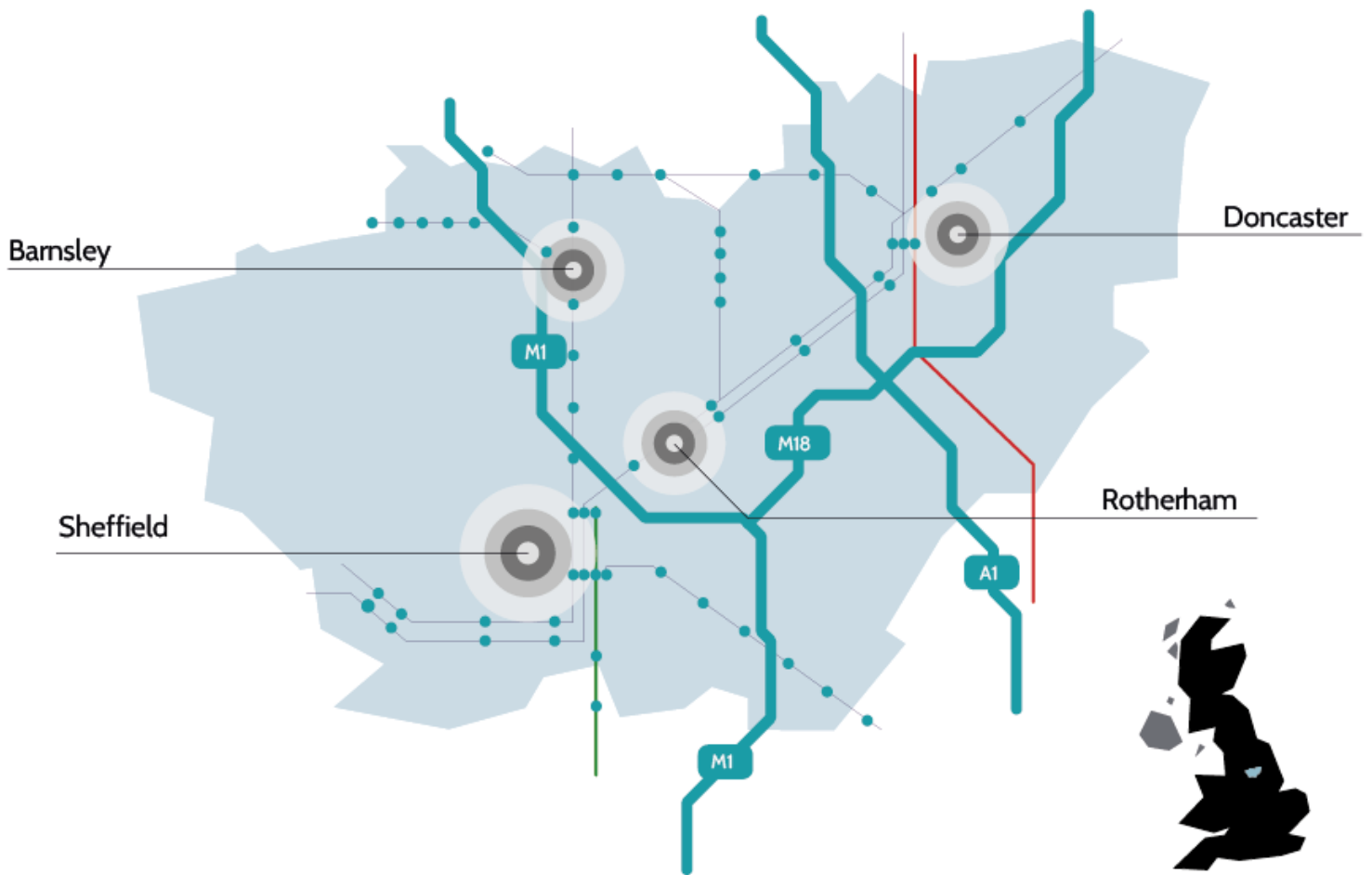


ASSURANCE FRAMEWORK

DRAFT 2026



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1. Introduction

Purpose of the Assurance Framework

- 1.1 The aim of this document is to set out how the South Yorkshire Mayoral Combined Authority (SYMCA) will use public money responsibly, both openly and transparently, and achieve best value for money. This document outlines:
- The respective roles and responsibilities of the Mayoral Combined Authority Board, the South Yorkshire Mayor and other elements of the decision-making and delivery structure;
 - The key processes for ensuring accountability, probity, transparency, legal compliance, and value for money;
 - How potential investments will be prioritised, appraised, approved, and delivered; and
 - How the progress and impacts of these investments will be monitored and evaluated.
- 1.2 The Assurance Framework sits alongside several key governance and policy documents – most notably the Devolution Agreement and Settlement Letter, the SYMCA Constitution, the Financial Regulations, the Local Growth Plan, the Strategic Economic Plan (SEP), and Monitoring and Evaluation Framework. Please note that the South Yorkshire Strategy will replace the SEP once adopted during 2026/27.
- 1.3 The Assurance Framework has been developed in accordance with the English Devolution Accountability Framework (March 2023), the HM Treasury Green Book (May 2024), Scrutiny Protocol (November 2023) and Integrated Settlement Policy Document (June 2025).
- 1.4 To ensure coherent, evidence-led decision-making, SYMCA operates within a clear strategic hierarchy, in which all programmes and projects must demonstrate alignment to the region's overarching strategic direction. The new South Yorkshire Strategy will sit at the top of this hierarchy once adopted, setting out the long term shared outcomes for the region. These outcomes will provide the anchor for SYMCA's priorities, corporate plan, place plans and programme-level delivery frameworks. Until adopted the SEP outcomes and the Local Growth Plan objectives will provide the framework for investment decisions. Funding-stream requirements, including those linked to the Integrated Settlement, the Adult Skills Fund and CRSTS, are nested within this hierarchy and must be mapped explicitly to the South Yorkshire Outcomes Framework. This ensures that, while statutory and departmental obligations are fully met, all investment decisions are ultimately driven by a single, coherent set of regional priorities and contribute demonstrably to the outcomes that matter most for South Yorkshire's people and places.
- 1.5 This Assurance Framework takes effect from 1 April 2026. It will apply to all new decisions, approvals, and funding bids, regimes, and projects from this date. For continuity and consistency purposes, some existing projects which are already part way through the 2025 Assurance Framework process, will conclude their funding approval through that route.

Updating the Assurance Framework

- 1.6 The Assurance Framework is reviewed and updated at the end of each year. The next annual review of this document is scheduled to commence in October 2026. However, this document will be amended

and re-published prior to the annual review date as a result of the adoption of the South Yorkshire Strategy. This will incorporate any further changes made to SYMCA, or its governance and assurance structures and processes, or if new guidance is received from the Government.

- 1.7 A draft of the Assurance Framework is presented to the SYMCA Board to approve any changes. The Assurance Framework is then submitted to the Ministry of Housing, Communities and Local Government (MHCLG), the Department for Transport (DfT) and the Department for Education (DfE) for approval.

The Structure of this Document

- 1.8 The remainder of this document is structured into the following sections:
- **Section 2** describes South Yorkshire, the funding devolved by Government to the Mayoral Combined Authority and the plan for economic growth.
 - **Section 3** explains the structures, roles, and responsibilities for decision-making.
 - **Section 4** outlines the processes for ensuring openness and accountability for public funds.
 - **Section 5** describes how SYMCA collaborates and engages with other MCAs, partners, and the public.
 - **Section 6** illustrates how decisions are made in a robust, evidenced, and transparent manner.
 - **Section 7** explains how projects are delivered and monitored and evaluated.
 - **Section 8** states how the Mayor and SYMCA work collaboratively and consult with others
 - **Section 9** outlines how information is published.
 - **Appendix A** provides the Outcomes Framework that SYMCA assesses funding applications against. The Outcomes Framework is also used to monitor and evaluate programme and project performance against.
 - **Appendix B** is a diagram showing the full business case appraisal process for projects seeking investment from SYMCA. It summarises the assurance, legal and technical checks that are undertaken at each stage as well as the technical analysis and decision-making points.

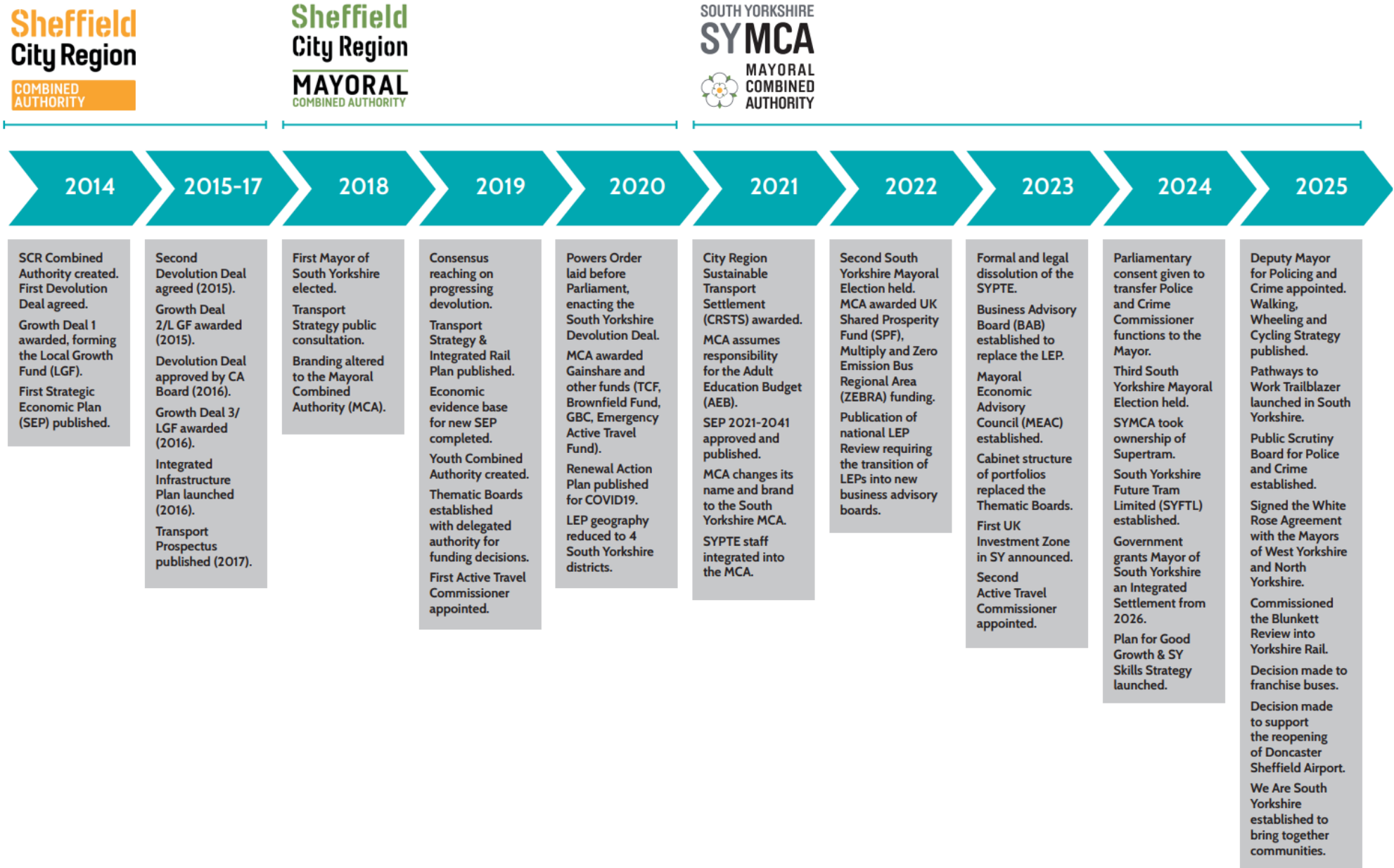
2. About South Yorkshire

History

- 2.1 The South Yorkshire geographical area consists of the four local authority districts in South Yorkshire: Barnsley, Doncaster, Rotherham, and Sheffield.
- 2.2 In 2008, the Sheffield City Region (SCR) Forum was created to formalise collaborative working between the South Yorkshire authorities that had taken place since 1986. The SCR Forum evolved into the Local Enterprise Partnership (LEP) in 2010. This was followed by the formation of the Mayoral Combined Authority (SYMCA) on the 1st April 2014 and the election of the first Mayor on the 4th May 2018.
- 2.3 The South Yorkshire Devolution Deal¹ was signed into law on the 27th July 2020.
- 2.4 The second Mayor for South Yorkshire was elected on the 6th May 2022 .
- 2.5 Following the conclusion of the Government's LEP Review in 2022, and a review of SYMCA's governance structure, the LEP evolved into a new Business Advisory Board in June 2023. The Mayoral Economic Advisory Council was established at the same time.
- 2.6 In 2024, parliamentary consent was given to transfer responsibility for the Police and Crime Commissioner (PCC) functions to the South Yorkshire Mayor. This prompted the third Mayoral Election in South Yorkshire on 2 May 2024, where the Mayor was re-elected for a second term.
- 2.7 On 22 March 2024, SYMCA took ownership of the Supertram, the mass transit light rail network operating between Sheffield and Rotherham. South Yorkshire Future Tram Limited (SYFTL) was established as an arm's length organisation to manage the operation of Supertram on SYMCA's behalf.
- 2.8 In October 2024, the Government announced that South Yorkshire would be granted a full Integrated Settlement from 1 April 2026.
- 2.9 A timeline showing the significant milestones in the evolution of SYMCA is shown in Figure 1 overleaf:

¹ [The Barnsley, Doncaster, Rotherham, and Sheffield Combined Authority \(Functions and Amendment\) Order 2020](#)
SYMCA Assurance Framework 2026

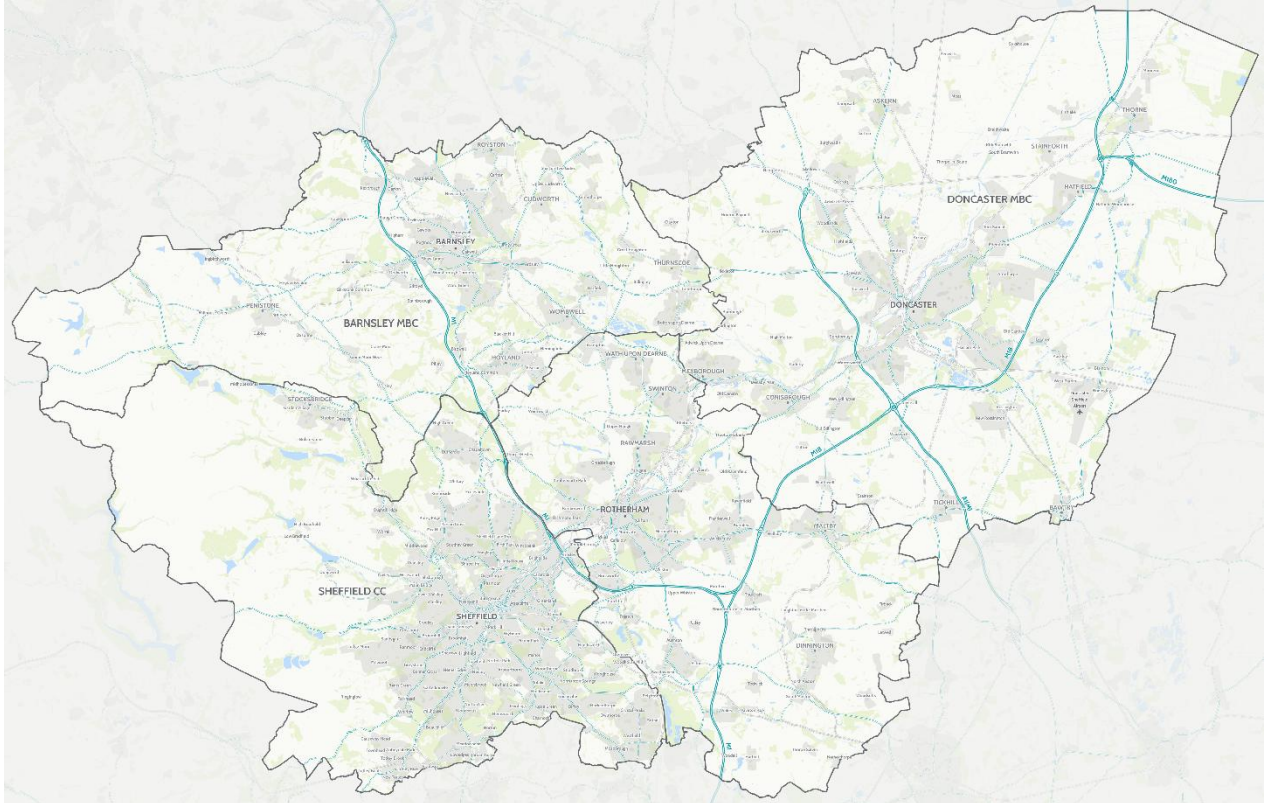
Figure 1: South Yorkshire Devolution Timeline



Geography

- 2.10 The geographical boundary for SYMCA is South Yorkshire (Figure 2). However, the wider functional economic area also covers five neighbouring districts in Derbyshire and Nottinghamshire: Bassetlaw, Bolsover, Chesterfield, Derbyshire Dales and North East Derbyshire.

Figure 2: Map of South Yorkshire



- 2.11 These five districts are named as non-constituent members of SYMCA in accordance with the 2014 Order² that created the MCA, and they collaborate with SYMCA on cross-border economic issues.

Devolved Powers

- 2.12 Under the South Yorkshire Devolution Deal, SYMCA and the Mayor were granted the following devolved powers from Government:
- The full devolution of the 19+ Adult Education Budget for college and training providers, now known as the Adult Skills Fund
 - The ability to borrow against funds
 - To improve the supply and quality of housing and secure the development of land or infrastructure
 - To create a non-statutory Spatial Framework for South Yorkshire
 - The option to establish Mayoral Development Corporations
 - To provide grants and make agreements with other bodies on the management of the strategic highway network
 - The option to introduce a Mayoral precept.

² [The Barnsley, Doncaster, Rotherham, and Sheffield Combined Authority Order 2014](#)
SYMCA Assurance Framework 2026

- 2.13 In May 2024 the Mayor assumed responsibility for exercising the functions of the Police and Crime Commissioner. This role includes responsibility for securing and maintaining an efficient and effective police force, listening to the needs of communities and holding the Chief Constable to account. The Mayor's powers include:
- Deciding the budget, allocating assets and funds to the Chief Constable
 - Setting the precept for the South Yorkshire Police force area
 - Appointing, and where necessary, suspending or calling on a Chief Constable to retire or resign
 - Oversight of the police complaint review process
 - Issuing the Police and Crime Plan
- 2.14 A Deputy Mayor for Policing and Crime was appointed in June 2025 to assist the Mayor in delivering the Police and Crime Plan priorities. The Mayor retains accountability all Police and Crime functions.

Devolved Funding and the Integrated Settlement

- 2.15 In 2024 the Government confirmed that South Yorkshire had met the eligibility criteria for Level 4 devolution from 2026/27. Up to this point powers and funding had been devolved to regions through a series of devolution deals but South Yorkshire is now one of seven Mayoral Strategic Authorities in England that will obtain devolved funding, levers and functions by default.
- 2.16 Level 4 devolution provides greater flexibility to Mayoral Strategic Authorities by offering:
- An integrated funding settlement to replace individual funding programmes for thematic areas such as transport, housing, skills and employment, economic development, the environment and health
 - Single, systemised approach to spending control which allows Mayoral Strategic Authorities to vire up to 10% of funding between thematic areas at their discretion to adapt to local need within agreed limits
 - Responsibility for managing and retaining unspent funds, meaning that unspent Integrated Settlement funding is excluded from Government department savings exercises
 - The ability to seek or pilot additional functions or powers
- 2.17 The devolution Investment Fund, known locally as Gainshare, does not form part of the Integrated Settlement. SYMCA will continue to receive an annual funding allocation of £30m for a period of 30 years in line with the Devolution Deal signed with Government. This funding consists of 60% capital and 40% revenue funding in addition to the Integrated Settlement that can be invested in delivering SYMCA's strategic and economic priorities.
- 2.18 Following satisfactory completion of the first Gateway Review 2020-25, SYMCA's devolution Investment Fund (Gainshare) is now subject to a lighter touch Gateway Review process which consists of annual reporting, review and evaluation with MHCLG. From 2025/26 SYMCA is required to produce and submit an annual Local Evaluation Framework (LEF) for gainshare funded schemes and produce spend and delivery monitoring reports and written progress and impact evaluation reports on a select number of gainshare schemes.

- 2.19 In preparation for Level 4 devolution from 1 April 2026, SYMCA underwent a series of Integrated Settlement readiness checks in 2025/26 to demonstrate to Government that it has the necessary governance, assurance, systems and processes in place, and the capacity and capability to deliver the Integrated Settlement. The Government appointed independent assessors to identify any recommendations on measures and controls that SYMCA needed to put in place in order to meet the Integrated Settlement readiness criteria. These recommendations have been developed into an Action Plan, implementation of which has commenced and will continue into 2026/27 and beyond.
- 2.20 Apart from ensuring that the assessor's recommendations on Integrated Settlement readiness are reflected in SYMCA's Local Assurance Framework (this document), SYMCA is also required to develop a revised Outcomes Framework and Local Growth Plan to outline how the Integrated Settlement will be invested and measured, the draft Integrated Settlement Outcomes Frameworks is attached at Appendix A.
- 2.21 All Integrated Settlements awarded to Mayoral Strategic Authorities will be subject to formal external audit by the Comptroller and Auditor General and evaluation by Government. In addition, SYMCA will include the Integrated Settlement in their internal and external audit assessments.

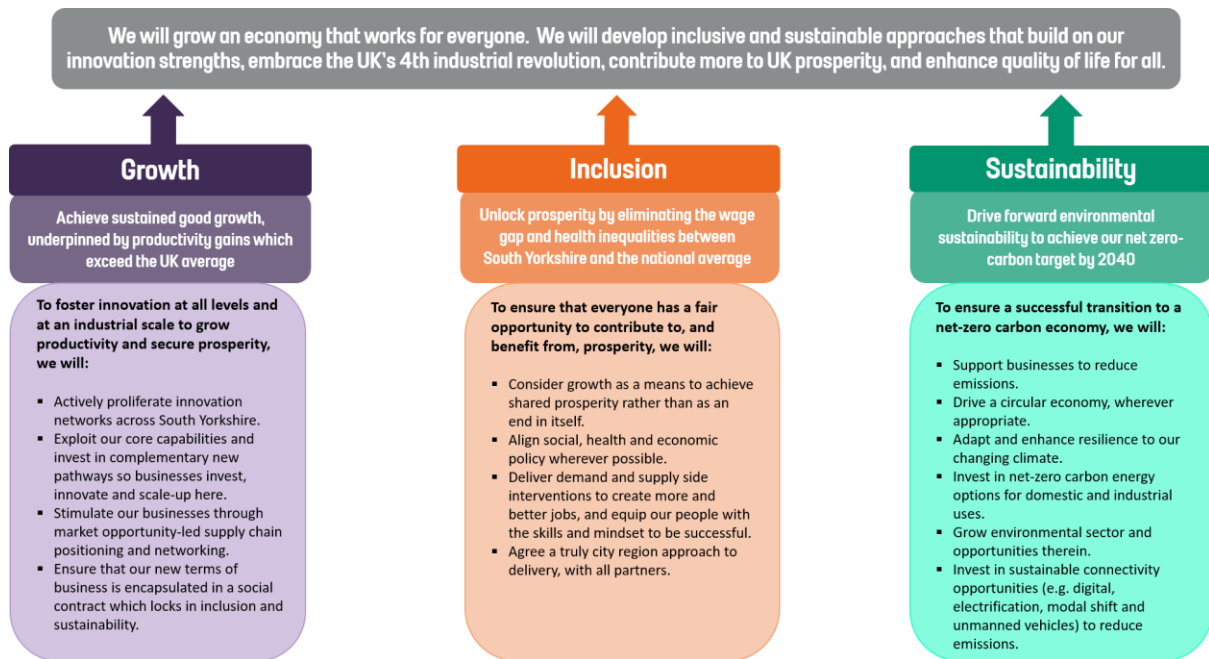
The South Yorkshire Strategy

- 2.22 In 2025 SYMCA commenced work on developing the South Yorkshire Strategy; an updated ten-year overarching strategy which outlines the strategic priorities and objectives that will be delivered over the immediate, medium and longer term. The South Yorkshire Strategy will be published in early 2026/27 and will replace the SEP in setting the criteria by which all programmes, schemes and projects will be measured and assessed against from application stage through to delivery.

Strategic Economic Plan

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

Figure 3: Strategic Economic Plan 2021-2041



2.25 Several supplementary strategies and plans describe in more detail how SYMCA will guide investment in delivering the economic, social and environmental aims outlined in the SEP. These are:

- South Yorkshire Investment Zone Prospectus
- Transport Strategy
- South Yorkshire's Growth Plan
- South Yorkshire Skills Strategy
- Nature Recovery Strategy
- Energy Strategy
- South Yorkshire Shared Prosperity Fund Investment Plan

2.26 SYMCA has a statutory responsibility to develop and publicly consult on both the Transport Strategy and Nature Recovery Strategy. Together, with SYMCA's priorities for Gainshare and the Place Plans, these documents set the blueprint for how devolved and awarded funding from Government will be invested.

South Yorkshire's Growth Plan

2.27 Adopted in 2025 the Growth Plan vision is to build a bigger and better South Yorkshire Economy by 2035. The Plan is organised around four Missions and eight Strategic Objectives as outlined below.

Figure 4: South Yorkshire’s Growth Plan Vision, Mission and Objectives

Vision	SY 2035: A bigger, better economy South Yorkshire’s Vision for Business Growth and Greater Opportunity			
Missions	Our businesses: 2035 – a strong, diverse business base	Our places: 2035 – connected, vibrant places	Our people: 2035 – pathways to stay near and go far	Our future: 2035 – a resilient SY
Strategic Objectives	Our sectors and clusters are driving productivity growth	Our urban areas are better connected, attracting private investment	Our children experience a good start in life	Our networks are more future-proofed
This plan will have worked if...	Our business base is more dynamic, nested in a stronger business and innovation ecosystem	Our residents are proud to call our towns and cities home and people want to visit	Our residents can access more opportunities through skills training and employment support	Our region’s nature is more diverse
10 year programme priorities	<ul style="list-style-type: none"> Trade, investment and promotional support Connected innovation assets A pipeline of talent, co-created with business Cluster leadership 	<ul style="list-style-type: none"> A reliable, integrated and sustainable transport system A well-connected region Housing growth in our urban centres Commercial development and institutional investment A strong core city and urban centres working together in a single economy 	<ul style="list-style-type: none"> A good start for children through early years support Progression for young people, through strong school, career and transition support 	<ul style="list-style-type: none"> Energy systems for the future Digital capacity and inclusion for the future Flood resilience and water management
To deliver our strategic objectives, we will focus on providing...	<ul style="list-style-type: none"> Integrated business support and capability building Finance ecosystem and investment readiness Skills progression and pathways Good business, including diverse business models 	<ul style="list-style-type: none"> A strong cultural, leisure and visitor economy offer Vibrant high streets, town and city centres Quality, sustainable and affordable housing Safe and vibrant neighbourhoods, with strong community bonds 	<ul style="list-style-type: none"> High-quality, employment-focused basic and technical skills provision Integrated employment support for those at risk of dropping out, or out of the labour market Prevention services to reduce ill-health as a barrier to opportunity 	<ul style="list-style-type: none"> Beautiful, green urban regeneration and development Enhancing natural habitats and species
Growth Areas	Sheffield City Centre and Innovation Spine	Don Valley	South Yorkshire Airport City	Barnsley Town Centre

Corporate Plan

- 2.28 SYMCAs Corporate Plan for 2025-28 explains how SYMCA will deliver its responsibilities for economic development. The Corporate Plan sets out SYMCA’s vision, mission and objectives for the three-year period, and how these will be delivered by staff within the SYMCA Executive Team. This includes the delivery of programmes and funding streams devolved to SYMCA as well as individual projects which SYMCA will deliver or manage.
- 2.29 The Corporate Plan vision is to create a wealthier, healthier, happier and safer South Yorkshire where everyone has the opportunity to stay near and go far.
- 2.30 The Mayor has outlined six guiding principles in the Corporate Plan for how SYMCA should operate:
- We actively recognise a stronger sense of community and connections between people as a real and tangible asset. Our work should strengthen and reinforce the bonds between people across our communities.
 - People in South Yorkshire genuinely feel wealthier, healthier, happier and safer as a result of the actions we take. If not, we don’t do it.
 - Those people all too often left out and left behind are our priority in the decisions we make and the things that we do. We think about them first.
 - Wherever possible, we will make decisions that impact people with the people who will be most impacted. If people don’t engage in that process, that’s our fault not theirs.
 - We recognise that climate breakdown is both a real and existential threat, and a huge opportunity to transform South Yorkshire for the better. Our decisions should reflect that reality.

- Evidence-led, user-oriented design should be the least people can expect from our services. Our people feel that innovation is worth the risk and beauty is a goal worth striving for.

Outcomes Framework

- 2.31 An Outcomes Framework has been developed which identifies the co-benefits and economic, social and environmental measures that will be used to monitor and evaluate programme and project performance against. The Outcomes Framework has evolved from the original indicators identified for the Strategic Economic Plan 2021-41, to reflect the outcomes identified for Integrated Settlement.
- 2.32 The Outcomes Framework is in Appendix A of this document and is intended to be used as a guide to funding applicants on the change that SYMCA is seeking to create in the South Yorkshire economy from programmes and projects that it invests in. The Outcomes Framework will continue to evolve over 2026 and will be replaced once the South Yorkshire Strategy is adopted.

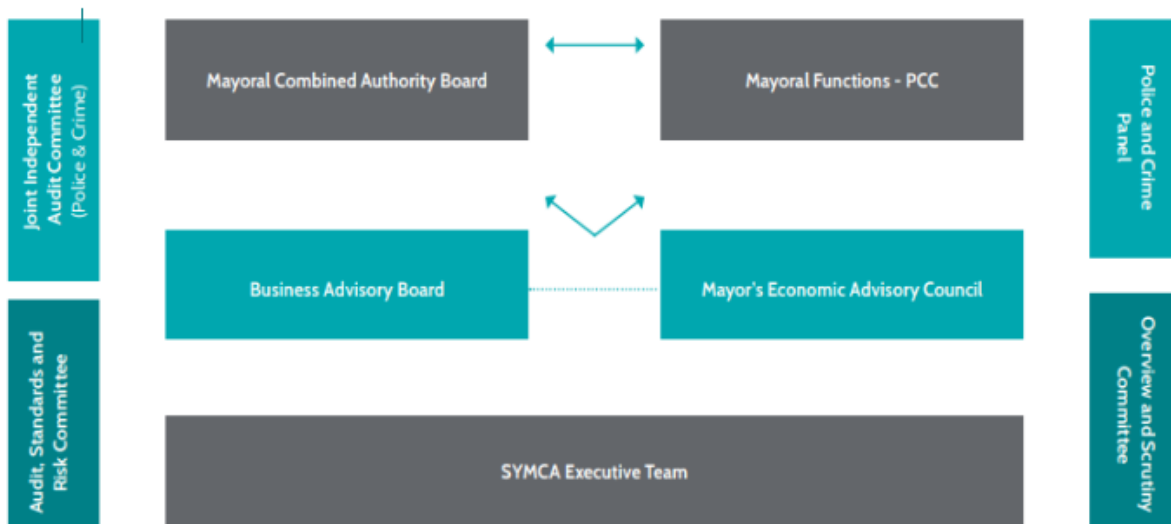
3. Structures and Roles

Overview

- 3.1 The SYMCA governance model combines public sector capacity, transparency, and accountability with external expertise from two advisory panels.
- 3.2 The SYMCA Board is the only decision-making body in the governance structure.
- 3.3 The Mayor and SYMCA Board are supported by a Business Advisory Board (BAB), the Mayor's Economic Advisory Council (MEAC), nine Portfolios and the SYMCA Executive Team.
- 3.4 The Portfolios are responsible for driving forward the agenda and decision-making for a thematic area. Each Portfolio has a designated local authority Leader/Mayor, a local authority Chief Executive and a lead Director from the SYMCA Executive Team.
- 3.5 The SYMCA Executive Team advises the Mayor, SYMCA Board and Portfolios on policy and commissions, and managing and monitoring the delivery of programmes and projects.
- 3.6 Two independent committees, the Audit, Standards and Risk Committee and Overview and Scrutiny Committee, ensure that SYMCA and Mayor are fulfilling their legal obligations, and developing and delivering strategies and public transport services that are in the best interests of local people.
- 3.7 Two additional independent committees, ensure that the Mayor and South Yorkshire Police are discharging their statutory responsibilities and duties for police and crime functions. These are the Joint Independent Audit Committee and Police and Crime Panel.
- 3.8 SYMCA delivers all the functions of the former South Yorkshire Integrated Transport Authority (SYITA) and former South Yorkshire Passenger Transport Executive (SYPTTE) which was dissolved by Statutory Instrument with effect from 1st April 2023³.
- 3.9 Figure 4 sets out the overall structure and how the Boards and Committees relate to one another.

³ [South Yorkshire Passenger Transport Executive \(Transfer of Functions\) Order 2023](#)
SYMCA Assurance Framework 2026

Figure 4: The South Yorkshire Mayoral Combined Authority Organisational Structure



3.10 The following sections provide a description of the different elements of the structure and their respective roles and responsibilities.

The Mayor

3.11 The Mayor is directly elected by the electorate in South Yorkshire (Barnsley, Doncaster, Rotherham, and Sheffield) and serves a four-year term of office. The current Mayor was elected in May 2024. The next Mayoral Election will take place in May 2028.

Role of the Mayor

- 3.12 The Mayor exercises powers and functions that are devolved to SYMCA by central Government, including Police and Crime Commissioner functions
- 3.13 The Mayor is the Chair of the SYMCA Board and leads SYMCA in terms of proposing and agreeing the revenue and capital budgets of SYMCA, including allocation of the consolidated transport budget, appropriate use of the Adult Skills Fund, how Gainshare is utilised to support SYMCA's policies and policing in South Yorkshire.
- 3.14 The Mayor promotes South Yorkshire as a place to live, work, visit and invest in.
- 3.15 The Mayor is also the local link between South Yorkshire Police and communities. This role includes listening to the needs of communities, securing victim support services, setting the objectives for the police force and holding the Chief Constable to account.

Responsibilities of the Mayor

- 3.16 The decision-making powers and functions of the Mayor are:
 - Development of a strategy and spending plan for the delivery of mayoral functions
 - Responsibility for a consolidated, devolved transport budget, with a multi-year settlement

- Responsibility and the power to approve franchised bus services, to support SYMCA's delivery of smart and integrated ticketing across South Yorkshire
- Responsibility for an identified Key Route Network of local authority roads that will be collaboratively managed and maintained by SYMCA on behalf of the Mayor
- Powers over strategic planning, including the responsibility to create a spatial framework for South Yorkshire
- Ability to create Mayoral Development Areas or Corporations in agreement with the relevant SYMCA member
- Ability to appoint a Deputy Mayor for Policing and Crime

3.17 The Mayor has a set of specific responsibilities for policing and crime that are outlined in the Police Reform and Social Responsibility Act 2011. They are:

- Securing the maintenance of an efficient and effective police force and holding the Chief Constable to account
- Appointing, and where necessary, suspending or calling on a Chief Constable to retire or resign
- Issuing a Police and Crime Plan setting out the police and crime objectives
- Consulting the public to ensure that their views and priorities on community safety issues inform the police and crime plan
- Preparing an annual report
- Deciding the budget, allocating assets and funds to the Chief Constable and setting the precept for the force area
- Attendance at the Police and Crime Panel
- Commissioning services and providing grants to help tackle and prevent crime, while supporting vulnerable people and those affected by crime
- Convening community safety and criminal justice partners with mutual duties to co-operate and implement changes across the police force area
- Entering into collaboration agreements with other Police and Crime Commissioners (PCCs), other policing bodies and partners to improve efficiency and effectiveness
- Oversight of the police complaint review process
- Keeping emergency services collaboration opportunities under review

The South Yorkshire Mayoral Combined Authority (SYMCA)

3.18 The South Yorkshire Mayoral Combined Authority was formally constituted in law in April 2014. It comprises the four constituent local authorities for South Yorkshire of Barnsley, Doncaster, Rotherham, and Sheffield.

Role of SYMCA

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

Responsibilities of SYMCA

3.20 SYMCA's core remit is strategic economic development, housing, skills, transport infrastructure and strategic and operational transport functions.

- 3.21 SYMCA is responsible for setting the policy direction in South Yorkshire and maximising financial investment to achieve economic growth. SYMCA is also responsible for making large investment decisions and ensuring that the policy and strategic objectives of the SEP are delivered.
- 3.22 On this basis, typically the agenda for the SYMCA Board is focused on different elements of the SEP and takes decisions and oversees performance on items including:
- Programme updates – on initiatives being delivered
 - Investment decisions
 - Monitoring of financial and output performance
 - Public transport operations and services
 - Assurance, strategic risk management and governance
 - Strategies and plans
- 3.23 The constituent members of SYMCA are accountable for where and how public money is being spent.
- 3.24 Additional responsibilities and further powers may be devolved to the Mayor and the SYMCA, pending agreement by Government, the Mayor, SYMCA and the constituent authorities.

Membership of SYMCA

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

3.26

Table 1: Membership of SYMCA 2026/27

Member	Post	Membership Type
South Yorkshire	Mayor	Constituent
Barnsley Metropolitan Borough Council	Leader	Constituent
City of Doncaster Council	Mayor	Constituent
Rotherham Metropolitan Borough Council	Leader	Constituent
Sheffield City Council	Leader	Constituent
Bassetlaw District Council	Leader	Non-constituent
Bolsover District Council	Leader	Non-constituent
Chesterfield Borough Council	Leader	Non-constituent
Derbyshire Dales District Council	Leader	Non-constituent
North East Derbyshire District Council	Leader	Non-constituent
Barnsley Metropolitan Borough Council	Nominated Representative	Rotational
Sheffield City Council	Nominated Representative	Rotational

- 3.27 The SYMCA Constitution stipulates that substitute members will be nominated and agreed by the full members annually.
- 3.28 Each year SYMCA appoints two additional, rotational members from amongst the constituent councils. This is a requirement of the Order by which the Combined Authority was established to ensure that the majority of Members are from constituent councils. In 2026/27, the rotational members are from Barnsley and Sheffield. In 2027/28, they will be from Doncaster and Rotherham. By convention these Members do not attend or vote.
- 3.29 Organisations are invited to attend SYMCA meetings as an observer. These can include Government agencies (such as Homes England or Network Rail) and other partners and bodies which have close economic links with South Yorkshire, such as neighbouring Combined Authorities.
- 3.30 All SYMCA Board members are expected to conduct themselves in accordance with the Nolan Principles of Public Life. These principles are embedded in the SYMCA Members' Code of Conduct as detailed in the SYMCA Constitution.

SYMCA Board Meetings

- 3.31 The SYMCA Board meets in public on an. The SYMCA Board also meets every to discuss and plan policy and strategy for the South Yorkshire region.
- 3.32 All constituent members of the SYMCA Board and the Mayor have one equally weighted vote. Non-constituent members have no automatic right to vote. The SYMCA Constitution allows for voting rights to be extended to non-constituent members at the discretion of the constituent members.
- 3.33 Decisions are made by a majority of the members present at SYMCA meetings and voting when using the powers held by the Authority when it was established in 2014. For the new powers devolved to SYMCA through the devolution deal and the 2020 Order⁴, the Mayor must be part of the majority of members present and voting on the exercise of such functions. These functions are:
- Adult Skills Fund (formerly known as the Adult Education Budget)
 - Skills powers/duties
 - Housing and regeneration functions
- 3.34 The Constitution sets the majority as the Mayor plus 75% of the Members from the constituent councils present at the meeting. By convention, if 100% of the Members from the constituent councils are in favour of a resolution, then the Mayor will also vote in favour (as that is the will of SYMCA), unless the Mayor gives minuted reasons for not doing so.
- 3.35 The approval of the non-statutory Spatial Framework will require a unanimous decision from all constituent members. The establishment of any Mayoral Development Corporation will require the agreement of the Mayor and the SYMCA member that represents that place.
- 3.36 The Mayor's budget proposals are approved by SYMCA in accordance with the Combined Authorities (Finance) Order 2017 and the Constitution.

⁴ [The Barnsley, Doncaster, Rotherham and Sheffield Combined Authority \(Functions and Amendment\) Order 2020](#)
SYMCA Assurance Framework 2026

Quoracy for SYMCA Board Meetings

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

Business Advisory Board (BAB)

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

Role of the BAB

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

Responsibilities of the BAB

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

Membership of the BAB

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

Table 2: Membership of the South Yorkshire Business Advisory Board 2026/27

Member	Post	Representing
Louisa Harrison-Walker (OBE)	Co-chair	South Yorkshire Chambers of Commerce, (Barnsley & Rotherham, Doncaster and Sheffield)
Tariq Shah OBE	Co-chair	Vigo Group
Rachel Abbott	Member	Company of Cutlers
Melissa Chambers	Member	Sitehop Ltd
Sam Chapman	Member	The Floop
Chris Dalrymple	Member	Trove Ventures Ltd
Dawn Huntrod	Member	MakeUK
Beckie Hart	Member	Confederation of British Industry (CBI)
David Cross	Member	Sky-House
Angela Foulkes CBE	Member	South Yorkshire Skills Advisory Board (SYSAB)
Andrew Gilligan	Member	Magtec Ltd
Sarah McLeod OBE	Member	Wentworth Woodhouse
Sherry Kothari	Member	Plasma 4
Roz Davies	Member	Green Estate
David Pike	Member	Northern Trade Union Congress
Barney Mynott	Member	Federation of Small Businesses (FSB)
Richard Gould	Member	Sheffield Technology Ltd

BAB Meetings

- 3.42 The BAB meets on an eight-weekly cycle and the meetings are held in private.
- 3.43 The Mayor, SYMCA Board and Portfolio leads may consult the BAB or its members outside of the formal meeting cycle when formulating policy or making decisions. The BAB may also be commissioned to carry out work for SYMCA.

Quoracy for BAB Meetings

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

BAB Chair

- 3.45 The Chair of the BAB must have a private sector background.
- 3.46 The Chair of the BAB is appointed annually at the SYMCA Annual General Meeting (AGM), following agreement between the BAB members and SYMCA.
- 3.47 The Chair of the BAB is invited to attend every SYMCA Board meeting in a non-voting capacity.

Mayor’s Economic Advisory Council (MEAC)

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

Role of the MEAC

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

Responsibilities of the MEAC

3.50 The MEAC is an advisory body to SYMCA. The MEAC advises the Mayor and SYMCA on:

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

Membership of the MEAC

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

Table 3: Membership of the Mayor’s Economic Advisory Council 2026/27

Member	Role	Organisation
Sir Martin Donnelly	Managing Director	Boeing UK
Dame Kate Barker	Economist	Various Non-executive Director roles
Lord O’Neill of Gatley	Chair	Northern Gritstone
Margaret Stevens	Former Professor of Economics	University of Oxford
Richard Stubbs	Chief Executive	Yorkshire and Humber Academic Health Science Network
Bruce Katz	Member	The New Localism
Professor Koen Lamberts	Vice-Chancellor	University of Sheffield
Professor Liz Mossop	Vice-Chancellor	Sheffield Hallam University
Andy Haldane CBE	Managing Director	Royal Society of Arts

MEAC Meetings

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

Quoracy for MEAC Meetings

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

MEAC Chair

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

Portfolios

- 3.57 To support decision-making and delivery, SYMCA is supported by project-based Portfolios

Role of the Portfolios

- 3.58 A project based portfolio is a clearly defined area of strategic focus, which may be broad or narrow in scope. It is politically lead, but supported by an appropriate project governance model that ensures adequate officer resource and clear roles and responsibilities.
- 3.59 This approach allows for agility within the portfolio model, and ensures political focus and oversight on the projects and programmes of the highest strategic priority for the MCA at any given time.
- 3.60 The MCA Board retains overall decision making and strategic oversight across all areas.

Responsibilities of the Portfolios

- 3.61 Portfolios are intended to:
- Sponsor and lead policy development
 - Provide political leadership and strategic focus
 - Support structured engagement with key partners
 - Improve clarity of roles, responsibilities, and programme direction
 - Oversee major programmes within their remit
 - Facilitate collaboration across the MCA and Local Authorities
 - Contribute to collective regional leadership
 - Communicate and champion the portfolio agenda

Audit, Standards and Risk Committee

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

Overview and Scrutiny Committee

- 3.67 The Overview and Scrutiny Committee hold the Mayor and SYMCA to account for all decisions taken, including devolved powers and funding. The Overview and Scrutiny Committee have the authority to review and scrutinise any decision made, or action taken by SYMCA, the Mayor, or SYMCA Executive Team. The Committee can, at their discretion, produce reports and make recommendations for change or improvements.
- 3.68 The Overview and Scrutiny Committee is responsible for checking that SYMCA is delivering its objectives, and that policies, strategies and plans are made in the best interests of residents and workers in South Yorkshire. They provide independent scrutiny of initiatives and activities and public consultation on draft strategies. The Committee is also responsible for overseeing the implementation of the Government's Scrutiny Protocol which outlines good practice that devolved authorities should follow for accountability and scrutiny of Level 4 Devolution.
- 3.69 Membership of the Overview and Scrutiny Committee is politically balanced and consists of 10 elected Councillors from the four South Yorkshire local authorities (or their nominated substitute); typically, the Chair of each local authority's overarching Scrutiny Committee.
- 3.70 The Overview and Scrutiny Committee meet on a quarterly basis. SYMCA is required to consider the conclusions of any review by the Overview and Scrutiny Committee at the next available meeting.

Joint Independent Audit Committee (Police and Crime)

- 3.71 The Joint Independent Audit Committee is responsible for enhancing public trust and confidence in the police and crime functions delivered by the Mayor and South Yorkshire Police. The Committee also assists the Mayor in holding the South Yorkshire Police to account.
- 3.72 The Committee was established under the Home Office Financial Management Code of Practice to provide an independent and high-level focus on the audit, assurance and reporting arrangements for police and crime functions and the Chief Constable.
- 3.73 The Joint Independent Audit Committee has oversight of police and crime operations in South Yorkshire. Their role is to ensure that the Mayor and South Yorkshire Police are fulfilling their legal obligations, complying with statutory requirements, managing risk effectively and that SYMCA has robust and efficient control and governance measures in place. The Committee provides advice to the Mayor and the Chief Constable and scrutinises police and crime related strategies and policies, making recommendations for improvement as appropriate. The Committee also has the authority to investigate any activity related to police and crime functions and has the right to access all information it considers necessary.
- 3.74 Membership of the Joint Independent Audit Committee includes the Deputy Chief Constable, the Heads of Finance and Governance at South Yorkshire Police, the Director of Finance for Police and Crime at SYMCA, Governance and Compliance Manager and five representatives from internal and external audit.
- 3.75 The Joint Independent Audit Committee meets at least four times a year and works in conjunction with the Audit, Standards and Risk Committee.

Police and Crime Panel

- 3.76 The Police and Crime Panel hold the Mayor and SYMCA to account for all decisions taken in exercising the police and crime functions.
- 3.77 The Panel considers and comments on the Police and Crime Plan and the proposed budget for police and crime, including the Mayor's recommendations on the precept. The Panel also reviews and comments on the annual report produced for the previous financial year.
- 3.78 The Police and Crime Panel have the authority to review and scrutinise any decision made, or action taken by SYMCA, the Mayor, or SYMCA Executive Team. The Panel can, at their discretion, produce reports and make recommendations for change or improvements.

Statutory Officers

- 3.79 SYMCA appoints three Statutory Officers to discharge duties and obligations on their behalf. The Statutory Officers ensure that SYMCA is acting in accordance with its legal duties and responsibilities, operating within the financial regulations and receiving appropriate advice on policy and governance.
- 3.80 The Statutory Officer roles are defined in the SYMCA Constitution and comprise:

- **Head of Paid Service** – The Chief Executive of SYMCA fulfils the role of the Head of Paid Service. The Head of Paid Service discharges the functions in relation to SYMCA as set out in section 4 of the Local Government and Housing Act 1989, and reports to the SYMCA Board, Mayor and Police and Crime Panel
- **Chief Finance Officer (Section 73 Officer)** – The Executive Director of Resources and Investment fulfils the role of Chief Finance Officer, also known as the Section 73 Officer, in accordance with the Local Government Acts 1972 and 1985 and CIPFA's Code of Practice for Treasury Management and Prudential Codes. The Chief Finance Officer administers the financial affairs of SYMCA.
- **Monitoring Officer** – The Director of Legal and Governance fulfils the role of Monitoring Officer and discharges the functions in relation to SYMCA as set out in section 5 of the Local Government and Housing Act 1989.

Remuneration Panel

- 3.81 An independent Remuneration Panel convenes to identify the salary and allowances that should be paid to the Mayor and Deputy Mayor for their term of office.
- 3.82 The Remuneration Panel must consist of at least three members. The Panel cannot include a member of the SYMCA Board or any SYMCA Committee or Sub-committee, nor can they be a member of either of the four constituent local authorities: Barnsley, Doncaster, Rotherham or Sheffield
- 3.83 The Remuneration Panel reports their recommendations in a report to the SYMCA Board who decide the salary and allowances that will be paid.

Local Authority Chief Executives Group

- 3.84 The Chief Executives Group consists of the four Chief Executives of the local authorities in South Yorkshire. They meet monthly with the SYMCA Chief Executive and SYMCA Directors, and support the Mayor and SYMCA in decision-making in three ways:
- Each local authority Chief Executive has a thematic lead and represents the Chief Executives Group on a Portfolio
 - Each local authority Chief Executive chairs an Operational Group of key stakeholders and thematic experts which advise the Portfolio on decisions and support the management and monitoring of SYMCA funded programmes and projects
 - The Chief Executives Group discusses current and future activity of SYMCA and act as a key liaison point between SYMCA, local authority directorates and support their local authority Leader on SYMCA business

South Yorkshire Future Trams Limited (SYFTL)

- 3.85 South Yorkshire Future Trams Limited (SYFTL) is an arms-length company that is limited by shares that was established to operate South Yorkshire's Supertram network. SYMCA is the sole shareholder. SYFTL's responsibilities are to:

- Operate a safe light railway and running light rail services to the public in accordance with an operating agreement with SYMCA
- Agree a Business Plan and budget every financial year
- Produce annual accounts and financial statements on Supertram operations
- Report into the SYMCA Board

The SYMCA Executive Team

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

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

3.88 The SYMCA Executive Team are employed by SYMCA and support the following activities:

- **Engaging with Partners, Stakeholders, Businesses, Voluntary and Community Groups and residents** – to discuss issues, share information, collaborate on the development of new strategies, programmes and projects.
- **Develop and Consult on Proposed Policy and Strategy** - supporting SYMCA and Mayor to draft key policies and strategy documents for public consultation to inform decision-making on investment. This includes authoring the Strategic Economic Plan (SEP), emerging South Yorkshire Strategy, Local Growth Plan and the Transport Strategy.
- **Initiate and Recommend Project Ideas** – support project applicants in identifying and bringing forward viable project ideas that will deliver SYMCA's strategic objectives.
- **Develop and Commission Solutions** – ensure projects in the funding pipeline are fully developed and that delivery options are fully explored.
- **Programme and Project Design and Development** – design and develop investment programmes and projects to deliver the agreed policy objectives of the Mayor and SYMCA, in line with the agreed Investment Plan, including the preparation and submission of funding bids to central Government or in response to specific calls and opportunities that may arise.
- **Manage Resources and Investment** – manage the operation of SYMCA and administer and manage the allocation and spend of the funding streams devolved and awarded by Government.
- **Advise and Support Funding Applicants** – on how to develop an idea for a project or a programme into a robust and comprehensive Business Case. This includes working collegiately with the applicant to develop the project, and advising on the assurance process and compliance with Government guidance and best practice on equalities and environmental impact assessments, carbon management and social value.
- **Manage the Investment Appraisal Process** – ensure that funding applications follow the correct process, have undertaken any required equalities, economic and environmental assessments, and are independently assessed by technical experts and subject specialists on value for money, risk, viability and deliverability.
- **Advise SYMCA and the Mayor** – on investment decisions by providing an opinion on the strategic fit, value for money, risk, and deliverability of funding applications.

- **Programme and Project Monitoring** – monitor and report on the delivery, performance and achievements of programmes and projects to SYMCA and MHCLG, DfT and DfE in line with Government requirements.
- **Manage the Evaluation Process** - manage the external evaluation of all SYMCA programmes and projects and ensure that evaluation reports and regular updates are provided to SYMCA, individual Government departments and nationally appointed evaluators.
- **Administration and secretariat function for the Boards** – ensuring SYMCA Board, Advisory Boards and Committee meetings are planned and arranged in a timely fashion and communicated, and compiling papers and reports for the Mayor and Board members.
- **Enquiries** – dealing with the media and handling general enquiries from the public, including Freedom of Information requests.
- **Publishing Information** – ensuring that minutes, agendas, and papers of the meetings of the SYMCA Board, Audit, Standards and Risk Committee and Overview and Scrutiny Committee are published promptly on the SYMCA website and publishing information on SYMCA policies and procedures.
- **Promoting South Yorkshire** – to potential investors and the public as a place to invest, work and live.

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

The Strategic Co-ordination and Evaluation Group

- 3.90 SYMCA has an internal Strategic Co-ordination and Evaluation Group (SCEG) which meets every two weeks. The SCEG consists of the Statutory Officers and Directors from the SYMCA Executive Team, along with team leads from across the organisation. SCEG provides strategic direction, coordination and thoughtful oversight for strategy and programme development across the organisation, ensuring everything aligns with the SEP and emerging SYS, Mayoral priorities, the Integrated Settlement programme, SY Outcomes Framework, and our shared aspirations for South Yorkshire.
- 3.91 SCEG also oversees and supports the development of the South Yorkshire Strategy and the embedding of that strategy in the sub-strategies and policies that deliver against our overarching plan.
- 3.92 As part of its role, SCEG will undertake an early materiality assessment of all emerging programmes and projects to determine the scale of their potential impact on the South Yorkshire Outcomes Framework and Mayoral priorities. This assessment will consider the expected strategic significance of a proposal, such as its potential to shift long-term outcomes, address systemic challenges, or create major cross-portfolio benefits, and will be used to inform the prioritisation of development resource.
- 3.93 SCEG will oversee the commissioning and co-ordination of work to develop the SYMCA Integrated Settlement priority proposals and provide an early forum to test ways to optimise project and programme impact on our outcomes.
- 3.94 This group provides iterative advice and support to ensure that projects and programmes are designed to maximise impact on each of our agreed outcomes, to agree project progression onto investment decision processes and the Investment Board.

- 3.95 The group also receives and analyses evaluation information from the Performance Board to inform continuous improvement in project and programme development and to promote the use of a shared evidence base to inform policy and strategy development.

The SYMCA Investment Board

- 3.96 SYMCA has an internal Investment Board which meets every two weeks. The Investment Board consists of the Statutory Officers and Directors from the SYMCA Executive Team, along with team leads for relevant corporate delivery functions: finance, legal and procurement, assurance, programme management and monitoring and reporting.
- 3.97 The role of the Investment Board is to oversee programme and project development and progression through funding approval gateways, including advising the SYMCA Board on any action needed to mitigate risk or conditions that are required to be met in order for a business case to progress to approval and contract.
- 3.98 The Investment Board provides officer level authorisation for projects developed and commissioned by SYMCA, to check and challenge and ensure that proposed investments are evidence based and maximise return on investment for the taxpayer.
- 3.99 The Investment Board acts as the appraisal panel for SYMCA by reviewing technical appraisals of funding applications and Business Cases and the assurance opinion and making a recommendation to the SYMCA Board, or to SYMCA Statutory Officers where the MCA Board has approved officer delegations, on the rejection, deferral or approval of schemes.
- 3.100 The Investment Board has oversight of the investment pipeline of prioritised schemes and programmes and report on its development.
- 3.101 The Investment Board will receive a concise report if SCEG feels it is necessary following its strategic alignment review, setting out any material trade-offs between priorities or outcomes so that any conflicts, choices or compromises required are made visible and can be explicitly considered in its recommendations.
- 3.102 The Investment Board ensures that investments align to our plans and strategies and helps embed our principles and the delivery of our outcomes and where a new strategically significant approach is being adopted, ensures that the proposal has been considered by the corporate Policy and Strategy group.

The SYMCA Performance Board

- 3.103 SYMCA has an internal Performance Board which meets every four weeks. The Performance Board consists of the Statutory Officers and Directors from the SYMCA Executive Team, team leads for relevant corporate delivery functions: finance, legal and procurement, assurance, programme management and monitoring and reporting, and a representative from the Police and Reform Team. It is chaired by SYMCA's Chief Executive Officer.
- 3.104 The role of the Performance Board is to provide oversight to ensure investments are implemented and achieving intended outcomes. It provides support, constructive feedback and steer for project and programme leads, including spotlighting resources.

- 3.105 The Performance Board provides strategic direction across the portfolio of programmes, ensuring alignment with organisational priorities and long term outcomes.
- 3.106 The Performance Board oversees delivery against the Outcomes Framework, including commitments agreed with government through the Integrated Settlement.
- 3.107 The Performance Board authorises officer-level monitoring of financial performance and the delivery of agreed outputs and outcomes at both project/programme and organisational levels
- 3.108 The Performance Board also provides constructive check and challenge, including scrutinising risks and issues, highlighting interdependencies, seeking assurance that programmes continue to deliver value for money and ensuring alignment with the MCA's strategic objectives.
- 3.109 At the inception of each programme, contingencies and tolerance levels will be established and agreed by the Performance Board.

Design Review Panel (DRP)

- 3.110 Active Travel England (ATE) is a Government executive agency, sponsored by the Department for Transport (DfT). It is responsible for making walking, wheeling and cycling the preferred choice of travel and it delivers technical advice, review and inspection functions.
- 3.111 ATE was designated a statutory consultee on 1 June 2023. This means that ATE have to be consulted on all planning applications for developments equal to or exceeding 150 housing units, 7,500m² of floorspace or 5 hectares of space, and the design of walking, cycling and wheeling infrastructure.
- 3.112 SYMCA is required to incorporate a Design Review Panel (DRP) into its assurance process that will be consulted at an early stage on the design of schemes which have an element of walking, cycling or wheeling. The DRP was established in April 2024, and it includes representatives from ATE who will provide advice and steer to funding applicants or scheme promoters on scheme design.

4. Accountability for Public Funds

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

The Accountable Body

4.2 SYMCA is the legal and Accountable Body for powers and funding devolved by Government and is responsible for all decisions and expenditure.

4.3 SYMCA holds all funding, enters contractual arrangements and processes payments. SYMCA also provides programme management to account for the funding and ensures that the impact of investment is assessed.

4.4 SYMCA is accountable for:

- Ensuring that its decisions and activities conform with the Public Sector Equality Duty and other legal requirements regarding equalities, environmental and UK and European legislation (such as Subsidy Control), and that records are maintained so that this is evidenced
- Retaining overall responsibility for the appropriate use of public funds by SYMCA
- Ensuring that the approved Assurance Framework is being adhered to
- Ensuring that all contracts entered discharge their duties
- Maintaining and publishing annual accounts (including devolved and other funding sources received from Government), in accordance with the relevant regulations, each year in draft form by 31 May and finalised in July.

4.5 In accordance with section 101 of the Local Government Act 1972, and The Openness of Local Government Bodies Regulations 2014, SYMCA delegates certain decisions to the Statutory Officers. The Scheme of Delegation in Part 4. E of the Constitution specifies the delegations for funding and decision-making that are available to the Head of Paid Service (the Chief Executive of the SYMCA), the Chief Finance Officer (Executive Director of Resources and Investment), and the Monitoring Officer (Director of Legal and Governance).

4.6 The SYMCA Constitution stipulates that SYMCA's Chief Finance Officer is responsible for the proper administration of the Mayor's financial affairs for police and crime functions. The Chief Finance Officer discharges the statutory responsibilities outlined in Paragraph 6 of Schedule 1 to the Police Reform and Social Responsibility Act 2011 and Section 114 Local Government Finance Act 1988. This is a separate role to the Chief Finance Officer who is appointed by the Chief Constable for South Yorkshire Police to administer the Chief Constable's financial affairs.

- 4.7 A Scheme of Internal Control requires SYFTL to agree a Business Plan and budget every financial year and to produce its own annual accounts and financial statements by 31st May each year in line with the Financial Reporting Council Revised Guidance on the UK Corporate Governance Code (2018),

Chief Finance Officer

- 4.8 The Chief Finance Officer is fully engaged in the operation of the organisation, ensuring that devolved funds are managed responsibly and allocated through a robust application process.

- 4.9 The Chief Finance Officer is accountable for:

- Ensuring that devolved funds, including the ASF, are used legally, appropriately and are subject to the usual local authority checks and balances, including discharging financial duties under the Financial Regulations
- Ensuring that SYMCA acts in a manner that is lawful, transparent, evidence based, consistent and proportionate, including the publication of annual audited accounts
- Signing-off Value for Money Statements for all funding applications during the appraisal process as true and accurate
- Certifying that funding can be released under the appropriate conditions (in line with statutory duties)
- Accepting grants for funding on behalf of SYMCA, where SYMCA has approved the submission of a funding bid to Government
- Accepting tenders or quotations for the supply of goods, materials or services provided that the spend is within the SYMCA approved budget or capital programme
- Signing-off quarterly reports to individual Government departments on programme performance and expenditure
- Ensuring that the established professional codes of practice are applied
- Ensuring that strong governance arrangements policies are in place to ensure that SYMCA is operating robustly and transparently (by providing an Annual Assurance Statement).
- Ensuring the proper administration of the Mayor's financial affairs in relation to the police and crime functions
- Determining the funding of the Mayor's revenue and capital plans and agreed programmes for police and crime with resources from Central Government, the precept and other grants, income and recharges
- Preparing and publishing the Mayor's annual statement of accounts for police and crime functions
- Advising the Mayor on the safeguarding of assets, risk management and insurance for police and crime
- Arranging for the determination and issue of the police and crime precept

Internal and External Audit

- 4.10 SYMCA has an established process for internal and external audit. Internal audit for SYMCA is a contracted service provided by RSM for the financial year starting 1 April 2026. KPMG is SYMCA's

appointed external auditor for the financial year starting 1 April 2026. The audit arrangements cover SYMCA's devolved and awarded funding and activities and transport operations, including SYFTL.

- 4.11 Separate audit arrangements are in place for the police and crime, as these are provided under an existing contractual arrangement made by the Office of the Police and Crime Commissioner for South Yorkshire. Grant Thornton is the appointed auditor for the financial year starting 1 April 2026.
- 4.12 In conjunction with the internal audit team, the SYMCA Head of Paid Service, Chief Finance Officer and Monitoring Officer prepare an annual Internal Audit Plan at the start of each financial year, which is reviewed towards the end of the financial year. The Internal Audit Plan includes all aspects of the appraisal, assurance, monitoring and evaluation processes and transport operations. This provides independent and objective assurance to SYMCA. The Plan is approved by SYMCA and progress against the plan is discussed by the Audit, Risk and Standards Committee at each meeting.

Audit, Standards and Risk

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

Overview and Scrutiny

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

Investment Appraisal

- 4.17 The Investment Board oversees the technical review of all business cases. The Investment Board consists of the Statutory Officers and Directors from the SYMCA Executive Team, along with team leads for relevant corporate delivery functions.
- 4.18 The Investment Board makes recommendations to the SYMCA Board on the value for money and level of risk of a project and whether to endorse, approve, defer, or reject funding applications. The Investment Board also advises on any conditions that are required to be met in order for a business case to progress to funding approval and contract. The Investment Board also advises on the merits of

potentially competing funding applications by considering the net impact of the overall investment programme.

- 4.19 The Statutory Officers ensure that the Accountable Body duties are discharged through their representation on the Investment Board. This embeds the roles and functions of the Statutory Officers in the project appraisal process. All projects seeking funding are reviewed by the Investment Board and are subject to independent technical scrutiny.
- 4.20 The Investment Board meets every two weeks, or more frequently, if necessary, to ensure the pipeline of project proposals continues at the required pace. It oversees both the development and delivery of all SYMCA investment programmes and ensures that funding applications are progressed as efficiently as possible. The Investment Board also provides technical support and advice to the SYMCA Board, such as the identification and mitigation of risk and considerations of funding. This includes advice on Subsidy Control, the setting of an appropriate interest rate on loans to funding applicants or equity potential for proposed investments.
- 4.21 The Investment Board has delegated authority from the SYMCA Board to approve early-stage applications of funding. The Investment Board is only granted additional delegated authority from the SYMCA Board on a case-by-case basis. This includes the acceptance of grants and funding from Government on SYMCA's behalf or to approve final stage funding applications.
- 4.22 The appraisal process is detailed in Section 5.

Ensuring Value for Money

- 4.23 All projects and programmes that apply for funding are appraised and assessed for Value for Money (VfM) using the HM Treasury Green Book and appraisal guidance published by individual Government departments such as the Department for Education, Department for Transport and the Ministry for Housing, Communities and Local Government.
- 4.24 The VfM assessment considers the potential costs, benefits, risks, uncertainties and impacts of the project. A Benefit Cost Ratio (BCR) is calculated for the project wherever possible, but this is just one of the basket of metrics considered in the VfM assessment. All the wider monetised and non-monetised impacts and benefits of a project are quantified wherever possible and non-quantifiable benefits are also assessed qualitatively. Non-monetised costs and disbenefits are also qualitatively assessed.
- 4.25 The VfM Statement is included in the Assurance Summary of a project, and this is published on the SYMCA website. The initial, adjusted, and final BCR for transport projects is calculated in accordance with the DfT's Value for Money Advice Note for Local Transport Decision Makers. The VfM statements and the technical assessment, conducted are proportionate to the level of risk, complexity and funding sought.
- 4.26 The Chief Finance Officer is responsible for approving VfM Statements, and this must be done before a project can progress a funding agreement to be signed.
- 4.27 The VfM Statement for each project, is presented to the SYMCA Board. The Statement includes the Investment Board's justification and recommendation on whether the project should be approved, deferred, or rejected and any conditions that should be put in place if funding is approved.

- 4.28 The ambition is always to support projects that demonstrate High VfM. However, projects that are appraised as offering lower VfM, may still be funded if there is a strong strategic case and the project will deliver the strategic and economic objectives in the SEP (for economic growth, inclusion, and sustainability), or where the project is essential to unlock or enable other development to take place. However, SYMCA can decide to remove a project from the programme if the appraisal identifies Poor or Low VfM.

Managing Risk

- 4.29 The approach to risk management is comprehensive and in accordance with HM Treasury's Orange Book principles and other project management guidance. The Chief Executive of SYMCA is the named officer for managing risk.
- 4.30 Robust control measures and a Risk Management Framework are in place to provide accountability and support due diligence. The Risk Management Framework guides the identification, assessment, and management of risks for all activities.
- 4.31 Risk management controls and mitigation action plans are agreed and added to the Risk Registers. A plan is then constructed to reduce the likelihood of the risk occurring and/or decrease the impact of a risk, should it occur.
- 4.32 Funding applicants are required to include risk and contingency plans as part of their application for funding. Once a project has received funding approval, the SYMCA Executive Team works with project applicants to monitor delivery of the contract and risks. Quarterly Monitoring reports are compiled for the Performance Board and SYMCA Board to identify any issues with delivery, perceived or actual risks to the project, any corrective action, and any change requests (for example, a reduction in grant or an extension to the timescale for delivering key milestones).

Reviews by Government

- 4.33 SYMCA holds a review meeting with Government each year to discuss delivery of the Devolution Deal and Devolution Investment Funds (known as Gainshare). The meeting is an opportunity to identify achievements and successes and any areas for improvement.
- 4.34 Mayoral Combined Authorities are subject to the Government's national Gateway Review process to evaluate how Devolution Investment Funds (Gainshare) are being invested and the impact the funds are having in relation to economic growth. The Gateway Review is a process undertaken every five years following the release of the devolved funds.
- 4.35 The first Gateway Review for the South Yorkshire SYMCA covered the period April 2020 to March 2025. SYMCA was required to produce and submit a series of interim written reports for a Mid-term Review and several written reports for a Final Review. The reports were assessed by nationally appointed evaluators and reviewed by an independent panel of academic and economic experts. The Final Review was presented to MHCLG.
- 4.36 In January 2025 MHCLG confirmed that SYMCA was eligible for a lighter touch review process for Devolution Investment Funds. The first suite of documents for the 2025 annual review have been submitted, this included the production of an annual Local Evaluation Framework and the production of

an annual report that assesses how devolved funds have been invested and the impact that the funds have had. An annual conversation with Government takes place in March each year.

- 4.37 In addition, SYMCA is required to submit annual reports to individual Government departments on specific devolved funding programmes including ASF, CRSTS, UK Shared Prosperity Fund and Multiply, to publicly state how the funding is being invested in South Yorkshire and to report on the achieved outputs and outcomes to date.
- 4.38 As part of the Integrated Settlement, SYMCA is required to submit six-monthly reports to the National Government Programme Board which will be chaired by MCHLG senior officials. Reports will include an assessment of progress towards achieving the outcomes and targets agreed in the Integrated Settlement Outcomes Framework, along with spending against Integrated Settlement themes and narrative on risks to delivery. Section 73 Officer sign-off is required to confirm investment under the Integrated Settlement has complied with the authority's legal duties for best value, propriety, regularity and value for money.

5. Robust and Transparent Decision-Making

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

Budget Setting and Allocation

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

- 5.9 The remainder of the ASF is allocated to non-statutory training and is procured through an open, commissioning process.
- 5.10 The SYMCA Board is the decision-making body for ASF awards.

Commissioning and Open Calls

- 5.11 In accordance with the agreed policy, programme and project applications for funding usually originate from four sources:
- **The Place Plans** – the Place Plans each identify named potential projects which are regarded as strategically important to the local authority area and which satisfy the policy objectives of the SEP and other local plans. Projects within the Place Plans are typically funded through the Gainshare allocation, however, other complimentary funding sources may also be used.
 - **The Local Growth Plan (LGP) Pipeline** – the Local Growth Plan sets out South Yorkshire’s medium-term strategic investment priorities and the programmes required to deliver them. The LGP pipeline provides a coordinated, region-wide list of emerging schemes that have been identified through collaboration with local authorities, portfolios and partners. Projects entering the pipeline through this route must demonstrate clear alignment to the emerging South Yorkshire Strategy and Outcomes Framework, and will be developed and sequenced to ensure that investment decisions contribute to the region’s shared long-term ambitions.
 - **SYMCA Executive Team** – the SYMCA Executive Team, in discussion with partners and stakeholders, may identify a need for a programme or project that either meets the policy objectives and strategic outcomes of the SEP or other strategies which will respond to an economic shock. These details may be held within an agreed Commissioning Framework or Delivery Plan.
 - **Via a targeted Open Call for Project Applications** – open calls inviting applicants to bid for funding or propose a project are published on the SYMCA website. Calls have a specific focus, such as delivering an investment priority or targets in the SEP. Project applicants will then submit a response or bid, and if accepted, will be invited to submit a business case.
- 5.12 SYMCA has a dual approach to the annual commissioning for ASF delivery, including funding for South Yorkshire based providers who had received grants prior to devolution, and targeted procured provision. All ASF training providers are required to submit a Delivery Plan for approval as part of the commissioning process.
- 5.13 The procurement process for ASF delivery follows established rules and best practice for procurement including the latest HM Treasury Green Book and ASF funding and appraisal guidance and will seek best value for money.

Programme Delivery

- 5.14 The Programme Delivery team in the SYMCA Executive Team provides support to local authority partners and other funding applicants on how to develop an idea for a project or programme into a viable, deliverable and fundable proposition.

- 5.15 Each project or programme is assigned a named contact who will work with the applicant throughout the assurance process, helping funding applicants to develop their projects and business case documents. The team act as a 'critical friend' by providing advice and feedback on every step of the assurance process from initial project idea, through to business case development and approval. This includes advising applicants on supporting documents that may be required to accompany the business case such as Equalities Impact Assessments, Environmental Impact Assessments, Carbon Management Plans and written advice from lawyers on Subsidy Control.
- 5.16 The Programme Delivery team can also advise applicants on how to access Project Feasibility Fund and CRSTS revenue – pots of revenue funding which can fund feasibility studies, preliminary works or scheme development, such as scoping or testing. These funding sources can be recycled.

Additional Support Available for Funding Applicants

- 5.17 Tools, training and expertise are available to funding applicants to assist them in developing a robust and compliant business case for a scheme or programme.
- 5.18 SYMCA can assist with access to HM Treasury approved Better Business Cases training which explains how business cases are developed and appraised in line with the HM Treasury Green Book. SYMCA can also provide access to a set of tools which can assess the carbon impact of transport and infrastructure schemes. These tools include the DfT's Active Mode Appraisal Toolkit (AMAT), Carbon Assessment Playbook and Infrastructure Carbon Benchmark Tool (ICBT).
- 5.19 Funding applicants can procure the services of technical experts to help them develop a project, undertake feasibility work, impact assessments or develop either part of a business case or the entire business case, through Lot 1 of SYMCA's Appraisal, Investment and Evaluation (AIE) Framework. The Framework is managed by the SYMCA's Assurance and Evaluation Team and ten contractors have been appointed who are able to provide support to funding applicants with project or business case development.
- 5.20 Work is commissioned through the AIE Framework through a mini-competition, where contractors provide a written quote for the work based on a Service Specification. Funding applicants are able to assess the submitted bids and select the contractor they wish to appoint.
- 5.21 The cost of the support provided through the AIE Framework is an eligible project cost and can therefore be included as a professional fee in the funding application.

The Appraisal Process

- 5.22 All schemes seeking investment undergo a proportionate process to assess the merits of the application, its strategic fit and value for money.
- 5.23 Each project and application for funding is assessed on its own merit, including where there are potentially competing applications for funding.
- 5.24 Funding applicants will need to demonstrate how their project will support the delivery of the objectives outlined in the Strategic Economic Plan (SEP), the Mayor's priorities and other relevant local plans and

strategies. As a guide, the Outcomes Framework at Appendix A lists the economic, social and environmental measures that SYMCA is working towards, and which funding applications will be assessed against. The Outcomes Framework will be updated on adoption of the South Yorkshire Strategy during 2026/27.

- 5.25 Where funding applications require site or land acquisition, remediation and development, it is recommended that the scheme is phased and first presented as a Programme Business Case with subsequent business cases submitted for each phase. The Value for Money and Benefit Cost Ratio will be calculated and re-calculated for each phase of work, with funding approved and allocated for each phase of work to manage and mitigate against risks on readying sites for development.
- 5.26 SYMCA's Assurance and Evaluation Team assesses the broad anticipated equality and environmental impacts of programmes and projects at various stages of the appraisal process, alongside social value, value for money and Benefit Cost Ratio. This ensures that SYMCA considers economic, social, and environmental impacts of its investment from the outset.
- 5.27 For transport schemes, central case assessments must be based on forecasts which are consistent with the definitive version of NTEM (DfT's planning dataset). This requirement does not prevent SYMCA from considering alternative planning assumptions. Sensitivity test results of alternatives assist in reaching a decision on whether to approve a scheme.
- 5.28 In 2024, the DfT introduced a requirement for transport infrastructure schemes to calculate the carbon impact of the scheme. Combined Authorities are also required to identify and report whether a scheme and programme (eg CRSTS) will have a positive, neutral or negative impact on carbon emissions. SYMCA has committed in the Integrated Settlement Outcomes Framework to monitoring and reporting on annual transport carbon impacts from user emissions and infrastructure carbon emissions.
- 5.29 Tools such as AMAT and the ICBT can be used to identify the anticipated infrastructure and user emissions related to a scheme over its lifetime. Schemes which have a positive or neutral carbon impact are favourable. However, it is acknowledged that some projects which are designed to reduce user carbon emissions over the longer-term, such as mass transit projects, may have a negative impact in the short and medium term due to infrastructure related carbon emissions. Applicants are therefore advised to consider how carbon offsetting or other mitigation measures can be incorporated into the project.
- 5.30 Transport infrastructure schemes with a value of £5m or more are also required to produce a Carbon Management Plan in line with Government policy. The cost of these assessments are eligible project costs and can be included as professional fees in the funding application.
- 5.31 Funding applicants are required to state in their business case how their proposed scheme will impact on demographic groups, habitat, natural resources and carbon emissions. Applicants are therefore advised to undertake an Equalities Impact Assessment and/or Environmental Impact Assessments and append this to their business case submission. Local authority applicants can append documents from their local assurance and governance processes to evidence the checks they have undertaken on a scheme before presenting it to their Committees or Cabinets for approval.
- 5.32 At the earlier stages of project development, funding applicants are required to hold a workshop with key staff, senior officers, and stakeholders where necessary, to discuss the options and possible delivery models for the project or scheme. This assists the applicant in identifying the long-list and short-list of viable options for delivering the scheme in line with guidance from the HM Treasury Green Book. The

Green Book expects a minimum of four shortlisted options to be presented in the business case. Funding applicants are also advised to consult with their local authority and/or local councillors at the earliest opportunity to engage them in the aims and objectives of the project or programme.

- 5.33 The SYMCA Executive Team ensures there is always a clear distinction and adequate separation between the applicants or scheme promoters and the appraisers and eventual decision makers:
- **Programme Management Teams (Transport Delivery and Non Transport Delivery)** - provide the end to end Programme Management function.
 - Acting as a key liaison point for the applicant on the funding application through all stages of the assurance process, including issuing the relevant business case template and other required forms for completion and the accompanying Guidance Notes.
 - Prepare and issue the Board papers for programme and project decisions to the MCA Board.
 - Prepare and issue Grant Letters and Funding Agreements once a funding decision has been made liaising with the applicant on contractual and monitoring matters
 - **Performance Reporting and Controls Team** – lead the development, management and control of the SYMCA performance reporting system, providing technical guidance and support to ensure performance reporting is timely and of high quality. Provide central control over monitoring and standardised recording of investment decisions throughout the project and programme lifecycle.
 - **Assurance** - independently conduct and manage the technical appraisal of the scheme or programme. The Assurance Team informs the Programme Management Teams of any additional documentation or information that the applicant needs to submit which they then relay to the applicant
 - **Evaluation Team** – independently conduct and manage the evaluation of schemes and programmes, providing insight and learning points for future programme delivery.

Timescales for the Assurance Process

- 5.34 Applicants can submit draft versions of a business case to the PMO for their guidance. PMO will review the business case and advise the applicant on any additional content or information that will be required, as well as supporting documents that should be submitted with the finalised business case. A checklist of contents is provided at the front of each business case template to guide the applicant in the level of detail and documentation required.
- 5.35 When an applicant submits the business case PMO will conduct checks on whether it contains the information and supporting documentation needed for appraisal. PMO will confirm to the applicant when the business case has been passed to the Assurance Team for appraisal.
- 5.36 The Assurance Team, or their appointed assessors, will undertake an initial review of the business case and issue any clarification questions that need to be answered before the appraisal can be completed. A funding applicant can expect to receive clarification questions between 2 to 3 weeks from the point at which the business case was submitted by PMO for appraisal.
- 5.37 Once an applicant has responded to the clarification questions the appraisal will be completed by the assessor. The Assurance Team will prepare the business case assessment and assurance opinion for presentation to the Investment Board. The Investment Board meets every two weeks and meeting papers are circulated four working days in advance of the meeting. PMO will confirm to the applicant the date of the Investment Board meeting that their project will be presented at. It typically takes 2 to

4 weeks for the technical appraisal to be completed and readied for Investment Board once the clarification questions have been resolved.

- 5.38 The Investment Board decides the outcome of Strategic Business Case submissions and Full Business Case submissions.
- 5.39 All Outline Business Case and Business Justification submissions must be presented at Investment Board before they are presented for decision at the SYMCA Board. The Investment Board makes a recommendation to the SYMCA Board on whether the business case should be approved. The SYMCA Board meets every 8 weeks and meeting papers are circulated three weeks in advance of the meeting and published one week in advance of the meeting. Business cases which have not cleared Investment Board three weeks before the SYMCA Board meeting date will be scheduled for decision at the following SYMCA Board meeting. PMO will confirm to the applicant the date of the SYMCA Board meeting that their project will be discussed and decided upon.
- 5.40 The steps involved in the funding appraisal process are detailed and illustrated in the following sections. A diagram showing the assurance, legal and financial checks that are undertaken at each business case stage, and the decision points is at Appendix B.
- 5.41 SYMCA can agree a tailored or bespoke process if circumstances demand it, such as for complex schemes where works need to be phased, or where timescales have been imposed on a local authority such as to comply with any legal or statutory processes. In cases where there is a tailored appraisal process, SYMCA will agree a revised process and SYMCA's Statutory Officers will confirm this based on an assessment of risk, complexity, value for money, uniqueness and funding availability. This will always be in compliance with HM Government advice and best practice.

Step 1: Programme Entry

- 5.42 In order for a project to be entered onto the SYMCA programme pipeline, it either has to be a named project in a Place Plan, a named project in a bid submitted to Government (eg. CRSTS, Investment Zone) or a Mandate Form needs to be completed and submitted to the Investment Board for consideration. This is illustrated in Figure 5 below:

Figure 5: Step 1 – Routes to Programme Pipeline Entry



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

- 5.44 The Mandate Form is a short form which captures the rationale for the programme or project, its alignment and contribution to the SYMCA's policy objectives and the SEP, and an indication of the types of outputs it could deliver and the estimated cost.
- 5.45 The Mandate Form, which includes a Statement of Strategic Fit is reviewed by the Investment Board and, if it aligns with the SYMCA's policy objectives and investment or Mayoral priorities, the project is accepted onto the programme pipeline and the SYMCA Board is notified.

Step 2: Project Development and Business Case Completion and Submission

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

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



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

- 5.47 The purpose of the SBC and PBC is to establish the case for change, and it should provide a first detailed (albeit high level) view of what will be delivered, how and when. It is important that an SBC or PBC can demonstrate its alignment with the SEP and other strategies. The SBC and PBC requests the following information from the applicant:
- Project(s) objectives and the rationale for investment
 - Project(s) outputs and outcomes against the SEP
 - High level timescales
 - High level cost estimate of project(s) – a range will suffice at this stage
 - Initial estimate of SYMCA funding required
 - Project or programme sponsor
 - Identifying risks, initial options analysis, and the preferred way forward
- 5.48 A minimum of four shortlisted options should be presented in the business case, and information or documents on how the longlist of options have been considered should be provided.
- 5.49 Projects which involve an active travel element need to be presented to the Design Review Panel (DRP) for their advice and steer prior to completion of the SBC. This is to ensure that Active Travel England are engaged in the scheme design as a statutory consultee.
- 5.50 The SBC and PBC is also used to identify if any development funding is required to help develop the project(s) or Outline Business Case(s). The applicant is required to provide a breakdown of the costs that development funding will support.

5.51 Eligible costs for development funding include:

- Feasibility studies, scoping or design work
- Preliminary assessment work to investigate a site for a capital scheme
- Technical support and advice to develop a project idea, scope the project, conducting consultative workshops to identify the longlist and shortlist of options, or writing all or part of the business case
- Value for Money (VfM) assessments on the shortlisted options
- Support for statutory or procurement processes, including obtaining legal advice on Subsidy Control
- Quantity surveying work to help cost the various options for the scheme and to assist in identifying the level of risk/contingency funding required
- Environmental Impact Assessment
- Equalities Impact Assessment
- Carbon Management Plan
- Development or other essential preliminary costs that are deemed necessary to progress the scheme (SYMCA will assess these on a case-by-case basis, and they may be subject to certain conditions being met)

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

5.52 The SBC or PBC is assessed in line with the five-dimension model in the HM Treasury Green Book and appraisal guidance published by individual Government departments, and is therefore appraised against the following criteria:

- **Strategic Dimension** – contribution to strategic objectives and national policy objectives
- **Economic Dimension** – impact on local and national growth, likely BCR category, the social, distributional, and environmental impacts, and an assessment of the value the project adds
- **Financial Dimension** – cost estimate and sources of funding e.g. identified scheme promoter, private sector, and other contributions
- **Commercial Dimension** – proven marketplace for the project, certainty in outcomes, procurement processes and commercial viability, consideration of social value
- **Management Dimension** – demonstration that the project is capable of being delivered successfully, including Delivery Plans, statutory processes, programme, risk management (with appropriate mitigation plans), State Aid and benefit realisation

5.53 The biggest emphasis at this stage is on the Strategic Dimension and to an extent the Economic Dimension. It is at this stage that a decision is made regarding the strategic fit of the proposed intervention's objectives, outcomes, impact and benefits. This needs to be proven and agreed at this stage. An early assessment of the potential value for money offered by the preferred way forward, relative to the current situation and the do minimum option, is also made at this stage.

5.54 To assess complex, transport or land related schemes, a series of approved and bespoke testing tools and models may be used (such as FLUTE 18, SCRTM1) to better understand the potential outcomes and value for money of an application. A proportionate TAG assessment may be undertaken, relative to the size of the project, to consider aspects such as the quality of the built environment.

- 5.55 Local authority partners are permitted to use their own templates to appraise, assure and approve SBCs through the local authority's own governance process eg. obtaining sign-off by the Director of Finance and obtaining approval from the relevant Committee or Cabinet in the local authority. If SBCs are assured by a local authority, the local authority is required to provide evidence of the SBC approval to the Investment Board, along with a formal request for any development funding that is required.
- 5.56 Local authority partners can instead choose to use SYMCA SBC template and go through the SYMCA assurance process. Local authority officers are also invited to present SBCs to the Investment Board. This is to facilitate understanding of the scheme and to support co-development and co-ownership principles.
- 5.57 PBCs and SBCs that are following the SYMCA assurance process, are appraised by SYMCA's Assurance and Evaluation Team, or by external independent assessors appointed under Lots 2 and 3 of the AIE Framework. An Assurance Summary is prepared with the outcome of the appraisal and the assurance opinion. The SBC or PBC and Assurance Summary is assessed by the Investment Board who decide whether to reject, defer or approve the SBC or PBC.
- 5.58 Project officers can meet with the assessors prior to the appraisal for an Assessment Initiation Meeting. The purpose of this is to aid assessors in understanding the project and its development and to advise project officers on details that will need to be included in the SBC from an assessor's perspective.
- 5.59 The Investment Board has delegated authority from the SYMCA Board to release development funding. Development costs are paid upfront in one instalment at a rate tailored to the individual scheme, rather than on a flat rate.
- 5.60 A Grant Letter confirms the award of development funding, key milestones and the breakdown of costs that will be supported by the development funding. Development funding awarded is entirely subject to clawback at the discretion of the SYMCA Board if the conditions agreed at the time of approval are not met.
- 5.61 The SYMCA Board is notified of the SBCs and PBCs that are approved by the Investment Board and applicants and scheme promoters are asked to develop a Business Justification Case (BJC) for low-risk projects seeking SYMCA funding of up to £2m or an Outline Business Case (OBC) for projects requesting more than £2m.
- 5.62 Applicants and scheme promoters will be required to develop and submit a BJC or OBC for each named project in the Programme Business Case.

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

- 5.63 The aim of a Business Justification Case (BJC) and Outline Business Case (OBC) is to:
- Identify the investment option which optimises value for money
 - Prepare a scheme for procurement
 - Ensure that statutory processes are undertaken

- Put in place the necessary finance and management arrangements for the successful delivery of the scheme.

For BJC's the following also applies:

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

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

- 5.64 Once a BJC or OBC has been developed, there will be a clear understanding of the project plan, project management and governance arrangements, benefits realisation, and risk management arrangements. Project assurance and post-project evaluation details will be fully worked-up.
- 5.65 OBCs are required to have a minimum cost certainty of 75% to demonstrate that the project has a high level of deliverability within the funding requested. Applicants should therefore only submit the OBC once any procurement or design and build processes have commenced or where cost estimates or quotes have been provided. Infrastructure schemes should also have reached RIBA Stage 4 (Technical Design).
- 5.66 Applicants are advised to ensure that sufficient risk or contingency funding is included in the OBC and project budget to sufficiently cover any unknown or unforeseen costs, as this will assist in providing assurance that the scheme can be delivered within the funding requested.
- 5.67 A BJC is required to have a 95% cost certainty as it is the equivalent of a Full Business Case. Any statutory processes will need to have been completed before the BJC is submitted.
- 5.68 Projects which involve an active travel element need to be presented to the Design Review Panel (DRP) for their advice and steer prior to completion of the BJC or OBC. This is to ensure that Active Travel England are engaged in the scheme design as a statutory consultee.
- 5.69 The BJC and OBC build on the foundations of the Strategic Business Case in that they provide considerably more detail on each of the five dimensions outlined in the latest HM Treasury Green Book guidance. All shortlisted options for project delivery must be assessed by the applicant for Value for Money.
- 5.70 The five dimensions help to ensure that all impacts of a project (monetised and non-monetised) are presented in the OBC and FBC for consideration. The business case templates, and guidance set out the basis for capturing impacts, including Optimism Bias. The Optimism Bias for transport projects is calculated in accordance with the DfT's Value for Money Advice Note for Local Transport Decision Makers.
- 5.71 It is essential that project applicants and scheme promoters agree the scope of costs and benefits before any substantive business case development is undertaken.
- 5.72 Project applicants and scheme promoters must also ensure that the commercial, financial and management arrangements are appropriate for effective delivery.

- 5.73 For all projects, an Assurance Summary of the business case is published on the SYMCA website, with the Business Case itself published on the applicant's websites to allow members of the public to comment.
- 5.74 A fully developed BJC and OBC will have determined the preferred option, potential value for money, ascertained affordability and funding requirements and be preparing the potential deal which enables successful delivery.
- 5.75 All BJCs and OBCs are required to go through the SYMCA assurance process. The process for BJCs and OBCs is detailed in Figure 7 below:

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



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

- 5.76 BJCs and OBCs undergo a technical appraisal, typically by the external independent assessors appointed under Lots 2 and 3 of the AIE Framework. This is to quality assure and scrutinise the project as well as undertaking all necessary due diligence checks. Any comments received from the public on the published business case are considered.
- 5.77 All appraisals are proportionate to the size, complexity, novelty, and risk inherent in the project. Transport projects undergo a TAG compliant appraisal. An Appraisal Scoping Report template is used to assess such schemes, comprising the:
- Level of analytical detail to be applied to approve a scheme against overarching Government transport objectives and the rationale for this
 - Modelling tools to be applied
 - Alternative interventions to be considered
 - Timescales for business case development
- 5.78 The Assurance and Evaluation Team compile an Assurance Summary which considers the technical assessment of the Business Case, any additional financial and commercial due diligence advice and comments and advice from the DRP on schemes with an active travel element. The Assurance Summary provides the overall outcome of the appraisal and the assurance opinion, along with a Value for Money (VfM) Statement.
- 5.79 The Investment Board reviews the BJC or OBC and the technical analysis undertaken including the VfM Statement. The Investment Board then discusses and agrees what recommendation should be made to the SYMCA Board; either to approve the project or defer the project for further work. At this stage it is still possible that an application could be recommended for rejection on the grounds of Poor VfM (determined as having a BCR rating of below 1, along with other indicators also showing poor levels

accounting for significant non-monetised impacts and key uncertainties) or presenting significant uncertainty or risk.

Single SYMCA Board Decision Point

- 5.80 BJs that are approved by the SYMCA Board at this stage proceed straight to contract.
- 5.81 The SYMCA Board will provide an in-principle decision to approve OBCs. The in-principle approval is dependent on the Full Business Case (FBC) being within a tolerance and threshold of 10%.
- 5.82 If the SYMCA funding level at FBC stage is more than 10% higher than the funding level at OBC in-principle approval stage, the scheme will be subject to re-appraisal and re-approval by the SYMCA Board. Applicants are therefore advised to submit their FBC within 12 months of OBC in-principle approval to reduce the risk of inflation or increases in materials, goods or services costs.
- 5.83 Delegation will be given to SYMCA's Statutory Officers to approve the FBC and enter into a funding agreement provided the FBC complies with the conditions set. If, however, the project is complex in design and/or higher value and higher risk, the FBC will be presented to the SYMCA Board for a final funding decision.
- 5.84 Local authority partners will be provided with the draft terms and conditions of the Funding Agreement following in-principle approval of the OBC.

Preparation for Contract

- 5.85 Much of the work involved in producing the Full Business Case (FBC) focuses on revisiting and updating the conclusions of the OBC and documenting the outcomes of the procurement. The purpose of the FBC is to:
- Confirm the procurement opportunity which offers optimum value for money
 - Agree the commercial and contractual arrangements for the successful delivery
 - Put in place the detailed management arrangements for successful delivery
- 5.86 Any pre-contract conditions which were put in place as part of the OBC approval should be cleared at this stage.
- 5.87 To make this process easier for applicants and scheme promoters, SYMCA uses a combined OBC/FBC template so that information in the OBC can quickly be updated as information is confirmed. This also ensures that if a project is sufficiently developed at OBC stage to be considered a FBC, funding approval for the scheme can be confirmed at OBC stage.

Agreement of Full Business Case

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

- 5.89 The FBC is presented to the Investment Board who confirms whether it is satisfied that the Funding Agreement can be signed and exchanged. The SYMCA Board will then be notified.
- 5.90 If conditions cannot be satisfactorily met, the SYMCA Board will have an opportunity to reconsider the revised business case and may reach a different decision. Figure 8 below illustrates the final stage in the appraisal process:

Figure 8: Route to full scheme approval and contract



Additional Due Diligence

- 5.91 Additional due diligence checks are undertaken for schemes where the applicant or main delivery partner is a private company limited by guarantee, private company limited by shares, a private unlimited company, limited liability company, Community Interest Company (CIC) or Special Purpose Vehicle (SPV).
- 5.92 Specialist and technical advice will be commissioned to ascertain the financial and commercial viability of the applicant, as well as considering Subsidy Control and the applicant's governance arrangements, assets and liabilities to ascertain the level of risk in awarding public funding.
- 5.93 The advice will inform the assurance opinion and funding conditions of any grant, loan or equity award. Funding conditions may include contracting with a parent company, seeking a guarantee or clauses in the Funding Agreement on overage, clawback or ownership of assets procured with public funds.

Significant Changes Between Business Case Stages

- 5.94 Any scheme which significantly changes in scope, outputs or cost since the last approved stage, will be subject to re-appraisal. This is to provide assurance that the changes do not adversely affect the scheme's original objectives, the value for money of the scheme or funding availability.
- 5.95 Where the scheme is part of a programme (eg. CRSTS, Brownfield Housing Fund), SYMCA will need assurance that the changes to the scheme will not have a negative impact on the overall programme in terms of the programme's funding, objectives or scope of activity, particularly if the changes involve reducing outputs, outcomes or activity or increasing the funding request.

Complaints and Appeals

- 5.96 All applicants for funding are made aware of the recommendations made by the Investment Board and the decision of the SYMCA Board, along with the rationale for the recommendations. Complaints can be made if the applicant deems that due process has not been followed.
- 5.97 Decisions made by the Mayor, SYMCA Board and Investment Board can be scrutinised by the Overview and Scrutiny Committee. All decisions on funding must follow the appraisal process outlined above to be valid.

- 5.98 If a complaint is made, the SYMCA Monitoring Officer will convene an independent committee to review the issue and make a recommendation to the SYMCA Board as appropriate.
- 5.99 In any case where it is alleged that the SYMCA Board is (a) acting in breach of the law, (b) failing to adhere to the process outlined in this Assurance Framework, or (c) failing to safeguard public funds, complaints are directed to the SYMCA's Monitoring Officer or their deputy. This includes complaints from stakeholders, members of the public or internal whistle-blowers.
- 5.100 The Monitoring Officer will address the allegation following the protocols set out in the SYMCA Constitution.
- 5.101 If SYMCA cannot resolve the issue to the complainant's satisfaction, and the complaint relates to funding allocated to South Yorkshire, the issue may be passed to the relevant Government department (such as the MHCLG or DfT).

Conflicts of Interest and Decision-Making

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

6. Contract Management

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

Contracting

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

Payment Against Claims

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

Managing Contract Performance

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

- 6.9 The SYMCA Executive Team monitors the delivery of the project, and the progress made in achieving the outputs and outcomes, in line with the Monitoring and Evaluation Framework.
- 6.10 Reporting of monitoring information is derived from a number of sources; the submitted reports received from scheme promoters and maintaining regular contact with applicants, scheme promoters and delivery partners, including conducting site visits where appropriate. If required, internal and/or external audit reporting is used. The SYMCA Executive Team supports SYMCA to discharge its duties on reporting and accounting for public monies by gathering information and data, ensuring that a robust audit trail is in place, and escalating any issues or risks to performance.
- 6.11 The SYMCA Executive Team is responsible for immediately addressing any slippages or concerns regarding project delivery and taking corrective action, including updating the Risk Register as necessary.
- 6.12 Where funding conditions and funding eligibility criteria permit, applicants and scheme promoters will be allowed to vire funding between schemes to manage pressures within defined programme funding envelopes. Any virement needs to be agreed with SYMCA's Programme Delivery team.

Changes to Projects

- 6.13 A change control process is in place to ensure that variations to baseline project and programme data are discussed with the scheme promoter and agreed with the SYMCA Executive Team. Variations can occur throughout the project/programme lifecycle, based on changes to the previously approved gateway criteria.
- 6.14 Variations to a project and/or programme are logged on the corresponding file and the Verto system, and are reported to the Investment Board, Performance Board and/or SYMCA Board when appropriate.
- 6.15 A Change Control Panel is held following an Investment Board, with the Panel comprising of representatives of the Programme Delivery and Finance teams that scrutinise change requests to determine the impact on project and programme success. The Panel direct the change request through the appropriate approval channels.
- 6.16 Minor changes can be agreed between the project applicant and SYMCA Executive Team, with the Change Control Panel providing recommendations to the delegated officer for approval.
- 6.17 Where a change may impact the Value for Money and Benefit Cost Ratio, the project will be re-appraised by the Assurance Team to ascertain the ability to deliver the scheme in line with its original objectives. The Programme Delivery team will assess the impact of the scheme's changes on any associated programme (eg. CRSTS, Brownfield Housing Fund) and on funding availability.
- 6.18 Significant changes, such as an increase to the overall SYMCA grant allocation, a major change in project or programme scope, activity or outputs, or movement between funding pillars, are considered via the Investment Board and the SYMCA Board, dependant upon the level of delegation in place.
- 6.19 Where there is significant underperformance or cause for concern, a project/programme will be referred initially to the Performance Board ahead of formal consideration of a change request. This is where options can be considered and any formal changes directed through the appropriate route for approval, and reported to the Audit, Standards and Risk Committee where required.

6.20 Changes approved during business case development are recorded on the project files and within Verto, and reflected in the next gateway approval. Approved changes to contractual terms are recorded on the project files and within Verto, with updated contractual terms agreed with the scheme promoter.

Reporting Performance

6.21 Reports are produced from the quarterly information submitted by project sponsors, and these are used at Boards to check progress of overall funding programmes. The reports combine qualitative narrative on progress made in delivering the project or programme, as well as quantitative data on outputs and outcomes delivered during the monitoring period:

- a. Information on whether the project has encountered issues or problems affecting delivery
- b. Confirmation of project milestones that have been met
- c. Information on project achievements and successes
- d. An indication of any risks or issues that will affect the timescale, cost or scope of the project ▪ Confirmation of project income and expenditure
- e. Confirmation of outputs and outcomes delivered

6.22 Reports on project and programme performance for Gainshare and local growth funds are submitted by the SYMCA Executive Team to the Ministry of Housing, Communities and Local Government (MHCLG) to support the Light Touch Gateway Review Annual Conversation. Programme reporting is also reported to other relevant Government departments on other investment funds. All reports are signed-off by the Chief Finance Officer

Internal Audit

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

Closure

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

Clawback

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

7. Measuring Performance and Success

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

Monitoring and Evaluation Framework

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

Monitoring

- 7.7 All project applicants, scheme promoters and ASF delivery partners are required to provide regular financial and delivery information, including progress made in achieving the expected outputs and outcomes, to the SYMCA Executive Team. Performance Reports are expected quarterly as a minimum, however, reporting frequency is based on the assessment of risk. Where a project or programme is considered high risk, the frequency of formal monitoring increases to monthly. The frequency of reporting on the delivery of outputs and outcomes can reduce to every six months following the completion of works or activity. Again, the frequency is determined by the level of risk.
- 7.8 The applicant, scheme promoter and ASF delivery partner submits quarterly reports to the SYMCA Executive Team. All quarterly reports are signed-off by the Chief Finance Officer. This enables SYMCA to fulfil its duties on reporting and accounting for public monies.

- 7.9 Site visits to project applicant, scheme promoters and delivery partners are conducted once per year as a minimum. Site visits may by exception, be conducted more or less frequently based on an assessment of risk.
- 7.10 Project Applicants, scheme promoters and delivery partners are responsible for informing the SYMCA Executive Team of any changes to the scope, costs, and implementation timescales for their project. The SYMCA Executive Team assesses the impact of any changes on the overall programme, budget, and expenditure. Cost increases, financial slippage and significant changes to outputs and outcomes are reported to the appropriate Board where necessary. SYMCA does not guarantee that it will meet any cost increases either in full or in part.
- 7.11 It is recommended that funding applicants and scheme promoters provide copies of any annual reporting they have produced on the scheme, or compile an end of year project report to SYMCA that captures what has worked well in managing and delivering the scheme, what issues have arisen and how these have been addressed as this aids the monitoring, evaluation and sharing of good practice.
- 7.12 The SYMCA Executive Team presents Performance Reports on project and programme delivery, including ASF, to the Performance Board and SYMCA Board. This ensures that Board members are informed of progress on projects and are sighted on any issues that will result in financial slippage or underperformance.
- 7.13 Performance Reports are also submitted to the relevant Government department, specifically MHCLG, the Department for Education and the Department for Transport. The frequency of reporting is determined by the relevant Government department although it usually consists of the submission of quarterly updates to the department and a formal annual report.
- 7.14 SYMCA is required to submit an annual report to Government each January on the delivery of ASF functions from the previous academic year to date including:
- South Yorkshire policies for adult education
 - Expenditure against ASF
 - Data analysis of ASF delivery in South Yorkshire
- 7.15 SYMCA is required to submit six-monthly reports to the National Government Programme Board setting out progress towards delivering the outcomes and targets agreed with government in the Integrated Settlement Outcomes Framework. This includes delivery across business support, investment zone, transport, adult skills, employment support, housing, local nature recover strategy and homelessness and rough sleeping.

Evaluation

- 7.16 The frequency and type of evaluation conducted, depends on the contract value, duration, and complexity of the project. The level of evaluation required is determined at Outline Business Case stage so that adequate resource can be allocated to fund the cost of evaluation prior to the project's approval. This enables evaluation to be factored into a project and programme's design from the outset.
- 7.17 All evaluations will be designed on a strategy-first basis, beginning with the South Yorkshire Outcomes Framework and the objectives set out in the South Yorkshire Strategy. Statutory or funding-stream-specific requirements (including ASF, CRSTS, UKSPF and Gainshare) will be fully met,

but will be treated as nested within this strategic framework to ensure that assessments focus on the long-term outcomes the region is seeking to achieve.

- 7.18 Pilot projects and major schemes such as ASF, CRSTS and UKSPF, are subject to more extensive and frequent evaluation; typically, annual interim evaluation and a final evaluation after the project has ended.
- 7.19 As a minimum, all projects are evaluated post-delivery on the project's impact on the South Yorkshire economy, to ascertain whether the project's objectives, outputs and outcomes were achieved, the reasons and results of any under or over performance, and to identify any lessons or recommendations that should be applied to future projects. The evaluation assesses the economic, social, and environmental impact against the key performance indicators listed in the SEP and the individual Monitoring and Evaluation Plans developed for specific programmes such as TCF, as well as the national key performance indicators for Gainshare, ASF and CRSTS. SYMCA's key performance indicators are listed in the Outcomes Framework in Appendix A.
- 7.20 The SYMCA Executive Team procures external and independent evaluation of all SYMCA funded programmes and projects, including ASF and CRSTS through a Framework Agreement to evaluate the impact of specific funding streams, significant investments, and pilot projects.
- 7.21 Research and evaluation consultants were invited to tender for the provision of evaluation services through SYMCA's Investment and Appraisal Framework. Experts are contracted based on their subject and thematic expertise and evaluation experience and produce independent evaluation reports of SYMCA funded projects, schemes, and programmes.
- 7.22 The use of external evaluation experts to provide technical expertise and specialist advice on conducting project and programme evaluation, ensures that all evaluation conducted on projects and programmes funded by SYMCA is as objective and impartial as possible.
- 7.23 Project evaluation provides accountability for the investment made. It also provides local evidence on which to base future projects and programmes. The SYMCA Executive Team reviews the results of the evaluation against the objectives of the project as set out in the business case and Funding Agreement and the most appropriate counterfactual. Evaluation results for all projects are published on the SYMCA website.
- 7.24 Where there is a variation between a project's objectives and its outcomes, the SYMCA Executive Team works with the applicant or scheme promoter to agree corrective action. If the corrective action is unsuccessful, clawback clauses in the Funding Agreement can be invoked as a final resort and to secure the desired outcomes via alternative measures.
- 7.25 The SYMCA Executive Team compiles a summary report for the SYMCA Board of all projects that have completed during the previous quarter. This report confirms whether the project has delivered against its spending profile and achieved the outputs and objectives in the Funding Agreement. The report also recommends whether each project can be closed.
- 7.26 As part of the annual report to Government on the delivery of ASF functions from the previous academic year to date, SYMCA also provides an update on interim evaluation findings on the impact that ASF has had in South Yorkshire. These findings are derived from qualitative data such as employer and learner

survey responses and quantitative data on the take-up of ASF funded provision in South Yorkshire and improvements in participation, progression, and attainment in statutory and non-statutory training.

Gateway Review of Gainshare

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

7.32 In January 2025, MHCLG confirmed that SYMCA was eligible for a lighter touch regime on Gateway Review from April 2025. The Local Evaluation Framework for 2025, programme level performance information, one impact evaluation, a Progress Plus evaluation (covering multiple schemes) and a series of Progress Evaluation reports were submitted to MHCLG in January 2026 in preparation for the Light Touch review via the Annual Conversation.

8. Inclusive and Collaborative Working

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

Collaboration with Metro Mayors, the Northern Powerhouse and Transport for the North

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

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

- A series of joint lobbying by the Northern Mayors on Levelling-Up and transport funding including Northern Powerhouse Rail (NPR) and the National Rail Plan
- Led work to support the Metro Mayors network
- Led on the creation of the White Rose Agreement signed by Mayors of West Yorkshire and York and North Yorkshire
- Through the White Rose Agreement, commissioned the Blunkett Yorkshire Plan for Rail which was the Yorkshire submission for NPR
- Joined forces with Northern Mayors to establish The Great North and outputs included pitching to bring the Olympics to the North
- Collaborated with Public Health England and the integrated care system on health issues throughout the Covid-19 pandemic
- Explored a pilot project on innovation with peer MCAs including the West Midlands
- Collaborated with Transport for the North (TfN) to inform the development of TfN's Strategic Transport Plan. TfN also contributed to the development of the South Yorkshire Transport Strategy and Integrated Rail Action Plan
- Worked in partnership with the Metro Mayors on an Air Quality Summit and joint lobbying to Government for increased powers and funding
- Collaborated on Working Win, the health-led employment trial
- Led a trade delegation to India in conjunction with other Northern Powerhouse members
- Shared intelligence on ASF procurement

Engaging with Other Partners

8.4 Regular meetings are held with partners to ensure an open and two-way dialogue on activity being undertaken across South Yorkshire, and to discuss the development of strategies and progress in

delivering the SEP priorities and objectives. These meetings take place with business representative organisations, including the Chambers of Commerce, Federation of Small Business, CBI, Institute of Directors and Make UK, as well as local authority partners and the universities, such as the Business Advisory Group meetings.

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

8.6 Examples of collaboration with partners and agencies have included:

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

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

Engaging with the Public

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

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

- 8.10 In addition to publishing information on potential investment decisions in the Forward Plan of Key Decisions, the VfM Statement and business case for each project is published throughout the assurance process. This enables members of the public and stakeholders to comment on proposed projects before funding decisions are made. Any comments received are considered by the Investment Board in deciding whether to recommend a project for approval, deferment, or rejection, and are made available to the SYMCA Board.
- 8.11 The SYMCA website also explains how members of the public can request information as well as providing feedback and submitting questions for SYMCA meetings.
- 8.12 SYMCA holds its AGM in June each year.

Formal and Public Consultation

- 8.13 In accordance with SYMCA's statutory obligations, the SYMCA Executive Team undertakes a public consultation exercise when revising or developing a new strategic document. The consultation period runs for between 6 and 12 weeks. Information on the consultation is posted on the homepage of the SYMCA website with a draft document and details of how to submit views, comments and supporting evidence electronically and by post. Information on any scheduled consultation events is also displayed.
- 8.14 Comments and evidence submitted by partners and individuals during the public consultation period are logged, analysed, and categorised, with records kept on how the final draft of the strategy has been amended to reflect the comments and evidence received.
- 8.15 In 2020 the public were consulted on the draft Strategic Economic Plan. In 2022 SYMCA publicly consulted on Enhanced Partnerships, in 2024 on Bus Reform, Dogs on Trams and the Police Precept and in 2025 on the Police and Crime Plan, annual Police Precept, Community Transport, Bus Fleet and Customer Principles. Future public consultations will take place on the development of the Nature Recovery Strategy and re-fresh of the Transport Strategy.

9. Publishing Information

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

Access to Information

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

SYMCA Website

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

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

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

Meeting Papers

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

Notice of Decisions

- 9.12 As stated in previous sections, SYMCA publishes all key decisions and a Forward Plan of Key Decisions that will be taken by the SYMCA Board or Investment Board at least 28 days before the decision is made to enable members of the public to view and comment on them. This includes decisions on any revenue expenditure, savings or subsidies that are over £250k or any capital expenditure or savings that are over £1m.
- 9.13 Details of all project approvals made by the SYMCA Board, are recorded in the Minutes of the meetings. In addition, the SYMCA Executive Team maintains and publishes a Grants and Contracts Register on the SYMCA website which provides details of all contracts and agreements signed, an Assurance Summary of the project, and the value of the contract.
- 9.14 A Delegated Authority Report for decisions taken by the Investment Board is produced for the SYMCA Board which documents all decisions that the Investment Board has taken, including any approval they have given to projects within their delegated authority and any endorsement, deferment or rejection of projects. Delegated Authority Reports is a standing agenda item for discussion at each SYMCA meeting and they are published in the meeting paper pack on the SYMCA website.

Information on Board Members

- 9.15 The following information on SYMCA Board Members is published on the SYMCA website:

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

Financial Information

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

Procurement and Funding Opportunities

- 9.25 The SYMCA Executive Team publishes calls for projects on a regular basis on the SYMCA website and social media feeds. The application templates and guidance documents for each commissioning call are available via the SYMCA website.
- 9.26 An open and competitive procurement process is in operation. When undertaking any procurement, all Boards, officers, and staff must comply with the Procurement Act 2023. Opportunities to supply goods and services are advertised on the Procontract website with a link from the SYMCA website.
- 9.27 Information on how businesses can access advice and support services, including applying for grant-funded programmes, is advertised in the Growing Our Economy section of the SYMCA website.

Branding

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

Glossary of Terms

AGM	Annual General Meeting
ASF	Adult Skills Fund (formerly known as Adult Education Budget (AEB))
BCR	Benefit Cost Ratio
BF	Brownfield Fund
BJC	Business Justification Case
BMBC	Barnsley Metropolitan Borough Council
CDC	City of Doncaster Council
CFO	Chief Finance Officer
CRF	Community Renewal Fund
CRSTS	City Region Sustainable Transport Settlement
DfE	Department for Education
DfT	Department for Transport
FBC	Full Business Case
FLUTE	Forecasting the interactions of Land-Use, Transport and Economy
FMR	Funding, Monitoring and Reporting Team
GBF	Getting Building Fund
LEP	Local Enterprise Partnership
LGF	Local Growth Fund
LTA	Local Transport Authority
MCA	Mayoral Combined Authority
MHCLG	Ministry of Housing, Communities and Local Government
OBC	Outline Business Case
PBC	Programme Business Case
PMO	Programme Management Office
R&D	Research and Development
RMBC	Rotherham Metropolitan Borough Council
SBC	Strategic Business Case
SCC	Sheffield City Council
SCR	Sheffield City Region
SCRMT1	Sheffield City Region Transport Model 1
Section 73	Equivalent to a Section 151 Officer
SEP	Strategic Economic Plan
SYMCA	South Yorkshire Mayoral Combined Authority
TAG	Transport Appraisal Guide (formerly known as WebTAG)
TCF	Transforming Cities Fund
UKSPF	UK Shared Prosperity Fund

Appendix A: Outcomes Framework

Please note that the Outcomes Framework will be replaced by the South Yorkshire Strategy Outcomes Framework once adopted during 2026/27.

NB: Baseline year is either 2020 or financial year 2019/20 unless otherwise stated.

Stronger

Core Indicator	Outcome	Data Source	Indicator	Baseline	2040 Target	Latest Data
Productivity per hour worked	A higher productivity workforce	ONS - Labour productivity indices by UK ITL2 and ITL3 subregions - Table A3	Current price (smoothed) GVA per hour worked (£)	SY = £30.20 UK = £38.00 (2020)	Match UK Average	SY = £33.77 UK = £41.87 (2023)
High growth businesses	A larger proportion of high growth businesses	ONS - Business demography, UK - Tables 7.1 and 7.3	Percentage of active enterprises with 10+ employees defined as high growth enterprises	SY = 3.9% UK = 4.4% (2020)	Match UK Average	SY = 4.3% UK = 4.9% (2024)
Business density.	Higher density business base	ONS - UK business: activity, size and location - Table 1	Number of businesses per 10,000 people aged 16 to 64 (working age)	SY = 456 UK = 655 (2020)	Match UK Average	SY = 454 UK = 628 (2025)
Higher-level occupations	Higher proportion of employees in managerial, technical and professional occupations	NOMIS - Annual Population Survey - % of all in employment who are SOC2020 groups 1, 2 & 3	Percentage of employees in managerial, technical and professional occupations (SOC2020 groups 1, 2 and 3)	SY = 42.2% UK = 50.0% (2021)	Match UK Average	SY = 45.8% UK = 52.8% (2025)

Supporting Indicator	Outcome	Data Source	Indicator	Baseline	2040 Target	Latest Data
Economic output per worker	The size of our economy relative to our workforce (and population) will increase	ONS - Subregional productivity: labour productivity indices by UK ITL2 and ITL3 subregions - Table B3	Current Price (smoothed) GVA per filled job (£)	SY = £46,060 UK = £58,465 (2020)	Match UK Average	SY = £53,222 UK = £66,402 (2023)
Employment	More working-age people are in employment	NOMIS - Annual Population Survey - Table T08 (All People, Aged 16-64)	Percentage of working age (16 to 64) people employed	SY = 71.7% UK = 75.0% (2020)	Match UK Average	SY = 72.8% UK = 75.2% (2025)
Enterprise birth rate	Higher density and growing business base	ONS - Business demography, UK - Tables 1.1 and 3.1	Number of new enterprise births as a percentage of active enterprises	SY = 13.4 UK = 11.5 (2020)	Exceed UK Average	SY = 12.1 UK = 11.1 (2024)
Enterprise survival rate	Higher density and growing business base	ONS - Business demography, UK - Table 5.1	Percentage of newly born enterprises that survived for 1+ years	SY = 91.9% UK = 92.9% (2020)	Exceed UK Average	SY = 91.9% UK = 93.4 (2023)
Research and Development expenditure	A greater investment in R and D and a more innovative economy	ONS - Business enterprise research and development, UK - Table 18 ONS - Regional economic activity by gross domestic product - Table 5	R and D expenditure as a % of economic output	SY=1.4% UK=1.7% (2019)	2.4% of GDP	SY=1.4% UK=1.7% (2019)
Digital connectivity	A higher proportion of South Yorkshire is covered by gigabit capable broadband services	OFCOM - Connected Nations Report - Fixed broadband coverage Full fibre take-up for local and unitary authorities	Percentage of premises with available gigabit capable download speeds	SY = 60.0% UK = 58.0% (2020)	Match UK Average	SY = 92.7% UK = 86.0% (2025)
Urban centres	Consistent or improving levels of footfall in town and city centres	Local authority data	Total reported footfall at consistent locations across the region	100 (2020)	Consistent or increasing footfall	110.9 (2024)

Greener (more sustainable)

Core Indicator	Outcome	Data Source	Indicator	Baseline	2040 Target	Latest Data
Flooding	Residents and businesses are more resilient to flooding	Environment Agency - National assessment of flood and coastal erosion risk in England 2024	Number of households at risk of flooding	13,910 (2024)	17,000 additional homes and businesses protected from flooding	13,910 (2024)
Carbon Emissions	Reduce carbon emissions	Gov.uk - UK local authority and regional greenhouse gas emissions statistics	Local Authority CO2 emissions per person (kt CO2e)	SY = 4.5 England=2.2 (2020)	Net Zero	SY = 4.6 England = 4.8 (2023)
Modal Shift	Car usage and motor traffic falls, indicating mode share and lower pollution due to transport	Gov.uk - Road traffic estimates	Cars and Taxis million vehicle miles	5,183 (2019)	Additional 29,000 workers using public transport to commute and 14,000 using active travel modes to commute	5,079 (2024)

Supporting Indicator	Outcome	Data Source	Indicator	Baseline	2040 Target	Latest Data
Bus Patronage	Increase bus patronage	BUS01 passengers on local bus services	Total number of passengers on local bus services in millions	80.9 (2020)	tbc	62.4 (2025)

Bus Time	More buses on time	Bus operator data	Cumulative journey times for an agreed set of frequent services	+5.1% (2023)	-4.0%	+7.7% (2024)
Reliability	More scheduled bus services that actually run	Bus operator data	Percentage of bus services that run as planned	98.8% (2020)	99.5%	98.0% (2024)
Bus Satisfaction	More satisfied users	Transport Focus survey	Percentage of bus passengers satisfied with their journey	89.0% (2020)	92.0%	79.0% (2024)
Ecosystem Services	The value of total ecosystem services flows increases	Natural Capital Solutions - South Yorkshire natural capital and biodiversity mapping (2021)	Value of ecosystem service provision relative to 2021 benchmark	£519m (2021)	Increasing value of ecosystem service provision relative to 2021 benchmark	£519m (2021)
Commuting Mode of Travel	More people use public transport and active travel	ONS Census – Method of Travel to Work - (QS701EW)	% of those who commute by foot, bike, or bus	SY = 14.1% England = 14.0% (2021)	Higher % of people walk or bike or bus	SY = 14.1% England = 14.0% (2021)
Renewable energy generation	More renewable energy is generated	Gov.uk - Regional Renewable Statistics	Annual generation (MWh per home)	SY = 1.3 England = 2.4 (2020)	Increase in MWh per home generation	SY = 1.4 England = 1.9 (2024)
Net Zero Carbon Emissions (Scope 1 and 2) for the region	Reduction in carbon emissions	Gov.uk - UK local authority and regional greenhouse gas emissions statistics	Local Authority industry total emissions (kt CO2e)	1129.6 (2020)	Net Zero	1107.5 (2022)
Air quality	Air quality is improved	ONS – Air emissions Nitrous Oxide (N2O) CO2e	Nitrous Oxide emissions total (N2O)	167.8 (2020)	Reduction in Nitrous Oxide emissions	162.7 (2022)

Carbon intensity	Reduced carbon emissions	ONS - Local authority territorial greenhouse gas emissions 2005-2022	Carbon emissions per km2 (kt CO2e)	SY=4.55 UK=1.52 (2020)	Reduction in carbon emissions	SY=4.48 UK= 1.51 (2022)
Woodland coverage	Increased woodland coverage	Friends of the Earth - Existing woodland coverage.	% coverage – Natural Capital Mapping	SY= 10.6% UK= 13.0% (2020)	tbc	SY= 10.9% UK= 13.0% (2023)
Housing stock energy efficiency	All new homes in South Yorkshire are built to Energy Performance Certificate Grade C standard and above	Gov.uk - Live tables on Energy Performance of Buildings Certificates - Table NB1_by_LA	% of new domestic properties by energy rating C and above	SY = 92.8% England = 95.2% (2019)	tbc	SY = 96.1% England = 97.2% (2024)
Walking, wheeling and cycling	Increase in active modes of travel	ONS - Walking and Cycling Statistics England	% using 'active' modes of travel	SY= 65.8 England= 69.3 (2020)	tbc	SY=66.8 England= 70.9 (2023)

Fairer

Core Indicator	Outcome	Data Source	Indicator	Baseline	2040 Target	Latest Data
Economic inactivity	Fewer people are economically inactive	Nomis - Annual Population Survey	% who are economically inactive - aged 16-64	SY= 24.4% UK=20.9% (2020)	Match UK Average	SY=24.8% UK= 20.8% (2024)
Qualifications & skills	Delivering a local workforce for future growth	Nomis - Annual Population Survey	Proportion of working-age population (16-64) possessing NVQ Level 3+	SY= 58.1% UK = 61.3 (2020)	Match UK Average	SY= 59.7% UK= 67.5% (2024)

Wage levels	A lower proportion of employees on low earnings	Nomis - Annual Survey of Hours and Earnings	Median hourly pay (gross) of all workers	SY= £13.68 UK = £15.15 (2020)	Match UK Average	SY=£18.18 UK= £19.74 (2025)
Personal wellbeing	Improved well-being	ONS - Annual personal well-being estimates	Percentage of people reporting high anxiety	SY= 22.3% England =21.9% (2020)	Match England Average	SY=23.3% England = 23.3% (2023)

Supporting Indicator	Outcome	Data Source	Indicator	Baseline	2040 Target	Latest Data
NVQ – all levels	Increase in % of working age people with NVQ Level 3 and above	Nomis - Annual Population Survey	Proportion of working-age population (16-64) possessing NVQ Level 3+	SY= 58.1% UK = 61.3% (2020)	Match UK Average	SY= 59.7% UK= 67.5% (2024)
Health	Our population live increasingly long, healthy lives	ONS - Health State Life Expectancy - All Ages	Healthy life expectancy at birth	SY = 58.9 (Male), 59.3 (Female) UK = 63.2 (Male), 63.7 (Female) (2017 – 2019)	Match UK Average	SY = 56.1 (Male), 56.0 (Female) UK = 61.5 (Male), 61.9 (Female) (2021 – 2023)
Housing costs	The housing system and wider economy means that earning power is not being eroded by inflating house prices	ONS - House price (existing dwellings) to residence-based earnings ratio	House price to residence-based earnings ratio	SY = 5.05 UK= 7.61 (2020)	Net decrease in relative housing costs	SY= 4.98 UK= 7.58 (2024)
Education & schools	More children leave secondary school with better attainment to boost their prospects in FE and employment	GOV.UK – Explore Education Statistics	Percentage of pupils achieving grades 4 or above in English and mathematics GCSEs	SY=64.8% UK= 69.0% (2021)	Match England Average	SY= 61.3% UK= 64.5% (2024)

Higher-level occupations	Higher proportion of employees in managerial, technical and professional occupations	NOMIS - Annual Population Survey - % of all in employment who are SOC2020 Groups 1, 2 & 3	Percentage of employees in managerial, technical and professional occupations (SOC2020 groups 1, 2 and 3)	SY = 42.2% UK = 50.0% (2021)	Match UK Average	SY = 45.8% UK = 52.8% (2025)
Fuel poverty	Fewer households living in fuel poverty	GOV.UK - Annual fuel poverty statistics report	Percentage of households living in fuel poverty	SY = 17.7% UK= 13.4% (2019)	Match England Average	SY= 15.0% UK = 11.4% (2023)
Child poverty	Lower proportion of children living in poverty	GOV.UK - Children in low income families: local area statistics	Percentage of Children (aged under 16) living in Absolute low-income families	SY= 22.0% UK=15.7% (2020)	Match UK Average	SY=19.4% UK = 15.9% (2023)
Cultural participation	People spend more time doing cultural and creative activities	GOV.UK - DCMS Surveys	Proportion of spent time doing a creative, artistic, theatrical or music activity or a craft	SY=69.7% UK= 76.1% (2021)	Match UK Average	SY=69.7% UK= 76.1% (2021)
Deprivation	Lower share of local areas in deprivation	MHCLG Index of Multiple Deprivation - Proportion of LSOAs in most deprived 10% nationally	Proportion of LSOAs in most deprived 10% nationally	SY= 18.6% UK= 10.0% (2019)	Match England Average	SY=22.0% UK= 9.4% (2025)
Out-of-work benefit claimant rate	Lower percentage of people claiming out-of-work benefits	ONS - Claimant Count by Local Authority - Table CC01	Percentage of people claiming out of work benefits	SY= 3.3% UK= 2.9% (2020)	Match UK Average	SY= 4.5% UK= 4.1% (2025)
Connect to jobs	Improved journey times to employment centres	GOV.UK - Modal comparisons - Table tsgb0111	Average time taken to travel to work by region of workplace and usual method of travel	25 minutes (2020)	Reducing journey times	23 minutes (2024)

Affordable housing delivery	Increasing number of affordable housing completions	GOV.UK - Affordable Housing Supply - Table 1008S	Number of additional affordable dwellings	SY = 884 (2020/21)	Increase on 2020 level	SY = 695 (2023/24)
Net additional dwellings	Increasing number of net new dwellings	GOV.UK - Affordable Housing Supply - Table 122S	Total number of net additional dwellings	SY = 5403 (2020/21)	Increase on 2020 level	SY = 5277 (2023/24)
Avoidable mortality	Reduction in preventable mortality	ONS - Premature preventable deaths	Age-standardised preventable mortality rate per 100,000	189.8 (2018 – 2020)	tbc	198.5 (2021 – 2023)
Common mental health disorders	Reduction in prevalence of common mental health disorders	DHSC Fingertips - Common mental disorders profile	Estimated prevalence of common mental disorders: % of population 16 and over	18.7% (2017)	tbc	18.7% (2017)
Gross disposable household income	Increase in gross disposable household income	ONS - Regional gross disposable household income: all International Territorial Level (ITL) regions - Table 3	Regional gross disposable household income per head of population	£16,873 (2020)	tbc	£19,795 (2023)
Key stage 4 destination measures	Higher % in sustained education, apprenticeship or employment	GOV.UK (Explore Education Statistics) - Sustained education, apprenticeship or employment for '16-18' local authorities	Proportion of 16-18 year olds in sustained education, apprenticeships or employment	78.3% (2020 – 2021)	tbc	75.9% (2022 – 2023)
Apprenticeships and trainees	More apprenticeships as % of working age population	GOV.UK (Explore Education Statistics) - Apprenticeships	Number of apprenticeship starts as a percentage of working age population	0.88% (2020/21)	tbc	0.98% (2024/25)
NEET	A smaller proportion of 16–17-year-olds are not in education, employment or training	GOV.UK (Explore Education Statistics) - NEET and participation: local authority figures	Proportion of 16–17-year-olds not in education, employment or training	3.4% (2020)	tbc	4.8% (2024)

New Metrics – Police and Crime (added March 2025)

Supporting Indicator	Outcome	Data Source	Indicator	Baseline	2040 Target	Latest Data
Police	TBC	ONS - Perception and experience of police and criminal justice system, England and Wales - Worksheet 18 Table S18a	Proportion of people rating Police do an excellent or good job	44% (2024)	Trajectory to be identified and agreed	44% (2024)
Police	TBC	ONS - Perception and experience of police and criminal justice system, England and Wales - Worksheet 18 Table S18c	Proportion of people strongly or tend to agree Police work in partnership	37% (2024)	Trajectory to be identified and agreed	37% (2024)
Police	TBC	SYP - Victim Satisfaction Survey	Victim satisfaction with service provision	71% (2024)	Trajectory to be identified and agreed	71% (2024)

New Metrics – Inclusion and Engagement (added March 2025)

Supporting Indicator	Outcome	Data Source	Indicator	Baseline	2040 Target	Latest Data
Inclusion	TBC	NHS – Fingertips, Child and Maternal Health - Early Years	Percentage of children achieving a good level of development) at 2 to 2 and a half years	Barnsley = 84.9% Doncaster = 80.8% Rotherham = 89.3% Sheffield = 85.7% (2022/23)	Trajectory to be identified and agreed	Barnsley = 84.7% Doncaster = 87.3% Rotherham = 88.9% Sheffield = 84.0% (2024/25)

Housing Inequality	TBC	MHCLG – English Housing Survey	Proportion of non-decent homes	Barnsley = 16.5% Doncaster = 16.6% Rotherham = 15.2% Sheffield = 19.0% (2024)	Trajectory to be identified and agreed	Barnsley = 16.5% Doncaster = 16.6% Rotherham = 15.2% Sheffield = 19.0% (2024)
Health Inequality	Our population live increasingly long, healthy lives	NHS – Fingertips, Child and Maternal Health – School-age children	Health inequality - Child obesity; Reception (4-5 years) prevalence overweight (inc. obesity)	Barnsley = 11.6% Doncaster = 12.9% Rotherham = 12.0% Sheffield = 11.0% (2021/22)	Trajectory to be identified and agreed	Barnsley = 12.5% Doncaster = 13.0% Rotherham = 13.6% Sheffield = 11.6% 2024/25
Engagement	TBC	TBC	Number of statutory consultations undertaken by SYMCA	To be established	Trajectory to be identified and agreed	TBC

South Yorkshire Mayoral Combined Authority Integrated Settlement Outcomes Framework

The integrated Settlement Outcomes Framework represents the outcomes, indicators and targets agreed with government for the period from April 2026 to March 2029. The outcomes, indicators and targets are aligned to the funding streams available through the Integrated Settlement.

Outcome	Outcome Indicators	Baseline	Target (March 2029)	Data Source		
1	Strengthening the local economy through improved business productivity	1.1	Number of supported businesses that have increased productivity	134	402	MCA programme Reporting
		1.2	Number of supported businesses demonstrating improved practice:	75	250	MCA programme Reporting
			i. Total (target) ii. Engaged in new market iii. Adopting new to firm technologies / processes / management innovations iv. Scaling v. With new to market products / services vi. Accessing better finance and funding			
	1.3	Number of jobs created in local priority sectors	120	400	MCA programme Reporting	
2	Deliver infrastructure to support local growth	2.1	Additional floorspace unlocked because of MSA interventions	390	1,170	MCA programme Reporting
3	Improving transport for people	3.1	Mode share of trips made by public transport	5.8%	5.8%	National Travel Survey
		3.2	Bus Patronage – millions of boardings per year	62.4	64.3	DfT Bus Stats
		3.3	Tram Patronage – millions of boardings per year	9.1	10	DfT Light Rail & Trams Stats
		3.4	Buses departing no more than one minute earlier and no more than five minutes and 59 seconds late (across all routes)	83.14%	87%	DfT Bus Open Data Service
		3.5	% of all bus journey km cancelled	1%	1%	DfT Bus Open Data Service
		3.6	Bus passengers very and fairly satisfied with journey	79%	85%	Your Bus Journey

Outcome	Outcome Indicators	Baseline	Target (March 2029)	Data Source	
3	Improving transport for people	3.7 % satisfaction of passengers with personal security on the bus	78%	85%	Your Bus Journey
		3.8 % total of disabled passengers very and fairly satisfied with bus journey	83%	87%	Your Bus Journey
4	Greener, safer, and healthier transport	4.1 % of bus fleet that is zero tailpipe emission	10.8%	40.2%	DfT Bus Stats
		4.2 Road Casualties – killed or seriously injured (KSI)	818	20% reduction	DfT Road Casualty Statistics
		4.3 Road Casualties – killed or seriously injured (KSI) - child only	106	20% reduction	DfT Road Casualty Statistics
		4.4 Active travel stages taken by walking and cycling	To be agreed following the publication of the third national cycling and walking investment strategy (CWIS3)		National Travel Survey
		4.5 No. of government subsidised Electric Vehicle Supply Equipment and charging devices, including pavement channels	285	1,043	LTA & MCA reporting
		4.6 Public transport, walking and cycling connectivity score to key destinations (education, leisure and community, health, shopping, residential and workplaces)	66.3	Increase	DfT connectivity tool
		4.7 Miles of compliant new / improved active travel network delivered	To be agreed following the publication of the third national cycling and walking investment strategy (CWIS3)		LTA Reporting through Active Travel Update Your Capital Scheme (UYCS)
		4.8 Number of Nitrogen Dioxide (NO2) roadside monitoring sites in exceedance of the annual statutory concentration limit	n/a	0	Local Authority Monitoring Data and DEFRA National Monitoring Network
		4.9 Estimated annual transport carbon impacts up to 2050 from user emissions	n/a	No increase	LTA Reporting (using Local Transport Quantifiable Carbon Guidance)
		4.10 Estimated annual transport carbon impacts up to 2050 from infrastructure carbon emissions	n/a	Reporting only	LTA Reporting (using Local Transport Quantifiable Carbon Guidance)
5	Well maintained and managed transport infrastructure	5.1 Proportion of A Roads and motorways that should be considered for maintenance	To be agreed following the publication of PAS2161 (due in Autumn 2027).		DfT Road Condition Stats
		5.2 Proportion of B & C Roads that should be considered for maintenance	To be agreed following the publication of PAS2161 (due in Autumn 2027).		DfT Road Condition Stats
		5.3 Proportion of unclassified roads that should be considered for maintenance	12%	12%	DfT Road Condition Stats
		5.4 The number of transport capital schemes in development / delivery / completed	n/a	No target	MCA programme reporting
		5.5 The percentage of transport capital spend in development / delivery / completed	n/a	No target	MCA programme reporting

Outcome	Outcome Indicators	Baseline	Target (March 2029)	Data Source		
6	Increase in the proportion of residents with the skills and learning they need for life, further learning, and good work	6.1	Number of MCA-funded achievements at a level 1 qualification	9,422	27,890	DfE data/ILR
		6.2	Number of MCA-funded achievements at a level 2 qualification	9,603	29,100	DfE data/ILR
		6.3	Number of MCA-funded achievements at a level 3 or higher qualification	893	2,730	DfE data/ILR
7	A skilled construction workforce, sufficient to build the housing and support the wider economic growth needed in the region	7.1	Number of construction course achievements	761	2,790	Further Education and Skills statistics publication
		7.2	Number of additional construction places taken up (enrolments) [output]	883	3,270	Further Education and Skills statistics publication
		7.3	Number of teaching days delivered by industry professionals within FE settings [output]	10	150	MSA Reporting
		7.4	Number of industry placements completed [output]	n/a	3,260	ILR
8	Disabled residents, residents with long-term health conditions, and other agreed disadvantaged groups with complex barriers are supported to sustain work through delivery of supported employment	8.1	Share of total programme starts to achieve first earnings	n/a	42.7% (3,496)	HMRC RTE data (PRaP)
		8.2	Share of out of work participant starts to achieve a higher threshold job outcome	n/a	31.7% (2,598)	HMRC RTE data (PRaP)
		8.3	Share of in work participants to sustain employment in line with a higher threshold job outcome	n/a	21.8% (1,789)	HMRC RTE data (PRaP)
		8.4	Share of in work participants to sustain employment in line with a higher threshold job outcome	n/a	71.2% (1,029)	HMRC RTE data (PRaP)
		8.5	Supported employment programme starts [output]	n/a	9,632	PRaP
		8.6	Provision of supported employment [output]	n/a	Completion of annual fidelity assessment	External assessment (completed or booked)
9	The right amount of land for housing and economic development will be available and required infrastructure delivered to support our inclusive growth ambitions	9.1	Unlocked Housing Capacity	n/a	2,600	MCA data
		9.2	Number of new homes started	n/a	800	MCA data
		9.3	Number of additional new homes completed	n/a	260	MCA data
10	Effective local leadership of local nature recovery strategy	10.1	Leadership of local nature recovery strategy	n/a	On track	MCA Reporting
11	Get back on track to ending homelessness and rough sleeping through strong regional leadership and convening local partners	11.1	More coordinated strategic approaches to tackle homelessness across the region	n/a	On track	MCA Reporting

Appendix B: SYMCA Business Case Appraisal Process

SYMCA Business Case Appraisal Process	STEP 1	STEP 2			PRE-CONTRACT
	Mandate Form / Place Plan / Bid to Government	Strategic Business Case (SBC) or Programme Business Case (PBC)	Outline Business Case (OBC) * Total value of more than £2m or High risk	Business Justification Case (BJC) * Total value of less than £2m & low risk	Full Business Case (FBC)
DEVELOPMENT	<ul style="list-style-type: none"> Project/programme idea developed by applicant SYMCA funding range identified Applicant offered support with Business Case development 	<ul style="list-style-type: none"> Applicant offered support with Business Case / project development & subsidy advice Applicant advised on SBC / PBC requirements by PMO 	<ul style="list-style-type: none"> Applicant offered support with Business Case development & subsidy advice Applicant advised on OBC requirements by PMO 	<ul style="list-style-type: none"> Applicant offered support with Business Case development & subsidy advice Applicant advised on BJC requirements by PMO 	<ul style="list-style-type: none"> Applicant advised on FBC requirements by PMO
ASSURANCE CHECKS	<ul style="list-style-type: none"> Mandate signed by applicant's Senior Officer Project/programme compliant with SYMCA Policy Objectives Project/programme cost range can be accommodated within budget 	<ul style="list-style-type: none"> Signed by applicant's Senior Officer & SYMCA Director Suitable and viable options identified through consultation Minimum of 4 shortlisted options identified Economic, social & environmental impacts identified 	<ul style="list-style-type: none"> Signed by applicant's Senior Officer & SYMCA Director Evidence of SBC approval (local authority applicants only) VfM & BCR identified Economic, social & environmental impacts determined 	<ul style="list-style-type: none"> Signed by applicant's Senior Officer & SYMCA Director Evidence of SBC approval (local authority applicants only) VfM & BCR finalised Economic, social & environmental impacts determined with clear monitoring & evaluation plan 	<ul style="list-style-type: none"> Signed by applicant's Senior Officer & SYMCA Director VfM & BCR finalised Economic, social & environmental impacts determined with clear monitoring & evaluation plan
LEGAL & FINANCIAL CHECKS	Subsidy status of applicant identified	<ul style="list-style-type: none"> SYMCA Legal Team confirm subsidy advice the applicant needs to seek Development funding & list of costs identified 	<ul style="list-style-type: none"> Statutory processes underway RIBA Stage 4 reached (infrastructure schemes) Key Decision on funding & subsidy published by SYMCA 75% cost certainty reached 	<ul style="list-style-type: none"> Statutory processes completed RIBA Stage 4 reached (infrastructure schemes) Key Decision on funding & subsidy published by SYMCA 95% cost certainty reached 	<ul style="list-style-type: none"> Statutory processes completed Key Decision on funding & subsidy published by SYMCA 95% cost certainty reached
TECHNICAL ANALYSIS	Advice & steer sought from Design Review Panel (DRP) for active travel schemes	<ul style="list-style-type: none"> Advice & steer sought from DRP for active travel schemes HM Treasury 5 Dimensions Testing Tools (wider VfM basket) 	<ul style="list-style-type: none"> Advice & steer sought from DRP for active travel schemes HM Treasury 5 Dimensions TT+ Modelling & TAG (transport) Carbon impact calculated (transport) 	<ul style="list-style-type: none"> Advice & steer sought from DRP for active travel schemes HM Treasury 5 Dimensions TT+ Modelling & TAG (transport) Carbon impact calculated (transport) 	<ul style="list-style-type: none"> HM Treasury 5 Dimensions TT+ Modelling & TAG (transport) Carbon impact calculated (transport) Carbon Management Plan produced (£5m+ transport)
DECISION	Programme Board – reject/defer/accept onto programme pipeline	<ul style="list-style-type: none"> Programme Board – defer/ approve SYMCA Board notified 	SYMCA Board – defer/approve in principle subject to satisfactory FBC submission	SYMCA Board – defer/fully approve	Programme Board – defer/fully approve (unless FBC requires SYMCA Board approval)
PROGRESS TO NEXT STAGE	Accepted onto Pipeline, SYMCA Board notified	Development funding released. Applicant instructed to develop an OBC or BJC	OBC approved in principle pending submission of FBC. Draft Funding Agreement Issued	Summary of BJC (including VfM) published on SYMCA website. Funding Agreement Issued.	Summary of FBC (including VfM) published on SYMCA website. Funding Agreement Issued.

South Yorkshire Mayoral Combined Authority

11 Broad Street West
Sheffield
S1 2BQ

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

