegation from the LEP Board. All decision making is made on the basis of access to the application, a detailed appraisal and a clearly argued recommendation with conditions where appropriate.

Delegation of decision making to the LEP Chair on any of these areas is permitted through the prior approval of board members. The LEP Board also has a mechanism for taking decisions via written procedures.

The LEP board is also the decision making body for areas covered by its sub-boards and working groups.

Any delegation of decision making by these boards must be agreed by the LEP board. The LEP has an agreed scheme of delegation which can be viewed on our website and is reviewed annually. Any decision made in contravention of published powers and processes will be invalid.

### LEP Staff

The LEP board is supported by the LEP executive, which carries out the actions agreed by the LEP board, provides information and advice to support decision making and conducts operational activity on behalf of the LEP board. All LEP staff are employed directly by the LEP and directly accountable to the Board through the CEO and senior management team. The LEP CEO's performance and remuneration is the responsibility of the LEP's remuneration Committee. All new LEP staff are inducted following a standard process, including familiarisation with LEP policies and processes. LEP staff opportunities are advertised on our website and promoted widely and the LEP follows standard HR practice to ensure a fair recruitment process.

All staff members sign up to the LEP Code of Conduct and declare any conflicts of interest where this is relevant to their job roles.

### Scrutiny

Independent scrutiny of the LEP is provided by the scrutiny committee of [Suffolk County Council](#). The LEP's work will also be reviewed in future by the scrutiny Committee of Norfolk County Council, subject to the authority's return to the cabinet system later this year. Subject to the workload of each Committee, the LEP will appear once a year before each of the scrutiny committees providing an opportunity for independent scrutiny of the LEP.

Scrutiny meetings will be publicised in advance on the LEP website along with the agendas and minutes of the meetings. In addition to the two annual scrutiny committee meetings, the LEP also makes itself available to other local authority scrutiny sessions on request.

## LEP Sub Boards and Committees

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New Anglia LEP operates a number of sub-committees and panels to support the work of the LEP board.

Full Terms of Reference, details of membership, plus agendas, papers and minutes for each sub board and committee are published on the LEP website. Terms of Reference include common principles of accountability, transparency and fair decision making, such as ensuring a quorum for decisions and handling conflicts of interest.

The **Investment Appraisal Committee** ensures allocation of funding is delivered appropriately through the LEP's Growing Places Fund, Growing Business Fund, Capital Growth Programme, Enterprise Zone Accelerator Fund, and other funds as appropriate. It acts on behalf of the LEP board to ensure that the funding allocations support the development of schemes that deliver the Economic Strategy and are made in accordance with the Assurance Framework. The Investment Appraisal Committee has delegated authority from the LEP Board to approve funding for projects up to £500,000.

The **Growing Business Fund Panel** makes decisions on behalf of the Investment Appraisal Committee on allocations of funding through the LEP's Growing Business Fund.

The **Remuneration Committee** provides a formal and transparent procedure on behalf of the LEP board for developing and implementing policy on LEP senior executive remuneration.

The **Audit and Risk Committee** ensures the development and implementation of the LEP's policies on strategic risk management, financial reporting, audit process, system of internal controls and ensures compliance with the Assurance Framework. This Committee has an independent Chair.

The **Management Committee** is the executive management committee of the LEP and provides oversight of LEP operations, providing assurance that the LEP carries out its business in a transparent and accountable way.

The committee provides regular updates on the progress of programmes through monthly reports to the LEP board, provides early warning of issues around risk and performance.

The committee includes the LEP's management team, the Growth Deal manager, the Risk Manager, senior representatives from Norfolk and Suffolk County Councils and a LEP board member. In addition, the committee includes another representative from Suffolk County Council representing its role as Accountable Body.

As an internal committee, its agenda, papers and minutes are not published on the LEP website.

## **Transport Board and Skills Board**

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### **New Anglia Transport Board**

The New Anglia Transport Board operates as a formal sub-board of the LEP. It is a voluntary partnership to provide guidance and leadership to the LEP Board on transport issues.

The Board's membership is defined by its terms of reference which are updated annually.

The Transport Board has responsibility for overseeing the delivery of the transport infrastructure element of the Economic Strategy for Norfolk and Suffolk and the Integrated Transport Strategy

The LEP retains its decision making function regarding the management of allocated Growth Deal funds. This is because it is a government requirement that the LEP is accountable for the overall Growth Deal spend, particularly as this spend must be accounted for on an annual basis (annualised spend). The Local Transport Body which once had the role of advising the LEP Board on such matters was abolished as part of the Governance Review in November 2018.

Any project or scheme that significantly changes the transport network infrastructure, whatever its objectives, will be subject to the minimum requirements on value for money assessment, assurance and evaluation as set out at Annex B to the National Local Growth Assurance Framework. This will involve proportionate modelling and appraisal in accordance with Department for Transport guidance and appraisal toolkit, referred to as WebTAG. The level of detail will be both contingent on and appropriate for the nature and size of the scheme concerned.

New Anglia Transport Board will provide strategic direction on transport issues on behalf of the LEP by:

- Acting as a forum for information and expertise sharing, discussion and debate
- Acting as a powerful advocate for Norfolk and Suffolk on behalf of the New Anglia LEP
- Maintaining, executing and monitoring the Integrated Transport Strategy Delivery Plan, reporting to the Economic Strategy Co-ordinating Delivery Board
- Directing the formation and work programmes of Task and Finish Groups to tackle specific topics
- Producing and executing a stakeholder management plan
- Producing a high-level work programme summarising individual scheme progress
- Offering recommendations for prioritisation of projects for delivery and subsequent monitoring of outcomes

### **New Anglia Skills Board**

The board operates as a formal sub-board of the LEP with responsibility for overseeing and coordinating matters relating to skills.

The Skills Board is chaired by a private sector member of the LEP Board and consists of business sector representatives and representatives from the public/provider/third sectors. The business representatives will always be in the majority and will include members from a range of sectors and business types/size, and location.

The LEP retains its decision making function regarding the management of allocated Growth Deal funds. This is because it is a government requirement that the LEP is accountable for

the overall Growth Deal spend, particularly as this spend must be accounted for on an annual basis (annualised spend).

The Skills Board undertakes the following roles on behalf of the LEP:

- Develops and supports key skills and employment interventions
- Provides a strategic steer for the LEP Board on the employment and skills agenda
- Lobbies to achieve required freedoms, flexibilities and resources and raise the profile of New Anglia
- Collaborates proactively to identify barriers and opportunities in delivering these key interventions
- Galvanises the wider employer base to be involved in skills development
- Provides coordination across the skills system

The LEP is working with the Skills Advisory Panel team in the Department for Education. Skills Advisory Panels are being introduced to generate influential advice based on robust evidence of the local skills and labour market to improve the alignment of jobs and skills thus improving productivity across the country. These panels are planned to be introduced by October 2019. The LEP Skills Board will take on the role of the Skills Advisory Panel and its terms of reference will be updated to reflect this new function.

### **Innovation Board**

The New Anglia Innovation Board is a sub group that reports into the main LEP board and is chaired by a LEP board member.

The Innovation Board has a remit to oversee strategic activity relating to innovation across Suffolk and Norfolk but with a particular focus on the five 'innovation hubs' - Norwich Research Park, Hethel Engineering Centre, Orbis Energy, CEFAS and Adastral Park. Each of the innovation hubs are represented on the Innovation Board along with representatives of the local universities and an observer from Innovate UK. The secretariat function is provided by the Innovation Team at New Anglia LEP.

### **International and Inward Investment sub-Group**

A small LEP board sub-group overseeing strategic activity related to inward investment, trade and international relations, in line with the Economic Strategy for Norfolk and Suffolk.

Membership of the group includes, but is not restricted to, some LEP board private sector representatives and is chaired by the Head of EZs and Innovation with the Inward Investment Manager providing the secretariat.

## **New Anglia LEP Working Groups**

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As well as the formal sub-boards and committees, there are a number of officer led working groups reporting to the LEP board or relevant LEP sub board.

### **Economic Strategy Delivery Coordinating Board**

The Economic Strategy Delivery Coordinating Board (ESDCB) was set up following the publication of the Norfolk and Suffolk Economic Strategy. It continues the collaboration between businesses, local authorities, education providers, voluntary and community sector and the LEP, ensuring all partners play a part in delivering the ambitions and targets in the.

It is responsible for developing and driving implementation of the strategic delivery plan, reporting regularly on progress to the LEP Board and to Local Authority Leaders and Sector Leads through the annual performance process.

It is responsible for driving and coordinating the delivery of the strategic plan, discussing delivery plan gaps and identifying innovative solutions to deliver the objectives. Members of the board also act as champions for the strategy and liaise with local plans and places to facilitate join up.

The Board is also responsible for steering the development of the Local Industrial Strategy.

### **Enterprise Zone Partnership Groups**

The LEP has two Enterprise Zones (EZs). Firstly the Great Yarmouth and Lowestoft EZ which has been in operation since 2012. Following a Government award in November 2015 the Great Yarmouth and Lowestoft EZ was extended geographically from 2017. Announced by Government at the same time, the second EZ designation for New Anglia was awarded, called Space to Innovate, consisting of ten sites operational from 1st April 2016.

The main LEP board has overall responsibility for the two New Anglia Enterprise Zones (EZ), day to day management and the development of the EZ strategy is being developed in conjunction with these partnership groups..

### **Great Yarmouth and Lowestoft (New Anglia) Enterprise Zone Working Group**

The group is chaired by the LEP's Head of Enterprise Zone and Innovation and includes representatives from the four local authorities responsible for the development of the six sites within the zone. The group is responsible for the delivery of the EZ delivery plan and regularly reports back to the LEP board. The work of the EZ is tied into broader support for the energy sectors as a whole with a combined marketing strategy which is part of the EZ delivery plan.

### **Space to Innovate Enterprise Zone Development Group**

There is a similar arrangement put in place for the ten new sites across Norfolk & Suffolk with the Development Group meeting quarterly.

The group is chaired by the LEP's Head of Enterprise Zone and Innovation and includes representatives from the district/borough councils and both County Councils responsible for the development of the 10 sites within the zone.

Each district/borough council has its own project or steering group for its site/sites which is responsible for the delivery of the EZ delivery plan. A member of the LEP EZ team is represented on all of these groups. These feed into the larger Development Group and subsequently the LEP board.

The membership of the group also includes representatives from key Government departments responsible for supporting enterprise zones.

### **New Anglia Small Grant Scheme Panel**

The LEP has been successful in their bid to the government to deliver the New Anglia Business Growth Programme that includes the Small Grant Scheme (SGS) and was awarded £12.48m from the European Regional Development Fund. The Small Grant Scheme became operational in August 2016 and will be running until August 2021.

SGS grant are between £1,000 and £25,000 (Growing Business Fund grants start at £250,000) with a the SGS Panel considering grant applications over £10,000, with applications below £10,000 approved by the Growth Programme Coordinator. Applications go through a Due Diligence process, undertaken by the LEP's Due Diligence Officer with the Panel members deciding whether to award grant funding for a proposed project electronically. The Panel also meets quarterly to discuss the grant programme, its processes and eligibility criteria to make sure the programme achieves its set targets.

The SGS Panel consists of three panel members, one representative from each of the following organisations: the LEP, Norfolk and Suffolk County Councils. It is a virtual group.

The Growth Programme Coordinator provides monthly reports on the programme to the LEP Board, Growth Programme partners and other stakeholders.

### **New Anglia Growth Programme Partnership Board**

The LEP was awarded £3.9m by Government as part of the Wave Two Growth Hub Programme and linked to the Norwich and Ipswich City Deals business support package. The programme ran for one year and consisted of the New Anglia Growth Hub, a business Start-up programme, Small Grant Scheme and Innovation Vouchers Scheme.

From April 2015 the Department of Business Innovation and Skills (now called the Department of Business, Energy and Industrial Strategy) awarded a further £350,000 of funding, as part of the Growth Deal, which enabled the Growth Hub element of the programme to continue to operate until the end of December 2015.

Since then, the LEP has secured £12.48 million of ERDF funding to sustain the Growth Programme until August 2021, including the Growth Hub, Start-up Programme and the Small Grant Scheme.

The New Anglia Growth Programme Partnership Board provides strategic and operational oversight of this programme. It is accountable to the main LEP board and provides a monthly operational report to the LEP board where it can recommend proposals for change or action. The Partnership Board also has a key role in identifying gaps in business support provision and supports the development of new programmes where gaps in provision exist as well as providing a forum to coordinate all aspects of business support in Norfolk and Suffolk to reduce duplication and to spread best practice as well as providing a leadership role in the application of resources.

The board is chaired by a representative from the New Anglia LEP and includes representatives of local and national business support providers, business interest groups, local authorities, education and the voluntary sector. A terms of reference is in place for the group.

## **Careers Inspiration Coordinating Group**

The Careers Inspiration Coordinating Group strategically supports and guides the focus of careers education, information, advice and guidance (CEIAG) to young people in mainstream schools and colleges plus settings such as Pupil Referral Units and SEND schools.

Careers Inspiration is important at all stages of employment so this group will review this. Initially the focus of the group is on pupils in Year 7 – 13 and primarily be centred around the Careers and Enterprise Company programmes that are being delivered in Norfolk and Suffolk.

The Coordinating Group will:

- provide coordination across the CEIAG landscape with a strategic focus on careers inspiration in Norfolk and Suffolk.
- collaborate proactively to identify opportunities and barriers in delivering the key CEIAG interventions particularly focussed around the Gatsby benchmarks
- actively report to the New Anglia LEP Skills Board on their progress and seek support with challenges together with responding to actions set out by the Board.
- interpret, share and/or respond to Labour Market Information and other appropriate sources of evidence which could impact the choices that young people make.

## **Partnership Working**

Working with partners is critical to the success of the Local Enterprise Partnership and we have a range of mechanisms to ensure businesses remain at the heart of our strategy. The purpose and effectiveness of our stakeholder engagement is under constant review by LEP management and Board to ensure effective delivery; in 2019 the structure and role of a number of the sector groups was reviewed to support them to deliver more effectively.

### **LEP Sector Groups**

The LEP has established a series of business-led advisory groups covering the key sectors with potential for growth in the LEP's local area. These are supported by the LEP's Innovation and Sector Manager and Innovation and Sector Development Coordinator.

These groups have historically operated at arm's length from the LEP board and are responsible for developing insight into the priorities and needs of their sector, and championing action from the LEP and others to support these priorities.

The priorities are essential building blocks for the Economic Strategy for Norfolk and Suffolk, and the sector groups are a vital mechanism for understanding the needs of business and for the LEP to test its future plans. Where they have the appropriate structures in place, sector groups have a role to play in supporting the delivery of activities such as taking forward the Sector Skills Plans.

Following a review of sector group governance, a number of parameters have been put in place which include that sector groups cannot be a private organisation or membership body, and that groups must regularly report to the LEP Board on achievements. A programme of adjustments to the groups' structures and Terms of Reference is underway to ensure governance structures adhere to these requirements.

### **Cambridge Norwich Tech Corridor**

The Cambridge Norwich Tech Corridor is a partnership initiative between Breckland District Council, Broadland District Council Cambridgeshire County Council, East Cambridgeshire District Council, Forest Heath District Council, New Anglia Local Enterprise Partnership, Norfolk County Council, Norwich City Council, South Norfolk Council, St Edmundsbury Borough Council and Suffolk County Council and the private sector. The initiative is hosted by New Anglia LEP.

The Cambridge Norwich Tech Corridor initiative is set up to support technology led economic growth in the geography between Norwich and Cambridge – identified as a Priority Place for growth in the New Anglia LEP Economic Strategy. The initiative is funded through the pooled business rates and governed by a private-public delivery board on which the LEP is represented.

### **Ipswich Vision**

The Ipswich Vision is a partnership of 7 stakeholders to work collaboratively and oversee key projects and place-based initiatives in central Ipswich to enhance economic growth. It is now in its 4<sup>th</sup> year. With many of the original projects delivered or ongoing, the Board is now evaluating the next phase and considering new priorities. The 7 stakeholders continue to meet every 6 weeks to collaborate, review and progress the Ipswich Vision. Priority projects currently include the Cornhill Activity Plan, construction of the Hold [Suffolk Heritage Centre], and the delivery of the Public Realm Strategy.

## **Stakeholder engagement**

### **LEP annual general meeting**

The LEP's articles of association provide for an annual general meeting which provides a good opportunity to update all stakeholders on the progress of the LEP and for the LEP board and executive to be held to account. The 2018 AGM was held at the Norwich Aviation Academy and featured updates on the Aviation Academy project and Visit East Anglia as well as a review of the year's LEP activity.

### **Communications**

The LEP utilises a range of communication channels to engage with stakeholders and to promote its work.

These include: press releases, reactive and proactive media statements, media interviews, the LEP website, monthly e-newsletters, as well as social media such as Twitter and LinkedIn. All marketing and promotion is carried out in accordance with Government branding guidelines. Furthermore, all legal agreements clearly stipulate this branding requirement as part of any funding awards made, and we actively monitor compliance with grant recipients.

The LEP has invested more resources in its website so it can more effectively promote the work of the LEP, and also improve the visibility and transparency of its work, with details of all Local Growth Deal projects and other funded projects clearly displayed.

The LEP Communications team is currently working on a major place branding exercise which was identified as a priority in the Norfolk and Suffolk Economic Strategy.

### **Events**

The LEP continues to participate in external events, with LEP board members and executive members taking part in a range of speaking engagements and events during the year in order to maximise all opportunities to raise the profile of our work.

The LEP Chair has also hosted a number of informal lunches across Norfolk and Suffolk to bring together key businesses and other stakeholders in local areas. The purpose of these is to foster partnership working in local areas – for example, bringing businesses into close contact with colleges – as well as updating stakeholders on the work of the LEP.

The LEP has also played a key role in events to discuss the impact of Brexit on business, in inward investment initiatives including a major trade fair in the Netherlands, in the Norfolk and Suffolk Careers Festivals and has a programme of events and workshops underway to support the development of the Local Industrial Strategy. The team also supports the Ipswich Vision partnership and the Growth Programme with strategic communications advice, and marketing and communications activities.

## **Local Authority Engagement**

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New Anglia LEP's board and executive engage extensively with all local authorities covering Norfolk and Suffolk.

This is often done on a one to one basis, by participating in meetings with individual local authorities. However, there are a number of formal groups which the LEP participates in.

### **Suffolk Public Sector Leaders Board and Norfolk Leaders Group**

The LEP chairman and chief executive are participants in both groups, enabling engagement with all local authority leaders in the work of the LEP on a regular basis and enabling the LEP to engage in the wider work of the public sector.

Both groups give the LEP regular opportunities to provide updates on the activities of the LEP and its key priorities, and the opportunity to receive feedback from leaders as well as to answer questions from leaders.

### **Norfolk Chief Executives Group and Suffolk Growth Programme Board**

The Norfolk Chief Executives Group and Suffolk Growth Programme Board both have an important role to support the LEP, and in particular the delivery of the Norfolk and Suffolk Economic Strategy.

These working groups are chaired by local authority chief executives and each group includes the local authorities from each county. The groups are attended by the LEP CEO or COO.

One of their roles is to provide advice to the LEP, to support the delivery of the Economic Strategy, to ensure it aligns with local plans and vice versa.

### **Suffolk Growth Portfolio Holders Group**

The LEP also participates in this group which brings together the economic development or growth portfolio holders in Suffolk to oversee plans for growth across the county, to pool and share expertise.

## Cross-LEP Working

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The focus of the Local Enterprise Partnership is on delivering economic growth in Norfolk and Suffolk.

To achieve this means working closely with LEPs and partners in other areas.

Cross-LEP working is particularly relevant for New Anglia LEP following the Government review of LEPs, as three of our district councils were previously also covered by the LEP area managed by the Business Board of the Cambridgeshire and Peterborough Combined Authority. We are therefore working to ensure we have a strong working relationship with the Combined Authority to ensure smooth continuity of delivery for that area.

New Anglia LEP collaborates with other LEPs on a range of projects and initiatives. We are currently running the Eastern Agritech grants scheme in collaboration with the Cambridgeshire and Peterborough Combined Authority. We are members of the Transport East Forum alongside four other LEPs, and play an active role in the Greater South East Local Energy Hub.

Where relevant, we collaborate across LEPs in developing projects – we are working with LEPs in the South West and Cumbria on the nuclear sector deal and with Hertfordshire LEP and the Cambridgeshire and Peterborough Combined Authority on developing a low carbon financial instrument for the East of England.

New Anglia LEP also plays an active part in the LEP Network, working with LEPs on areas of relevance across England. These include attendance at EU Programme network events, and sector-based themed events such as the Food and Drink Network.

## **Transparency of Decision Making**

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New Anglia LEP prides itself on transparency of decision making.

The LEP has a website which publishes information about its Board, Sub Boards and Committees. This includes agendas, papers and minutes, membership details, Terms of Reference and Registers of Interests of members.

The website also has details of all of our Growth Deal projects and their delivery aims, as well as Latest News which keeps visitors up to date with our most recent announcements and decisions. All LEP communications are delivered in accordance with Government branding guidelines.

Any calls for capital projects and clear processes on the application and decision making process will be made available on our website (i.e. through our Growth Deal Three funding). Information on all of our funding programmes, including Growth Deal (Capital Growth Programme), Growing Business Fund, Growing Places Fund and Small Grant Scheme, is available on our website. All programmes include clear processes for handling sensitive or confidential information without compromising transparency and these processes are used to ensure that only appropriate information is published.

The LEP ensures value for money and scrutiny for all projects and programmes through its formal appraisal processes and this is monitored throughout project delivery.

All project appraisals for the Growing Business Fund are undertaken by independent consultants before consideration by the Growing Business Fund Panel, which reports into the Investment Appraisal Committee. Project applications for the Growing Places Fund are considered by the LEP's Investment Appraisal Committee following independent due diligence.

Growth Deal projects are reviewed by the LEP's Strategy team, the LEP Skills Board or the Local Transport Body (as appropriate). All project appraisals are independent of the promoting organisation or, where this is impracticable, sit outside the management unit responsible for developing and promoting the business case.

Overall, the LEP's Head of Programmes is responsible for ensuring value for money and scrutiny for all projects and programmes. Value for money is assessed by scrutinising project outputs and deliverables in relation to the requested investment, and reviewing the cost effectiveness of delivery mechanisms. All investment decisions are made with due regard for statutory requirements, key policy parameters such as local transport objectives and conditions of funding.

Agendas, papers and minutes published on the LEP website will include all information appropriate for public disclosure, in line with relevant local authority rules and regulations.

Also published as part of the LEP's board papers and available on the website is a decision log which records all the decisions taken by the LEP board and its sub-boards.

The LEP's statutory annual accounts are published on our website each year, following the LEP's Annual General Meeting which is held in the autumn. The LEP's accounts are also filed publically at Companies House and are audited by independent accountants.

The website also provides details of the LEP's Growth Deal and details of its ongoing implementation.

Requests under the Freedom of Information and Environmental Information Regulations are responded to by the LEP in accordance with the relevant legislation.

The LEP has a company Articles of Association available on its website, which explains our purpose as well as our duties and responsibilities.

The Conflicts of Interest policy is on the LEP's website and is also set out in the Articles of Association. This sets out a clear process for dealing with any conflicts or potential conflicts of interest that may arise.

The LEP records all declarations of interest in the minutes of the monthly Board meeting. A register of interests is published on the LEP website and each member's individual register of interests is also published on the website.

The LEP also has complaints and whistleblowing policies and provides a clear link to these on its website. We aim to deal with complaints in the first instance within the relevant team, with the option for escalation to the LEP CEO or in rare instances to external review if needed. The whistleblowing procedure allows for securely confidential reporting of serious concerns, with a cascade of options for reporting concerns within the LEP and recourse to the LEP Unit at MHCLG if required. Assurances to staff who report concerns in good faith are incorporated. The LEP's code of conduct is also available on the website.

Most of our key governance documentation can be accessed on a single governance page on the website, as recommended in the guidance - <https://newanglia.co.uk/governance-decision-making-and-fags/> .

## **Project and Programme Delivery**

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All capital projects and the LEP programmes have clear processes in place to ensure strategic fit, value for money and due diligence.

We are currently developing an updated appraisal framework. This will provide a more detailed methodology for project identification, commissioning, appraisal and prioritisation.

The new framework will help the LEP and partners to assess how proposed interventions would contribute to the aims of the Economic Strategy for Norfolk and Suffolk and demonstrate value for money. It will be consistent with the Treasury Green Book. The new framework will be finalised in the next few months.

The LEP funding programmes are:

- Capital Growth Programme
- Growing Business Fund
- Small Grant Scheme
- Growing Places Fund
- Innovative Projects Fund
- Enterprise Zone Accelerator Fund

The LEP is currently developing a Funding Framework, to be finalised summer 2019, which will set out the parameters for approving funding, and for seeking funding from external sources. The Funding Framework will also set out a clear process for approving ad hoc LEP funding for activity outside the LEP's own programmes, for example as match funding for key bids.

The application decision making and delivery processes and governance and accountability of each of these programmes are described below. There are some key processes and checks which are common to all programmes, as follows –

### **Risk management**

The LEP actively maintains a Risk Register across all its activity, which is under regular review by the Audit and Risk Committee which will take action to challenge and address any concerns. The LEP seeks to manage and minimise risk in programme delivery by careful appraisal and scrutiny of potential projects prior to contract, and by constant monitoring of activity to identify issues.

### **Data Management**

The LEP manages data in accordance with GDPR and with the regulations of individual programmes, in particular the document management and retention requirements of EU Funding.

As Data Controller and Data Processor, New Anglia LEP is responsible for ensuring that any customer data and personal data, that it holds is accurate and, where necessary, kept up to date. Therefore it is a duty of the LEP to ensure that individuals have access rights to their data as required by the General Data Protection Regulation (2016/679) and Data Protection Act 2018.

In accordance with Article 5(2) of the General Data Protection Regulations, New Anglia LEP adheres to the principles of the Regulation when storing and processing data.

New Anglia LEP has several contracts with Government Departments to deliver a range of business support programmes and grant schemes, several of which are delivered in partnership with other organisations and Local Authorities. As part of the operation of these programmes/schemes, New Anglia LEP processes personal data according to the following lawful basis:

*Article 6(1)(e) of the General Data Protection Regulation “Processing is necessary for the performance of a task carried out in the public interest or in the exercise of official authority vested in the controller”.*

The lawful basis for controlling or processing ‘special category’ data is:

*Article 9(2)(g) of the General Data Protection Regulation “Processing is necessary for reasons of substantial public interest, on the basis of Union or Member State law which shall be proportionate to the aim pursued, respect the essence of the right to data protection and provide suitable and specific measures to safeguard the fundamental rights and the interests of the data subject”.*

Depending on the nature of activities or support provided, New Anglia LEP and its delivery partners, a range of information may be collected and may be shared with delivery partners and Government Departments for the purposes of reporting and monitoring.

### **Information Being Shared**

As part of the operation of New Anglia LEP’s business support programmes and grant schemes, a shared Client Relationship Management (CRM) System CRM System has been developed by New Anglia LEP to enable business support and delivery partners across Norfolk and Suffolk to facilitate the delivery, coordination and management of business support services to customers, support to inward investment opportunities in line with the objectives outlined in the Norfolk and Suffolk Economic Strategy and to contact customers about business support services that can be accessed through the New Anglia Growth Hub.

Further information can be found in the LEP’s Privacy Policy

### **Withholding, suspending and/or pay back of funds.**

In some instances, as a result of project review and monitoring it will be determined that a project is not going to spend its LEP allocation or there will be an issue with eligibility or relevance of spend against contract which requires a claw back of funds.

### **Process**

Offer letters relating to financial awards granted through programmes offered by the LEP determine the circumstances under which funds might be withheld, suspended and/or clawed back. Project applicants agree to monitor the delivery of their Project to ensure that the aims

and objectives of their Project are being met and that the terms of the Agreement are being complied with.

The LEP and/or the AB will undertake interim or post completion checks to confirm that the grant has been used for the approved purposes and to inspect any grant aided activity. The applicant must on request provide the LEP or the AB with such information, explanations and documents as may reasonably be required in order to facilitate monitoring and / or to establish that the terms of their Agreement have been complied with.

No financial claim shall be paid unless and until the LEP and/or the AB are satisfied that such payment is due under the terms of the project Agreement.

While not exhaustive, key circumstances, under which the LEP might seek an applicant to pay back funding include; breaking state aid law, where the applicant fails to comply with our agreement, commits fraud or a prohibited act, breaks the law or acts dishonestly, misleads the LEP/SCC, undertakes activity which could affect our reputation, fails to make satisfactory progress, delivers the project in a negligent manner, uses the grant for purposes other than it was awarded (such as ineligible expenditure), or fails to achieve an output.

## **Growth Deal and the Capital Growth Programme**

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### **Background**

The LEP has a £290.9m 'Growth Deal' with government to be invested in the region by 2021. It is estimated to create 54,750 new jobs, 6,800 new homes and to generate an additional £628m public and private investment.

The funding is for capital programmes and projects. Growth Deal funding (also known as 'Local Growth Funding') has been awarded in three stages:

- Growth Deal One (July 2014): £173.3m
- Growth Deal Two (January 2015): £48.5m
- Growth Deal Three (February 2017): £69.1m

Growth Deal provides funding for the following programmes: Growing Places Fund, Growing Business Fund and the Enterprise Zone Accelerator Fund. Details of these programmes are included below.

Growth Deal also provides funding to deliver major capital projects that will boost the region's skills, drive innovation, target support to help small businesses to grow, and improve transport and infrastructure. A list of all of the approved Growth Deal capital projects is on the LEP's website at <https://newanglia.co.uk/growth-deal/>

### **Processes**

The Capital Growth Programme was launched in 2017, with a call for projects in October 2017. Prior to this, capital projects were prioritised by the LEP and local partners for applications to the Government in July 2014 and January 2015.

New Anglia LEP launched a further call for projects focussed on Skills, Innovation and Productivity opportunities that meet the strategic priorities of the Economic Strategy for Norfolk and Suffolk. in October 2018. The LEP are likely to take a similar approach to any future call for projects.

The key criteria used for the October 2018 call were:

That all projects must be:

- Able to demonstrate that they address the key focus of skills, innovation or productivity
- Fully completed by the end of March 2021
- Able to demonstrate their contribution to the delivery of the Economic Strategy through direct and indirect outputs.
- State Aid compliant
- Able to demonstrate the need for funding and the additionality achieved by the funding.

It will not be possible to support:

- Revenue costs
- costs that have been incurred before a grant offer is made
- items that only benefit an individual or sole business
- items that are not directly needed to deliver the proposed work
- loan repayments or contributions to general appeals
- political or religious activities.

The project application, decision making and delivery stages are as follows:

## **Application**

The Capital Growth Programme is open to public and private applicants. It is for capital projects that are strategic priorities for the LEP. The call for projects in 2017 used an Expression of Interest form, but from 2018 a full Application Form will be required. The Application Form will be sent to prospective applicant on request, having provided basic information to determine eligibility.

Once the application is received, it is subject to assessment and appraisal, as follows:

**Review of Submissions:** The initial review of information by the LEP is a prioritisation process to assess projects against the eligibility criteria and specified focus of the call. Projects that do not meet the eligibility criteria of the call will not proceed beyond this stage.

**Development of projects:** Once accepted as an Capital Growth Programme, the project may be asked to supply further information and evidence in support of their application and any associated business case. This will enable a detailed appraisal of the project to take place. All projects must be able to demonstrate that the following key issues have been addressed:

- whether the need for the project has been clearly demonstrated
- evidence of option appraisal and business case
- how well the project meets the priorities of the Economic Strategy for Norfolk and Suffolk
- how well the project fits with local and sub-regional plans and priorities
- potential for alternative funding, partnering and joint schemes
- estimated costs with level of detail to reflect the current stage of the project
- potential of the project to contribute to economic growth
- potential of the project to achieve return on investment
- how likely the project is to be successful
- how risks will be managed and mitigated
- economic outputs and impacts created by the project
- how the benefits of the project will be sustained after LEP funding finishes.
- opportunities to scale the project up or down.

**Appraisal:** A full and independent appraisal of projects will be carried out in accordance with HM Treasury Green Book principles of viability, value for money, achievability, affordability and need. The LEP will appoint external appraisers for this call. A technical appraisal specialist may be sourced for individual projects if necessary.

The Appraisal process will utilise the Strategic Prioritisation Framework which will consider the projects Strategic Fit, Deliverability, Additionality and Economic Return. The appraisal process will also examine the following aspects of the project:

- action is justified with an identified need;
- any intervention is likely worth the determined cost;
- the proposed objectives deliver suitable benefits;
- direct outputs, indirect outcomes and wider impact are reasonable;
- options have been properly explored, including the 'do minimum';
- benefits and cost of each option have been considered and valued;
- the selected solution can reasonably be achieved;
- any barriers there are to delivery, such as inadequate infrastructure, etc;
- level of risk to successful delivery and possible impact;
- milestones and performance indicators;

- the State Aid position.

### **Decision making**

- The results of the formal independent appraisal of projects will initially be presented for consideration by the Investment Appraisal Committee (IAC) which makes recommendations to the main New Anglia LEP Board.
- The recommendations, and any specified conditions, from the IAC will then be presented to the monthly LEP Board for a final decision making.
- Decision, plus conditions if relevant, conveyed to applicant.

### **Delivery, claims and monitoring**

- Bespoke loan/grant agreement set up for each project in conjunction with Accountable Body legal team.
- Approval to proceed with project agreement authorised by the Section 151 Officer of Accountable Body.
- Grant agreement confirms payment release mechanisms (retrospective on project spend and works done)
- Grant agreement incorporates claim form, which should be reviewed by both LEP and SCC officers to ensure eligibility and compliance with award conditions.
- Payments are subject to standard Accountable Body (SCC) accounting procedures and systems.
- Ongoing monitoring of project delivery, spend and outputs through to project completion.

### **Governance**

The Growth Deal programme is delivered by the Growth Deal delivery team, which consists of a Growth Deal Manager and Growth Deal Coordinator employed by the LEP. The team is supported by the LEP Head of Programmes.

Project approvals are only made through majority decision by the LEP Board following consideration of the application for funding and the recommendations made by the LEP Head of Programmes.

An independent appraisal of each project is conducted in line with Green Book techniques and an initial level of due diligence is carried out on the applicant.

Requests for payment are submitted by the applicant as a formal claim process, reviewed by the LEP. Suffolk County Council pay compliant claims on request by the LEP and have the right to call in any claims for further review if they have concerns.

Capital projects and programme performance is monitored by the delivery team and reported to the LEP's Management Committee, to ensure they are delivered appropriately and within acceptable risk tolerances.

The Management Committee also monitors the expenditure profile. Performance of the programme is also reported to and monitored by the LEP board through quarterly performance reports. The same quarterly performance reports are sent to central Government.

The LEP retains its decision-making function regarding the management of allocated Growth Deal funds. This is because the LEP requires overall control of the Growth Deal profile as the government requires details of this annualised spend.

## **Accountability**

Suffolk County Council is the Accountable Body for the programme.

Suffolk County Council provides the legal support to prepare suitable grant documentation for each approved project.

All loans and grants issued are subject to State Aid rules and are scrutinised by SCC at an early stage of the process to ensure compliance with available legislation.

## **Resources**

New Anglia LEP Growth Deal Manager (F/T)

New Anglia LEP Growth Deal Coordinator (F/T)

New Anglia LEP Head of Programmes

SCC Finance Team

Suffolk Legal

NB. See Growing Business Fund and Growing Places Fund for the resources for these programmes.

# Growing Business Fund

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## Background

The Growing Business Fund is a grant fund which has been run by New Anglia LEP since April 2013. The fund was initially supported by the Regional Growth Fund, with £12m awarded from Rounds 3 and 4 of the funding. In 2015 the New Anglia LEP secured an additional £25.57m by 2021 from the Local Growth Fund through the Growth Deals. The Fund provides grants between £25,000 and £500,000 to local businesses across Norfolk and Suffolk.

The need for such a programme was identified through feedback from SME's in the region unable to access 100% of finance for expansion projects through traditional finance routes. The fund supports the capital costs of expansion by the businesses, up to the maximum allowable contribution under General Block Exemption Regulations (GBER) Articles 14, 17, and 19, of up to 20% of the costs of the project for small businesses employing less than 50 people.

Medium sized businesses can receive funding of up to 10% towards the project cost or 20% if regulated by De Minimis, but no more than equivalent of EUR200,000 around £175k (official exchange rate as of February 2018).

Any previous public sector funding, awards, tax reliefs or benefits regulated by De Minimis received over a 3 year fiscal period must be cumulated in such an award. SMEs based in an Assisted Area may apply for an additional 10% of funding. Large businesses based in an Assisted Area of Norfolk or Suffolk may apply for funding for up to 10% of the total project cost for a new activity in the area.

All successful applicants should create new jobs at the rate of one new full time equivalent (FTE) job per £20k of grant awarded, although grants can also be awarded to businesses showing significant growth and increases in productivity without the need for direct job creation. Jobs are profiled to be created over a period of up to five years, but the majority are anticipated within the first two years after grant award.

Applicants must secure all match funding from private sources only, including other finance, company funds or investment. No other public funding is accepted as match funding for the proposed expansion project.

Under current delivery arrangements the fund is exceeding its job and match funding targets.

## Processes

- The Growing Business fund is open to any local business meeting the grant programme eligibility criteria. Applicants must be an existing SME business or a large business in an Assisted Area.
- The programme operates on an open call basis, encouraging applicants to come forward at any time of the year.
- Projects must be related to growth of the business and involve new capital costs
- Jobs should be created at the rate of one new FTE job per £20k grant awarded. Cost to the employer for each new job must exceed £20k to ensure that VFM is achieved and there is no subsidisation of the individual jobs
- In the case of applications for innovation and productivity measures, projects must clearly demonstrate growth and an increase in productivity as a result of the grant funding
- Match funding must come from private sources
- Businesses must not be pre-revenue or start-ups
- Projects must be viable, supported by a robust business plan and represent effective use of public funds, representing good value for money for the investment made.

- The fund should not be used where sufficient funding already exists, nor on a retrospective basis

The project application, decision making and delivery stages are as follows:

### **Application**

- Enquiry – all enquiries are dealt with by New Anglia Growth Hub
- Expression of Interest Form. Gateway assessment conducted to judge eligibility for funding, including a business size status, match funding and sector.
- Full application form issued if gateway assessment successful.
- Independent project appraisal, including financial viability assessment conducted by Finance East, partners to the programme.
- Recommendation for Growing Business Fund panel completed.

### **Decision making**

- Grant applications are considered by the Growing Business Fund Panel at monthly Panel meetings and electronically in between if necessary. Decision making reviews financial position, deliverability evidence of need and fit within public funding realm.
- Decision plus conditions if relevant conveyed to applicant through legal grant award letter issued by Suffolk County Council as Accountable Body.

### **Delivery, claims and monitoring**

- Applicant accepts grant offer and project commences. Claim form provided to applicant. Claims submitted to SCC casework team for approval and payment.
- Payments are made against evidence of expenditure, but without application of an intervention rate - payments are made on a one to one basis, with further project spend monitored until completion. Payments made through SCC financial systems, approved by SCC Programme Manager.
- Ongoing monitoring of targeted outputs - job creation and private match funding until achieved. Monitoring visit completed by SCC Casework team following final claim by project.
- Claw back procedure in place for failure to achieve outputs or expenditure irregularities.

### **Governance**

The Growing Business Fund is delivered through a casework team of SCC employees seconded to the LEP including an SCC Programme Manager. The PM is supported in this role by the LEP Programmes Manager and LEP Head of Programmes.

The LEP's Programmes Coordinator manages the day to day delivery of the programme, promotes the scheme and engages with key stakeholders and delivery partners.

Project approvals are only made through majority decision by the Growing Business Fund Panel, which comprises an independent Chair, and representation from the New Anglia LEP Board and Norfolk and Suffolk businesses.

Decisions are recorded in the LEP's decision log, which is published for every LEP board meeting.

### **Accountability**

Suffolk County Council is the Accountable Body for the programme on behalf of the LEP.

The casework team are SCC employees seconded to the LEP. SCC provides the financial systems and support to release grant payments to projects, utilising existing financial procedures.

Payments are approved by the Programme Manager to show a separation of duties between the assessment and payment stages.

All grants issued are subject to State Aid rules and are scrutinised at an early stage of the process by the LEP, Finance East, and SCC to ensure compliance with available legislation. Grants must fall within GBER or De Minimis regulations and only be awarded to SME's based in Norfolk or Suffolk or to large businesses based within an Assisted Area in Norfolk or Suffolk. Applicants are advised that projects are subject to review by the EU and of the implications should an Aid be considered illegal, including the requirement to repay the funding with interest chargeable.

### **Resources**

New Anglia LEP Business Programmes Coordinator

SCC Programme Manager (F/T)

Casework Team (6x F/T)

SCC Finance Team

New Anglia LEP Programmes Manager

New Anglia LEP Head of Programmes

## **Small Grant Scheme**

### **Background**

The Small Grant Scheme (further after – the programme or the SGS) is a grant fund that has run by New Anglia LEP since August 2013. The programme is currently part of the New Anglia Business Growth Programme supported by £12.48m from the European Regional Development Fund. It provides grants between £1,000 and £25,000 to local businesses across Norfolk and Suffolk.

The SGS covers a gap in the market and there is a clear need for this type of scheme, identified by an “in-depth” consultation with a wide range of organisations. The SGS is derived from other successful grant schemes and has been set up to provide an innovative package of discretionary capital and revenue grant-based support for SMEs, integrated with and complementary to the other New Anglia Growth Hub products and the Growing Business Fund. The programme supports SMEs through the provision of grants to assist them to grow and expand, employ new staff, introduce new products and services, improve productivity or efficiency, increase their competitiveness etc.

Small businesses employing less than 50 people may apply for up to 20% of the costs of the project under General Block Exemption Regulations (GBER) Articles 14, 17, 18 and 19. Medium sized businesses may apply for funding of up to 10% towards the project cost or 20% if regulated by De Minimis regulations (EUR 200,000 is a maximum amount of all De minimis aid a business may receive over a 3 year fiscal period). SMEs based in an Assisted Area may apply for an additional 10% of funding.

Successful applicants must be able to explain how their business will benefit from a grant and what will happen if they do not receive funding. They must also be able to secure the remaining funding needed for their proposed project from private sources (private finance, company funds or investment, bank loans etc.). Funding from public sources, e.g. government, local authorities, lottery funding, is not accepted as match funding for the SGS.

### **Processes**

- The SGS is open to small and medium sized businesses across Norfolk and Suffolk meeting the grant programme eligibility criteria.
- The programme operates on an open call basis whilst funding is available.
- Projects must be related to growth or expansion or introduction of a new product/service, or improvement of productivity/efficiency.
- Match funding must come from private sources.
- Projects must be viable, supported by a robust business plan/ forecast and represent effective use of public funds, demonstrating good value for money in terms of deliverables and impact.
- The fund should not be used where sufficient funding already exists.

### **Application**

- Enquiry – all enquiries are dealt with by New Anglia Growth Hub;

- Application - assessment conducted by the Growth Hub to judge eligibility for funding;
- Assessment - independent project appraisal, including financial viability assessment conducted by New Anglia's Due Diligence Officer;
- Recommendation for SGS Panel completed.

### **Decision making**

- Grant applications are considered by the SGS Panel electronically as and when they are ready.
- Decision and conditions (if relevant) are conveyed to the applicant through a legal grant award letter (Offer Letter) issued by Suffolk County Council (SCC).

### **Delivery, claims and monitoring**

- Having signed and returned the Offer Letter to SCC, the Applicant may commence their project.
- Having invested all the project costs, the Applicant may submit only one claim (a claim form template is part of the Offer Letter) to a MGS caseworker at SCC for approval and payment.
- Grant payments are made against evidence of all expenditure through SCC financial system, approved by SCC Programme Manager.
- Ongoing monitoring of targeted outputs (if apply) - job creation and/or introduction of a new product/service and/or improvement of productivity or efficiency until achieved. A possible monitoring visit completed by a MGS caseworker following completion of the project.
- Claw back procedure in place for not complying with the requirements.

### **Governance**

The SGS is delivered by New Anglia LEP, Suffolk Chamber of Commerce (Growth Hub), Nwes and Suffolk County Council.

New Anglia LEP employs the Business Growth Programme Coordinator to manage day to day delivery of the SGS as well as other elements of New Anglia Business Growth Programme, promote the SGS and engage with key stakeholders and delivery partners. The Coordinator is supported by the Administrator, the Finance and Compliance Officer, the LEP Programmes Manager and Head of Programmes.

All SGS enquiries are being dealt with by New Anglia Growth Hub. Due diligence of grant applicants is completed by the New Anglia Due Diligence Officer.

Grant decisions are only made by majority of the SGS Panel which comprises of one representative from each of the following organisations: the LEP, Norfolk and Suffolk County Councils. Offer Letters are issued and claims are checked and paid by a SGS caseworker at SCC that is supported by SCC Programme Manager.

### **Accountability**

New Anglia LEP is the Accountable Body for the SGS and the New Anglia Business Growth Programme as a whole. Our partner organisations Suffolk Chamber of Commerce (Growth Hub), Nwes, Menta, SCC and others are actively promoting the SGS. SCC provides the financial systems and support to release grant payments to grant applicants, utilising existing financial procedures.

All grants issued are subject to State Aid rules and are scrutinised at an early stage of the process by the Growth Hub, LEP, Nwes and SCC to ensure compliance with available legislation. Grants must fall within GBER (Articles 14, 17, 18 or 19) or De Minimis regulations and only be awarded

to SMEs based in Norfolk or Suffolk. Applicants are advised that their projects are subject to review by the EU and of the implications should an Aid be considered illegal, including the requirement to repay the funding with interest chargeable.

## **Resources**

New Anglia LEP:

- Growth Programme Coordinator (F/T); GP Administrator (F/T); GP Finance & Compliance Officer (F/T); Due Diligence Officer (F/T);
- Supported by the LEP's Programmes Manager and LEP's Head of Programmes.

Suffolk Chamber of Commerce (Growth Hub):

- 17 F/T staff (11 Business Advisers, 1 Marketing and Communications Coordinator, 2 Events Coordinator, 1 Business Support Officer, 2 Business Growth Support Advisers, 1 GH Manager);
- 1 Business Support Officer – P/T.

Suffolk County Council:

- 2 Caseworkers – F/T;

Supported by Programme Manager and Finance Team.

## **Growing Places Fund**

### **Background**

The Growing Places Fund (further after the programme or GPF) is a recycling loan fund which has been run by New Anglia LEP since 2012.

The fund was designed to address the problems facing stalled developments, by providing financial support towards costs such as site infrastructure, services or access.

The fund operates predominantly as a loan fund but some funding is available for smaller grants to support regionally significant cultural and tourism projects where a GPF grant secures a major match funding contribution.

### **Processes**

The Growing Places Fund is open to public and private applicants. The Fund now stands at a total allocation of approximately £32 million which has been matched by in excess of £280 million from public and private sources. The Fund has committed over £25 million on 28 capital investment projects and has supported 7 sector developments. The fund remains open to applications and has a pipeline of projects for consideration..

The project application, decision making and delivery stages are as follows:

### **Application**

- Initial enquiry received. The programme operates on an open call basis with the funding opportunity promoted through the LEP's website and wider marketing opportunities.
- Full application completed following discussion with LEP.
- Project appraisal and due diligence conducted by independent consultants.
- Decision or Recommendation by the Investment Appraisal Committee to the LEP Board completed.

### **Decision making**

- Projects will be debated by the Investment Appraisal Committee which makes decisions on amounts below £500k or recommendations to the main New Anglia LEP Board for amounts above this, at monthly LEP Board meetings. Decision making incorporates value for money, ratio of funding to jobs created, security of loan.
- Decision plus conditions if relevant conveyed to applicant
- Bespoke loan/grant agreement set up for each project in conjunction with Accountable Body legal team, and signed off by the Accountable Body.

### **Delivery, claims and monitoring**

- Loan agreement confirms payment release mechanisms (retrospective on project spend or works done)
- Loan agreement incorporates claim form, which should be reviewed by both LEP and Suffolk County Council officers to ensure eligibility and compliance with award conditions.

- Payments are subject to standard Accountable Body (Suffolk County Council) accounting procedures and systems. Expedited payment system (The Clearing House Automated Payment Scheme (CHAPS)) available if necessary to provide rapid payment. Final sign off of payment by the Section 151 Officer
- Ongoing monitoring of targeted outputs and other project outcomes

## **Governance**

The Growing Places Fund is delivered through a Senior Programme Coordinator, employed by the LEP. The Coordinator also delivers case work and is supported in this role by the LEP Head of Programmes.

Project approvals are only made through majority decision by the LEPs Investment Advisory Committee or Board following consideration of the application for funding and the recommendation made by the Programme Coordinator.

An independent appraisal of each project is conducted in line with Green Book techniques and an initial level of due diligence is carried out on the applicant. Deliverability, leverage, regional or local economic significance and Value for Money are key areas that any project has to score highly in to gain investment from the fund.

Requests for payment are submitted by the applicant as a formal claim process, reviewed by the LEP and by Suffolk County Council and signed off by the appropriate officer at Suffolk County Council on behalf of the Accountable Body.

## **Accountability**

Suffolk County Council is the Accountable Body for the programme.

Suffolk County Council provides the legal support to prepare suitable loan or grant documentation for each approved project. This support is reimbursed at cost by the programme.

All loans and grants issued are subject to State Aid rules and are scrutinised by SCC at an early stage of the process to ensure compliance with available legislation. The majority of loans are issued at or equivalent to a commercial rate of interest to ensure that they cannot be considered to be an Aid. Applicants are advised that projects are subject to review by the EU and of the implications should an Aid be considered illegal, including the requirement to repay the funding with interest chargeable.

## **Resources**

New Anglia LEP Senior Growing Places Coordinator (F/T)

New Anglia LEP Head of Programmes

SCC Finance Team

## **Principal 2018/19 Growing Places Fund operational variances**

The fund will be delivered in 2018/19 in accordance with the current procedures and operational methodology. The only changes to the delivery process are:

- Ensuring future projects support the objectives of the Economic Strategy for Norfolk and Suffolk.
- Revised annual allocation agreed in order to meet demand.

## Innovative Projects Funds

### Background

An important source of revenue funding comes from our Enterprise Zones. Under the Enterprise Zone legislation, the LEP is entitled to retain 100 per cent of additional business rates generated by the zones for a period of 25 years.

Under agreements reached with our local authority partners, this funding is split on each site into three pots.

- Pot A is retained by the district and county authorities to ensure they are not at a financial disadvantage from the zone. Without EZ status they would have ordinarily retained a portion of the income.
- Pot B is set aside to accelerate development of the zone and is managed by the local authorities and the LEP.
- Pot C is ring fenced by the LEP to invest in supporting economic growth and in the delivery of the LEP's Economic Strategy.

In January 2017, the LEP board agreed that a portion of funding from Pot C should be set aside to support innovative projects by external partners to deliver the Economic Strategy. The Innovative Projects Fund was created.

The first call took place in August 2018.

### Processes

The Innovative Projects Fund is promoted through the LEPs website and wider marketing opportunities and networks. The Innovative Projects Fund is open to public and private applicants located from within the New Anglia LEP area via annual focused funding calls of £500,000.

As part of the assessment process, projects that can clearly demonstrate direct links to delivering elements of the Economic Strategy, and in particular growth of LEP ambitions, themes, sectors and key growth locations will be prioritised. For example, projects relating to energy, agri-food, ICT/ digital and creative industries with clear and demonstrable outputs will be prioritised.

Cross-sector collaborations, where specialist skills in one sector can drive innovation and growth are of particular interest. Proposals for revenue funding to accelerate the impact of LEP capital schemes are also considered. Transport feasibility studies are not supported through this fund.

Additionally, all projects must be:

- State Aid compliant

- Able to demonstrate their contribution to the delivery of the Economic Strategy and Call Focus through direct and indirect outputs.
- Able to demonstrate the need for funding and the additionality achieved by the funding.

The project application, decision making, and delivery stages are as follows:

### **Application**

- Initial enquiry received via the Programmes Team.
- Initial project enquiry and applicant contact information is recorded.
- Application form sent to applicant.
- Full application completed by applicant and submitted following discussion with LEP.

### **Decision making**

Once submissions have been received, applicants may be required to respond to queries about their projects from the LEP programmes team as part of the shortlist process.

Applications will then be subject to a full appraisal by an independent consultant.

The appraisal will be in accordance with HM Treasury Green Book principles of viability, value for money, achievability, affordability and need. As such, projects will be scored on a competitive basis against the following criteria:

- Demonstration of clear fit with Economic Strategy.
- Additionality. How is this more than business as usual.
- Value for money. Can the project demonstrate this is good use of public money.
- Leverage. What additional funding, public or private or in-kind support does the project generate.
- Impact. What will the project actually deliver.
- Sustainability. What will happen when the funding ends.

Key areas will be scored 1-5 for each project, with 5 being the highest.

The New Anglia LEP Investment Appraisal Committee (IAC) considers all applications at its scheduled meetings and determines whether to approve or reject each of the Innovative Projects Fund applications. A decision plus any conditions (if relevant) will be conveyed to the applicant.

### **Delivery, claims and monitoring**

All projects approved for funding will be subject to an offer letter and/ or agreement drawn up in conjunction with the LEP's Accountable Body, Suffolk County Council. The agreement/ offer letter will include the cycle of anticipated drawdown of funding and the outputs expected to be generated by the project plus any conditions laid down by the Investment Appraisal Committee. The process is then as follows:

- Having signed and returned the Offer Letter to SCC, the Applicant may commence their project.
- Having invested agreed project costs, the Applicant may submit claims in line with their claim schedule (a claim form template is part of the Offer Letter) to the project caseworker at the LEP for approval and payment.

- Grant payments are made against evidence of all expenditure through the SCC financial system, approved by SCC Programme Manager.
- Ongoing monitoring of targeted outputs (if apply) - job creation and/or introduction of a new product/service and/or improvement of productivity or efficiency until achieved. A possible monitoring visit completed by the LEP caseworker following completion of the project.
- Claw back procedure in place for not complying with the requirements.

## **Governance**

The Innovative Projects Fund is delivered by the Project Coordinator, employed by the LEP. The Projects Coordinator is supported by the LEP Head of Programmes.

Project approvals are only made through majority decision by the LEP's Investment Appraisal Committee following consideration of the application for funding and the recommendation made by the LEP Head of Programmes, following the appraisal process (outlined above).

Requests for payment are submitted by the applicant as a formal claim process, reviewed by the LEP and by Suffolk County Council and signed off by the Section 151 Officer at Suffolk County Council.

The performance of the Innovative Projects Fund is monitored by the LEP's Management Committee, to ensure it is delivered appropriately and within acceptable risk tolerances.

The Management Committee also monitors the spend profile. Performance of the programme is also reported to and monitored by the LEP board through regular board reports.

## **Accountability**

New Anglia LEP is the Accountable Body

SCC provides the financial systems and support to release grant payments to grant applicants, utilising existing financial procedures.

Suffolk County Council provides the legal support to prepare suitable grant documentation for each approved project. This support is reimbursed at cost by the programme.

## **Resources**

New Anglia LEP Project Coordinator (P/T)

New Anglia LEP Head of Programmes

SCC Finance Team

## **Enterprise Zone Accelerator Fund**

### **Background**

The Enterprise Zone Accelerator Fund is used to co-invest with local authority partners in joint delivery projects on Enterprise Zone sites. The fund is aimed at supporting local authority partners delivering Enterprise Zone sites in their borough or district and is for capital expenditure only.

The fund is designed to deliver a return on commercial terms, generating a long-term return on investment. The funds criteria are expected to be reviewed in the coming months. This document will be updated as necessary to reflect any changes agreed by the LEP Board.

The key objectives of the Enterprise Zone Accelerator Fund are:

1. To create a fund that supports economic growth whilst generating an income to help to support the long-term economic growth objectives of the LEP.
2. To provide financial support on a co-investment model to enable local authority partners to develop opportunities on EZ sites.
3. To establish sustainable revolving funds so that funding can be reinvested to unlock further development, and lever in private investment.

New Anglia LEP considers opportunities to invest to support the delivery of essential development required to unlock growth on Enterprise Zone sites, bringing forward delivery.

The intention is that finance obtained from the fund will attract a 14-20-year return on the capital investment. The intention is not to generate a substantial return, but to help to sustain the LEP interventions targeted at supporting the local economy.

The assessment criteria will ensure the developments selected for forward investment will prioritise schemes that deliver early.

The Growth Deal ends on 31 March 2021 and all investments need to be in place and the investment released by the LEP then.

### **Processes**

The New Anglia LEP has developed its Enterprise Zone Accelerator Fund in line with the Government's objectives and has developed a process and a set of criteria to select appropriate schemes. The programme operates on an open call basis but within controlled eligibility.

All potential investments must meet the following broad criteria:

- Schemes must be for capital investment (not revenue)
- Schemes should contribute to the LEP's strategic objectives contained in the Economic Strategy
- Schemes must be in the New Anglia LEP and located on an EZ site
- Schemes will need to demonstrate investment readiness with no barriers or constraints in relation to land ownership, planning and other approvals
- Applicants must be a local authority partner with 50% or more of the investment funding secured through an appropriate mechanism

Applicants are invited to discuss potential projects with New Anglia LEP ahead of their submission.

### **Application**

Expressions of Interest are invited to allow early discussions with LEP staff to ensure eligibility and value for money etc have been considered projects prior to application stage.

Once submissions have been made applicants may be requested to respond to queries about their applications as part of the consideration and short-listing process.

Short-listed schemes will be required to submit further details of financial profile and output projections to enable detailed scheme appraisals to be completed. Full details of any information required will be confirmed with each applicant.

All schemes that pass an initial eligibility assessment are further assessed to determine their suitability to receive Enterprise Zone Accelerator Fund investment.

### **Decision making**

The decision-making process for the Enterprise Zone Accelerator Fund includes:

- That projects will be debated by the Investment Appraisal Committee which makes recommendations to the main New Anglia LEP Board, at monthly LEP Board meetings. Decision making incorporates strategic fit, value for money, additionality, deliverability.
- Decision plus conditions if relevant conveyed to applicant
- Bespoke investment agreements set up for each project in conjunction with the Accountable Body legal team. Approval of project only by the Accountable Body team at SCC.

### **Delivery, claims and monitoring**

- The investment agreement/contract will include formal signature requirements; revenue share and return arrangements, agreed milestones for delivery linked to the release of funds; and claw back arrangements in case of delay or lack of delivery.
- The investment agreement incorporates a claim and monitoring form, which should be reviewed by both LEP and Suffolk County Council officers to ensure eligibility and compliance with award conditions.
- Payments are subject to standard Accountable Body (Suffolk County Council) accounting procedures and systems.
- Ongoing monitoring of spend and outputs.

## **Governance**

The Enterprise Zone Accelerator Fund is coordinated by the Enterprise Zone Accelerator Fund Coordinator and the Enterprise Zone Advisor, both employed by the LEP. The two posts are supported by the LEP's Head of Programmes.

Project approvals are only made through majority decision by the LEP Board following consideration of the application by the Investment Appraisal Committee and the recommendation made by the LEP Head of Programmes.

An independent appraisal of each project is conducted in line with Green Book techniques and an initial level of due diligence is carried out on the applicant.

Requests for payment are submitted by the applicant as a formal claim process, reviewed by the LEP and by Suffolk County Council and signed off by the Section 151 Officer at Suffolk County Council.

Programme performance is monitored by the LEP's Management Committee, to ensure they are delivered appropriately and within acceptable risk tolerances.

The Management Committee also monitors the spend profile. Performance of the programme is also reported to and monitored by the LEP board through regular board reports.

## **New Anglia Capital**

### **Background**

New Anglia Capital was formed to provide an equity investment option to early stage and pre-revenue SME's looking to grow and create jobs in Norfolk and Suffolk. NAC operates as a subsidiary of New Anglia LEP, with funding allocated from repaid loans issued through the Growing Places Fund.

### **Key objectives**

- To facilitate increased investment in early stage and pre revenue companies in Norfolk and Suffolk
- To consider providing equity investment where co-investment is offered by local angel investors
- To grow the network of angel investors in both Norfolk and Suffolk

### **Governance**

Investments are considered by the New Anglia Capital board which comprises 5 members, 3 of whom are also LEP board members. New Anglia LEP officers act as observers and advisers on the board. NAC provides updates to the LEP Board with a full report on investments and outcomes twice a year. All investments are subject to full independent due diligence.

### **Investments**

NAC maintains a portfolio of investments (14 at April 2019). Maximum investment for each company is £250k. All investments are expected to exit within 3-5 years of investment, with returns reinvested into the NAC investment fund.

