



Investment Board

Date: Monday 12 February 2024

Time: 10.00 am **Public meeting** Yes

Venue: Room 116, West Midlands Combined Authority, 16 Summer Lane, Birmingham, B19 3SD

Membership

Councillor Bob Sleigh (Chair)
Councillor Mike Bird
Councillor Steve Clark
Councillor Matthew Dormer
Councillor Peter Hughes
Councillor Karen Grinsell
Councillor Jim O'Boyle
Councillor Stephen Simkins
Councillor Sharon Thompson
Paul Brown
Sue Summers
Gary Taylor

Portfolio Lead for Finance
Walsall Metropolitan Borough Council
Dudley Metropolitan Borough Council
Non-Constituent Authorities
Sandwell Metropolitan Borough Council
Solihull Metropolitan Borough Council
Coventry City Council
City of Wolverhampton Council
Birmingham City Council
Business Representative
West Midlands Development Capital
Greater Birmingham & Solihull Local Enterprise
Partnership

Quorum for this meeting shall be four members.

If you have any queries about this meeting, please contact:

Contact Wendy Slater, Senior Governance Services Officer
Telephone 07557831344
Email wendy.slater@wmca.org.uk

AGENDA

No.	Item	Presenting	Pages
Meeting Business Items			
1.	Apologies for Absence (if any)	Chair	None
2.	Notification of Substitutes (if any)	Chair	None
3.	Declarations of Interests (if any) Members are reminded of the need to declare any disclosable pecuniary interests they have in an item being discussed during the course of the meeting. In addition, the receipt of any gift or hospitality should be declared where the value of it was thought to have exceeded £25 (gifts) or £40 (hospitality).	Chair	None
4.	Minutes - 15 January 2024	Chair	1 - 8
Business Items for Noting			
5.	WMCA Commercial Investment Fund (CIF) - Dashboard	Nick Oakley	9 - 14
6.	WMCA Brownfield Land and Property Development Fund (BLPDF) - Dashboard	Nick Oakley	15 - 18
7.	WMCA Residential Investment Fund (RIF) - Dashboard	Nick Oakley	19 - 22
Business Items for Consideration			
8.	Thrive into Work Individual Placement and Support in Primary Care - Change Request	Tatum Matharu	23 - 52
9.	Exclusion of the Public and Press [To pass the following resolution: That in accordance with Section 100A4 of the Local Government Act 1972, the press and public be excluded from the meeting during the consideration of the following items of business as they involve the likely disclosure of exempt information relating to the business affairs of any particular person (Including the authority holding that information)]	Chair	None
Business Items for Consideration			
10.	Stratford Gateway Collaboration Agreement	Nigel Ford/Anna Jones	53 - 58

11.	Horton 45, Telford TF7FA/Hortonwood 45 Ltd/ Telford & Wrekin	Nick Oakley	59 - 72
12.	Abberley Street Disposal	Rob Lamond	73 - 106
13.	Stone Yard	Martin Yardley	107 - 132
Business Items for Noting			
14.	Pipe Hall, Bilston - Update Position	Nigel Ford	133 - 138
15.	WMCA Commercial Investment Fund (CIF) - Dashboard	Nick Oakley	139 - 146
16.	WMCA Brownfield Land and Property Development Fund (BLPDF) - Dashboard	Nick Oakley	147 - 152
17.	WMCA Residential Investment Fund (RIF) - Dashboard	Nick Oakley	153 - 158
18.	Land and Property Investment Fund (LPIF)	Kelly Valente	159 - 164
Date of next meeting - 18 March 2024			

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**West Midlands
Combined Authority**

Investment Board

Monday 15 January 2024 at 10.00 am

Minutes

Present

Councillor Bob Sleight (Chair)
Councillor Mike Bird
Councillor Steve Clark
Councillor Peter Hughes
Councillor Karen Grinsell
Councillor Jim O'Boyle
Sue Summers
Gary Taylor

Portfolio Lead for Finance
Walsall Metropolitan Borough Council
Dudley Metropolitan Borough Council
Sandwell Metropolitan Borough Council
Solihull Metropolitan Borough Council
Coventry City Council
West Midlands Development Capital
Greater Birmingham & Solihull Local
Enterprise Partnership
City of Wolverhampton Council

Councillor Christopher Burden

In Attendance via MS Teams

Paul Brown

Business Representative

Item Title No.

94. Apologies for Absence

Apologies for absence were received from Councillor Simkins (City of Wolverhampton Council).

95. Notification of Substitutes

Councillor Stephen Simkins (City of Wolverhampton Council) had nominated Councillor Christopher Burden as his substitute.

96. Minutes - 11 December 2023

The minutes of the meeting held on 11 December 2023 were agreed as a correct record.

97. Investment Programme Update and Dashboard

The board considered a report of the Director of Commercial and Investment on the status of the Investment Programme to help set the context for decisions being made at the meeting.

It was noted that approved grant funding and administered by the WMCA to programmes within the Regional Investment Programme totals £854.2m as 31 December 2023.

The Director of Commercial and Investment, Ian Martin, reported that since the last meeting of Investment Board on 11 December 2023, there had been one business case submission approved under delegated powers in respect of grant funding which related to a Strategic Outline Case submission for the UKC Hub Access- A452 Balsall Common Transport Package. Funding had already been earmarked pending business case approval and would not increase commitments over the affordable limit.

Resolved that:

1. Approval under delegated authority by WMCA Officers of the business case submission disclosed in section 3 of the report be noted;
2. The WMCA Investment Programme funding status and current affordable limit, as outlined in section 4 of the report be noted and
3. The Regional Investment Programme delivery update detailed within the report and appendices (including the project-level summary within the WMCA Investment Programme dashboard at appendix 2) be noted.

98. WMCA Commercial Investment Fund (CIF) - Dashboard

The board considered a report detailing the Commercial Investment Fund dashboard as at 1 January 2024.

Resolved: That the report be noted.

99. WMCA Brownfield Land and Property Development Fund (BLPDF) - Dashboard

The board considered a report detailing the Brownfield Land and Property Development Fund dashboard as at 1 January 2024.

Resolved: That the report be noted.

100. WMCA Residential Investment Fund (RIF) - Dashboard

The board considered a report detailing the Residential Investment Fund dashboard as at 1 January 2024.

Resolved: That the report be noted.

101. Exclusion of the Public and Press

Resolved:

That in accordance with Section 100A4 of the Local Government Act 1972, the press and the public be excluded from the meeting during the consideration of the following items of business as they involve the likely disclosure of exempt information relating to the business affairs of any particular person (including the authority holding that information).

102. Coventry City Centre South - Change Request

The board considered a report of the interim Executive Director of Housing, Property & Regeneration that sought approval of the project Change

Request for Coventry City Council to be awarded up to an additional £12.24m from the Housing and Land Investment Programme to provide gap funding and assist the delivery of the City Centre South scheme.

It was noted that the intention was to draw new grant funding from the National Competitive Fund to deliver against the requirement for a Housing Start by March 2025 in accordance with the conditions of the fund set by Government.

The interim Executive Director of Housing, Property and Regeneration, John Godfrey, introduced the report and advised the board that the scheme was currently commercially unviable due to increased costs following a change to Government Building Regulations that were introduced following the fire at Grenfell and inflationary elements as a result of the re-design of the scheme.

Adam Hunt, Coventry City Council, reported that Coventry City Centre South was a key regeneration project that would significantly regenerate Coventry City Centre and outlined the key features and benefits of the scheme.

Councillor Bird reported of the need for the WMCA to advertise or promote its role in helping to fund the scheme, in conjunction with Coventry City Council and the developer, so that the general public is aware of what the WMCA does.

The Chair highlighted Section 4 of the report with regard to the independent risk and appraisal (paragraph 4.2) that recommended approval of the Change Request subject to four conditions being met.

The board supported the Change Request.

Resolved that:

1. The Housing Fund Investment allocates up to £12.24m towards unlocking the mixed-use regeneration project known as City Centre South, subject to the full verification of the viability gap and other standard due diligence be approved and.
2. Authority be delegated to approve the commercial terms and grant structure to the Interim Executive Director of Housing, Property and Regeneration and the Director of Commercial and Investment to ensure the necessary due diligence is undertaken to any associated legal agreements that are necessary to give effect to the recommendations contained within the report be agreed.

103. Gracechurch Centre, Sutton Coldfield

The board considered a report of the Director of Commercial and Investment that sought loan funding from the Commercial Investment Fund (CIF) for the sum specified in the report to the 'Company' to assist with the reconfiguration/refurbishment and repositioning of c250,000 square feet of retail space at the site, Gracechurch Shopping Centre, Sutton Coldfield.

Gerald Gannaway (West Midlands Development Capital) presented the

report and advised the board that development proposals would revitalise Sutton Coldfield town centre, a key regional site that was overdue for redevelopment. He reported that the loan term would be for 3 years initially, with the option to extend to 5 years at the discretion of the WMCA which would be subject to the 'Company' making satisfactory progress towards the outputs and targets as set out in the report.

Resolved that:

1. The powers and ability of the WMCA to make the proposed loan be noted;
2. The loan investment from the Commercial Investment Fund for the sum specified in the report to the 'Company' for a term of up to 5 years [contracting initially at 3 years] as per the terms and conditions set out in the report be approved and
3. The negotiation and approval of the final terms of the loan be delegated to the Director of Commercial and Investment in consultation with the Section 151 Officer and Monitoring Officer be agreed.

104. Newater House, Newhall Street, Birmingham

The board considered a report of the Director of Commercial and Investment that sought approval of loan funding from the Commercial Investment Fund (CIF) for the sum specified in the report to the 'Company', for a maximum 4-year period, for the refurbishment of office and ground floor retail space at Newater House, Newhall Street, Birmingham.

Gerald Gannaway (West Midlands Development Capital) outlined the key aspects of the investment proposal detailed in the report.

Resolved that:

1. The powers and ability of the WMCA to make the proposed loan be noted;
2. The loan investment from the Commercial Investment Fund for the sum specified in the report (initially limited to the sum stated, with the higher figure only being made available subject to certain defined conditions being met as outlined in the report, to be confirmed with the Director of Commercial and Investment and Section 151 Officer) to the 'Company' for a term of up to 4 years as per the terms and conditions set out in the report be approved and
3. The negotiation and approval of the final terms of the loan be delegated to the Director of Commercial and Investment in consultation with the Section 151 Officer and Monitoring Officer.

105. Affordable Housing Pilot

The board considered a report of the interim Executive Director of Housing, Property and Regeneration that outlined a proposed Collaborative Partnership Agreement.

The agreement is intended to leverage combined expertise, resources and capacity of a consortium of West Midlands Housing Associations and their proposed collective delivery vehicle, Homes for the West Midlands Liability Partnership (LLP), combined with WMCA expertise and assets to bring forward increased affordable housing on complex brownfield sites whilst also contributing to key WMCA policy objectives including net zero and advanced methods of construction.

Rob Lamond, Head of Strategy & Analysis (Housing, Property and Regeneration) outlined the report and advised the board that the Affordable Housing Pilot approach intends to use the Abberley Street site (to be considered as the next agenda item) as a pathfinder project to test the strategic alignment process and value for money for the approach. It was noted the pilot would be monitored and evaluated throughout its delivery.

Resolved that:

1. The proposal to work with the proposed Homes for the West Midlands Limited Liability Partnership to develop a Collaborative Partnership Agreement which enables the development of additional affordable homes on complex brownfield sites across the region be endorsed;
2. The testing of the partnership approach and process through the use of the Abberley Street site as a pathfinder project (following approval of a separate Abberley Street Disposal report) be noted and
3. The proposed governance route of the completed Collaborative Partnership Agreement be submitted to Investment Board for approval be agreed.

106. Abberley Street Disposal

The board considered a report of the interim Executive Director of Housing, Property and Regeneration that sought approval for the disposal of the site at Abberley Street to a developer for the purpose of a 100% affordable scheme.

The Head of Property & Strategic Assets, Nigel Ford and Development Manager, Acquisitions and Disposals, Anna Jones, outlined the report and responded to questions from Investment Board members.

Several members of the board expressed concern regarding the significant reduction in the value of the site from its valuation in 2020 to its current one and enquired as to how the site was originally valued by Avison Young who should be asked to explain their valuations.

The Executive Director of Finance and Business Hub reported that separate asset valuations are obtained for the WMCA's accounts and the asset value for the site aligned to its current market value which had been written down in the accounts; the WMCA did not want to put any further funds into the scheme and the proposal was the best solution for the property to enable residential development to take place.

Members also asked for information be provided with regards to the options

for the site including; the position of the hospital with regards to its future plans including any expansion and the feasibility of developing the Help to Own scheme for hospital staff; the local authority's (Sandwell) opinion on the site and how it fits with its Masterplan for the area and a market valuation on the demolition of the site.

The Head of Strategy & Analysis, Rob Lamond, reported that there had been a change in the Masterplan for the area and the proposal now supports the Masterplan for less density and more family homes to be built on the site.

Councillor O' Boyle reported that Coventry City Council insists on leasehold disposals for its land which enables the council to set obligations for developers and enquired why the site at Abberley Street could not be leasehold as this would give the WMCA more control over its land. Councillor Hughes concurred with Councillor O' Boyle and added that he did not want the land to remain vacant if sold.

The Director of Commercial and Investment, Ian Martin, alerted the board to the timescales for the project which requires a start on site by March 2025.

Councillor Bird asked that advice be sought on the proposal to look at the opportunity for a better purchaser in the market as he was not convinced the solution outlined represented the best value for money.

The Chair reported that in the light of comments from members on the report and the requests for further information, he would defer the matter to the next meeting.

Resolved: The report be deferred to the next meeting.

107. WMCA Commercial Investment Fund (CIF) - Dashboard

The board considered a report detailing the Commercial Investment Fund dashboard as at 1 January 2024.

The board also receiving a short report on the Birmingham Hippodrome - Southside Building (scheme approved 16 October 2023) that sought approval in amending the loan to vacant possession covenant from 80% to 85%. The report outlined the reasons for the amendment.

Resolved:

1. That the report be noted and
2. The amendment of the loan to vacant possession covenant from 80% to 85% in respect of the Birmingham Hippodrome- Southside Building be approved.

108. WMCA Brownfield Land and Property Development Fund (BLPDF) - Dashboard

The board considered a report detailing the Brownfield Land and Property Development Fund dashboard as at 1 January 2024.

Resolved: That the report be noted.

109. WMCA Residential Investment Fund (RIF) - Dashboard

The board considered a report detailing the Residential Investment Fund dashboard as at 1 January 2024.

Resolved: That the report be noted.

110. Black Country Land and Property Investment Fund (LPIF)

The board considered a report detailing the Black Country Land and Property Investment Fund as at 31 December 2023.

Resolved: That the report be noted.

111. Housing & Land Fund Dashboard

The Housing and Land dashboard was not submitted.

The meeting ended at 12.08 pm.

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WMCA Commercial Investment Fund (CIF) - Dashboard

01 February 2024

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WMCA CIF - Investments committed and completed funds

Opportunity - Location	Industry	Jobs Created	Brownfield Land - Acres	Homes Created	Com. Space sq ft	Business Rates pa	Local Authority	Loan Amount	Drawn Amount
Complex Development Projects - Telegraph, Far Gosford 2	Residential Property	90	2.56	0	80,000	£70,000	Coventry CC	£4,053,526	£4,053,526
Craig Watts - Aliaxis Site	Commercial Property	200	5.3	0	100,000	£0	Cannock Chase DC	£3,100,000	£2,839,630
Holbrook Lane Investment LLP - Holbrook Lane	Commercial Property	200	5.6	0	105,000	£450,000	Coventry CC	£8,800,000	£8,198,203
St Francis Group - Parallel 113	Commercial Property	198	6.6	0	113,000	£370,000	Walsall DC	£6,400,000	£6,400,000
Redsun Projects Ltd - Halesfield - Investment	Commercial Property	0	0	0	0	£0	Telford & Wrekin	£3,550,000	£3,550,000
Holbrook Lane LLP - Phase 2	Commercial Property	295	6.74	0	149,458	£650,000	Coventry CC	£15,000,000	£14,279,773
Complex Developments - Leamington	Commercial Property	140	0.03	0	18,198	£179,000	N Warwickshire	£3,000,000	£1,400,000
KMN Investments Ltd - Drywall Steel Sections - Mayank Gupta	Commercial Property	75	4.5	0	83,174	£290,000	Wolverhampton CC	£7,590,000	£7,590,000
Dean Wilson - Halesfield	Commercial Property	99	3.8	0	47,808	£210,000	Telford & Wrekin	£4,000,000	£3,480,502
Morris & Co - Stadium Point - Phase 1	Commercial Property	566	6.81	0	136,557	£596,000	Shropshire	£14,020,000	£3,868,183
Colmore Capital - Beldray Industrial Estate	Commercial Property	160	0	0	81,516	£306,000	Wolverhampton CC	£5,500,000	£4,589,010
Westbeech Group - Westminster Industrial Estate	Commercial Property	32	1	0	16,000	£128,000	Dudley MBC	£1,550,000	£598,811
The Southside Building - Hippodrome	Commercial Property	20	0	0	4,162	£0	Birmingham CC	£5,000,000	£4,700,000
Barberry - Coventry	Commercial Property	112	2.57	0	43,500	£189,312	Coventry CC	£3,650,000	£0
Craig Watts - Aliaxis Site Phase 2	Commercial Property	250	3.1	0	33,000	£0	Cannock Chase DC	£2,700,000	£0
Chancery House - GKN Erdington	Commercial Property	597	12	0	302,000	£2,200,000	Birmingham CC	£10,500,000	£0
Horgan Developments	Commercial Property	63	0	0	24,375	£130,000	Birmingham CC	£3,100,000	£0
Goold Estates Ltd - Bilston Urban Village	Commercial Property	330	14.8	0	166,000	£816,000	Wolverhampton CC	£12,500,000	£0
Nurton & Hortus	Commercial Property	100	0.5	0	-	-	Birmingham CC	£3,500,000	£0
Birmingham Property Group - Gracechurch	Commercial Property	0	0	0	250,000	-	Birmingham CC	£10,000,000	£0

Live outputs	Transaction	Jobs Created	Brownfield Land - Acres	Homes Created	Com. Space sq ft	Business Rates pa	Loan Amount	Drawn Amount
	20	3,527	76	0	1,753,748	£6,584,312	£127,513,526	£65,547,639

Repaid	Transaction	Jobs Created	Brownfield Land - Acres	Homes Created	Com. Space sq ft	Business Rates pa	Loan Amount
	21	3,480	82	513	1,409,400	£7,595,993	£95,795,000

Total	Transaction	Jobs Created	Brownfield Land - Acres	Homes Created	Com. Space sq ft	Business Rates pa	Loan Amount
	41	7,007	158	513	3,163,148	£14,180,305	£223,308,526

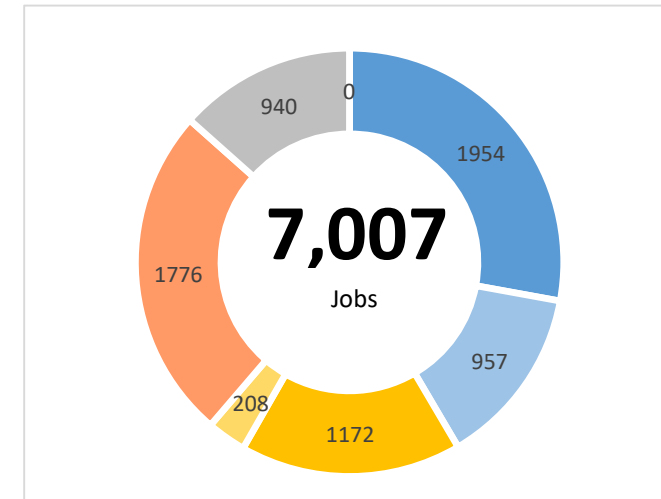
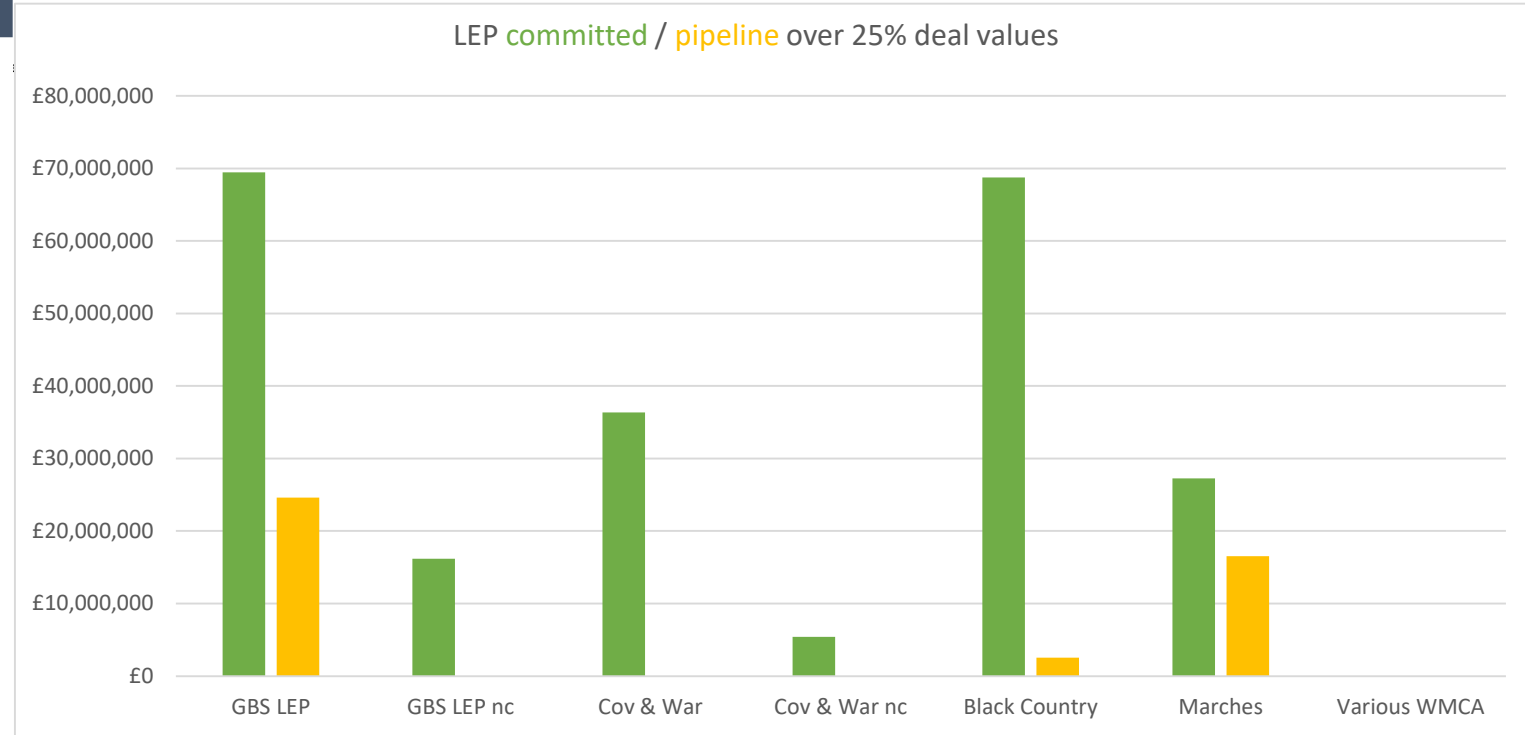
WMCA CIF - Investments Repaid

Opportunity - Location	Industry	Jobs Created	Brownfield Land - Acres	Homes Created	Com. Space sq ft	Business Rates pa	Local Authority
Barberry - 57 AMH	Industrial	230	2.37	0	56,800	£270,000	Birmingham CC
Barberry - 65 AMH	Commercial Property	80	2.9	0	60,000	£208,545	Birmingham CC
Barberry - Kingswood Lakeside	Commercial Property	82	3.45	0	61,600	£177,038	Cannock Chase DC
Barberry - Perry Barr	Commercial Property	75	2.5	0	48,000	£149,448	Birmingham CC
Chase Midlands - Sheldon	Commercial Property	230	1	0	45,140	£374,578	Birmingham CC
Complex Development Projects - Telegraph, Far Gosford (Refi'd)	Commercial Property	200	2.7	423	0	£0	Coventry CC
Cordwell Lesiure - Walsall	Commercial Property	130	1.2	0	35,400	£257,223	Walsall DC
Expert Holdings Ltd	Commercial Property	275	4	0	82,000	£257,223	Coventry CC
Goold Estates Ltd - Steel Park	Commercial Property	165	5.5	0	69,025	£198,378	Wolverhampton CC
Macc Care - Sutton	Residential Property	60	1.78	10	25,833	£287,000	Birmingham CC
Opus Land - Kingswood Lakeside	Commercial Property	425	14	0	283,185	£807,120	Cannock Chase DC
Opus Land - Seven Stars	Commercial Property	203	6.35	0	120,000	£360,000	Sandwell MBC
Warmflame Developments Ltd - Nuneaton	Commercial Property	68	0.74	0	35,000	£90,000	Nuneaton & Bedworth
WD (Cakes & More) Ltd	Commercial Property	107	2.75	0	54,000	£200,000	Dudley MBC
Chancerygate - Minworth	Commercial Property	140	3.13	0	72,010	£300,000	Birmingham CC
Redsun Projects Ltd - Halesfield	Commercial Property	200	5	0	77,000	£209,000	Telford & Wrekin
Morris & Company Ltd - Paragon Point	Commercial Property	75	2.54	0	37,900	£113,000	Telford & Wrekin
Stoford Properties - Sandvik	Commercial Property	182	8.26	80	20,000	£165,000	Dudley MBC
Barberry - Well Lane, Wolverhampton	Commercial Property	144	3.31	0	55,575	£172,440	Wolverhampton CC
Kinrise - Citadel	Commercial Property	359	0	0	47,470	£500,000	Birmingham CC
Covanta Europe / Encyclis	Commercial Property	50	8.2	0	123,462	£2,500,000	Walsall DC

Repaid

Transaction	Jobs Created	Brownfield Land - Acres	Homes Created	Com. Space sq ft	Business Rates pa
21	3,480	82	513	1,409,400	£7,595,993

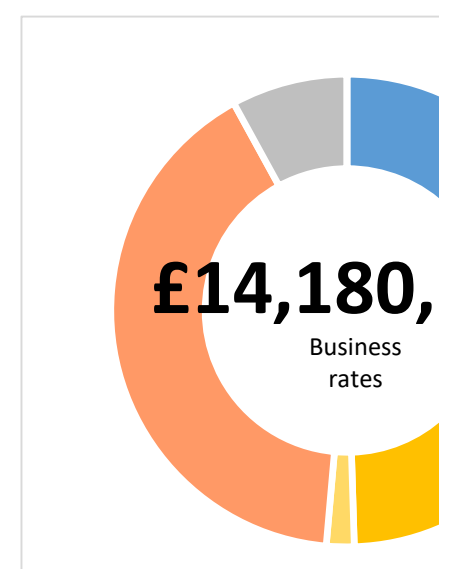
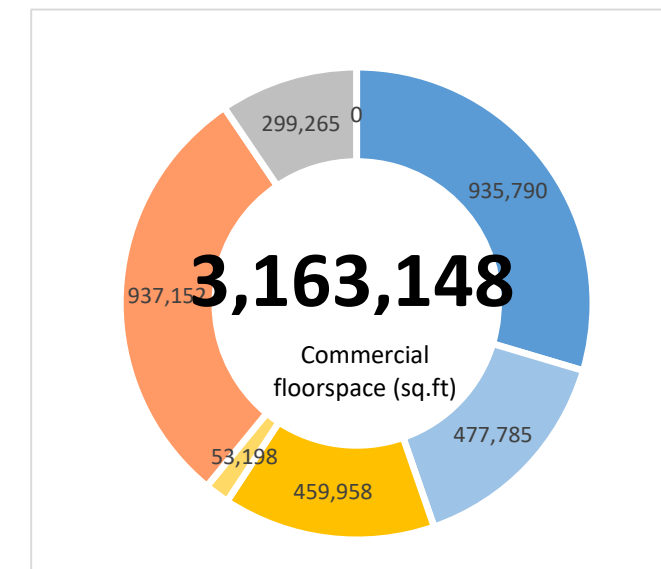
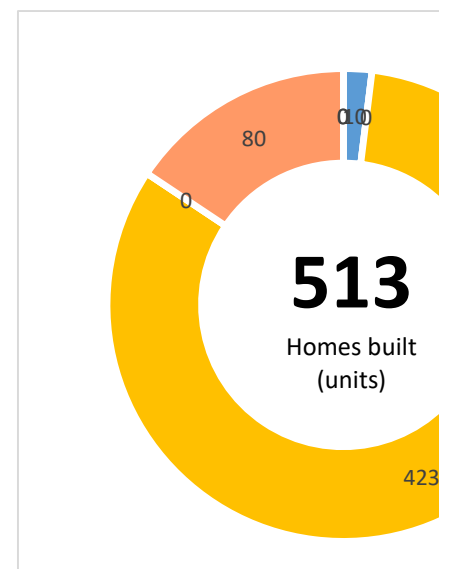
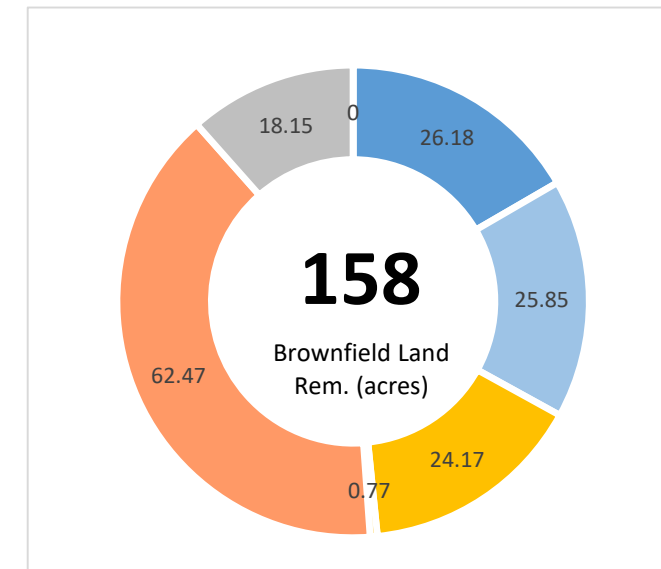
WMCA CIF - Dashboard



- # Committed / Completed
- # Pipeline
- Greater Birmingham & Solihull LEP
 - non-constituent memb
 - part of the LEP but not t
- Coventry & Warwickshire LEP
 - non-constituent memb
 - part of the LEP but not t
- Black Country LEP
- The Marches LEP
 - part of the LEP but not t

Geography of committed deal values - committed / pipeline over 25%

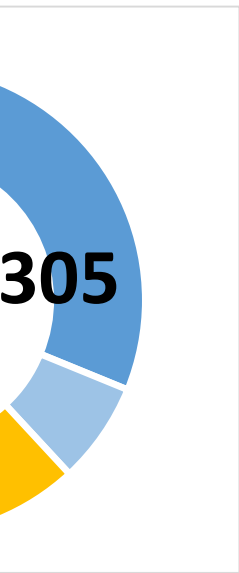
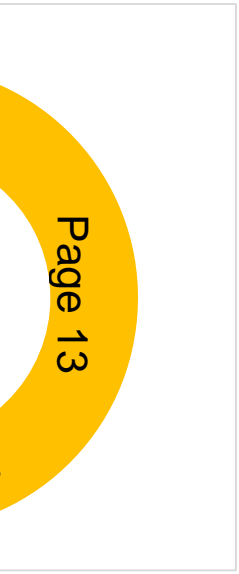
Birmingham		Solihull							
£69,465,000		£0							
£24,600,000		£0							
Cannock		Redditch		Tamworth		Lichfield			
£16,150,000		£0		£0		£0			
£0		£0		£0		£0			
Coventry									
£36,323,526									
£0									
N Warwickshire		Nuneaton		Rugby		Stratford		Warwick	
£3,000,000		£2,400,000		£0		£0		£0	
£0		£0		£0		£0		£0	
Walsall		Dudley		W'hampton		Sandwell			
£20,850,000		£10,095,000		£32,290,000		£5,500,000			
£0		£0		£0		£2,500,000			
Telford		Shropshire				Various WMCA			
£13,215,000		£14,020,000				£0			
£14,000,000		£2,500,000				£0			



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WMCA Brownfield Land and Property Development Fund (BLPDF) - Dashboard

01 February 2024

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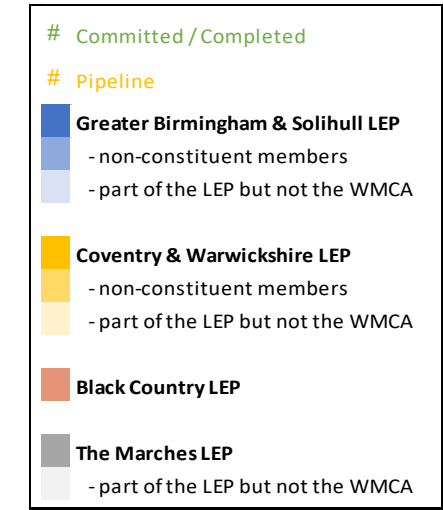
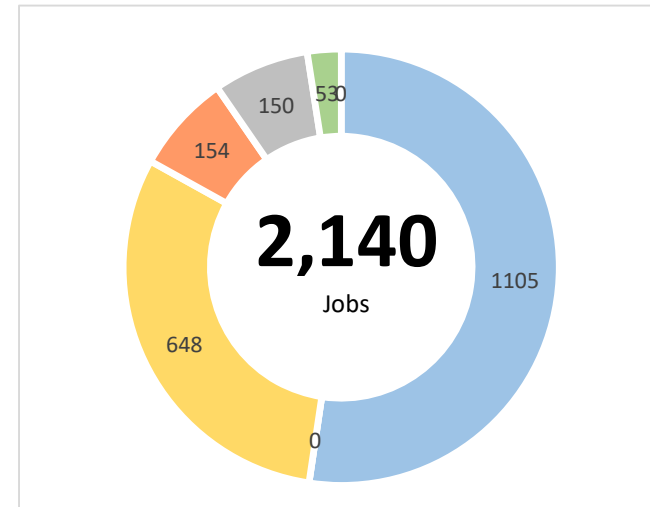
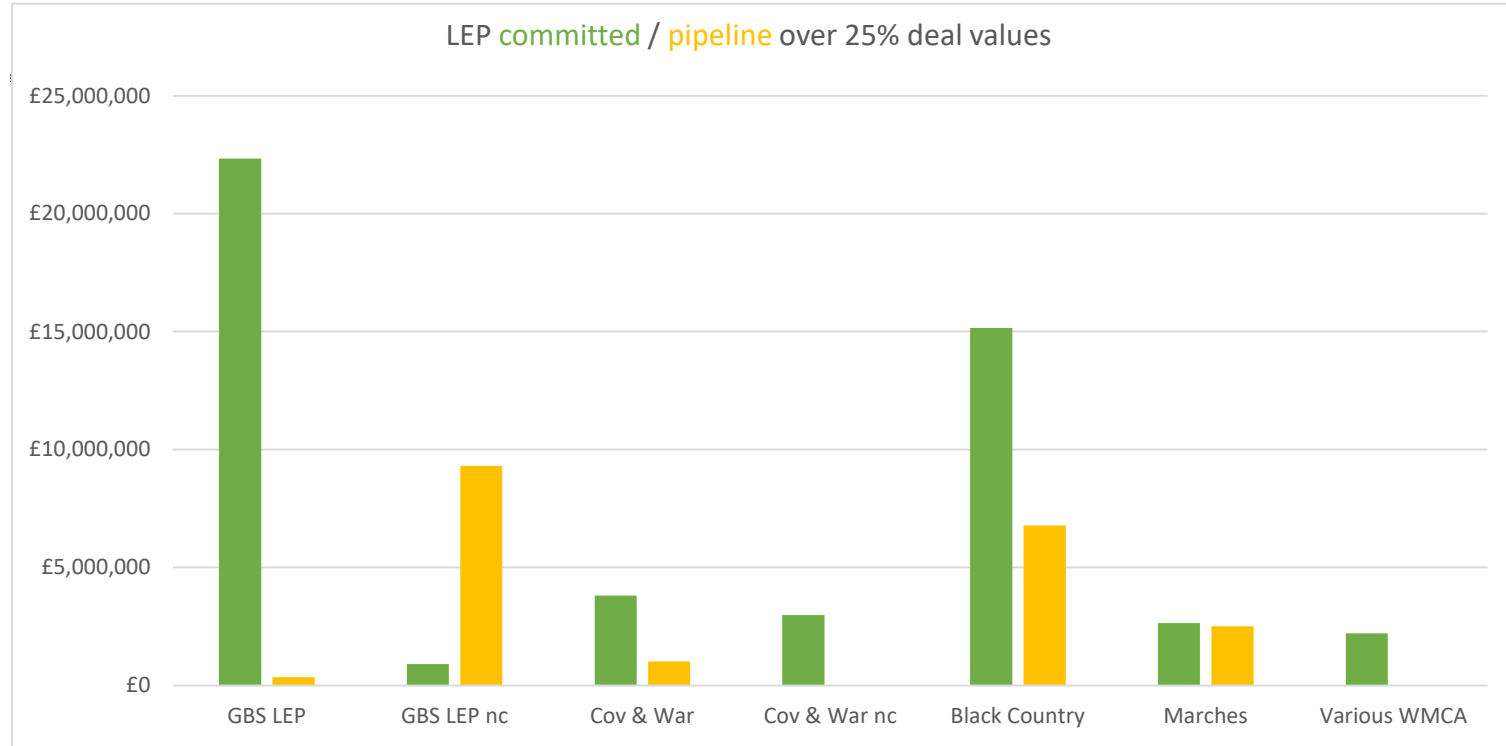
WMCA BLPDF - Investments committed and completed funds

Opportunity - Location	Industry	Jobs Created	Brownfield Land - Acres	Homes Created	Com. Space sq ft	Business Rates pa	Local Authority	Grant Amount	Drawn Amount
Cavendish House, Portersfield Phase 1, Dudley (Avenbury) - WMCA Scheme *Fully Drawn*	Residential Property	0	2	28	0	£0	Dudley MBC	£724,000	£654,945
Symphony Hall - WMCA Scheme *Fully Drawn*	Commercial Property	21	0	0	0	£0	Birmingham CC	£256,920	£256,261
Anchor Meadow, Aldridge - WMCA Scheme	Commercial Property	27	0.49	0	0	£0	Walsall DC	£400,000	£388,500
Pipe Hall, Bilston - WMCA Scheme	Residential Property	0	0.327	0	0	£0	Wolverhampton CC	£1,249,500	£201,436
EVCATS - WMCA Scheme	Commercial Property	30	5.5	0	100,000	£250,000	Various WMCA	£2,200,000	£0
Sutton Coldfield Town Hall Roof - WMCA Scheme	Commercial Property	16	0	0	0	£0	Birmingham CC	£1,000,000	£0
Mucklow Park, Tyseley *Fully Drawn*	Commercial Property	350	20	0	255,000	£436,489	Birmingham CC	£1,011,500	£1,011,500
Opus Land Seven Stars *Fully Drawn*	Commercial Property	143	6.3	0	120,000	£342,000	Sandwell MBC	£2,630,000	£2,627,773
Telegraph, Far Gosford Developments *Fully Drawn*	Commercial Property	90	2.56	0	80,000	£70,000	Coventry CC	£3,800,000	£3,800,000
Vistry Partnerships Ltd *Fully Drawn*	Residential Property	0	4.6	0	0	£0	Walsall DC	£615,000	£615,000
BCC Commonwealth Games *Fully Drawn*	Residential Property	125	13.34	256	269,097	£0	Birmingham CC	£20,075,000	£20,075,000
Dudley College *Fully Drawn*	Commercial Property	150	2.6	0	51,130	£0	Dudley MBC	£2,121,000	£2,121,000
Stoford Properties - Shidas Lane *Fully Drawn*	Commercial Property	450	7	0	55,000	£0	Sandwell MBC	£3,450,000	£3,450,000
Cannock District Council - Hawks Green *Fully Drawn*	Residential Property	35	2.22	44	0	£0	Cannock Chase DC	£900,000	£900,000
Redsun Projects Ltd *Fully Drawn*	Commercial Property	200	5	0	78000	£209,000	Telford & Wrekin	£1,746,080	£1,746,082
Nuneaton & Bedworth Borough Council *Fully Drawn*	Commercial Property	30	2.3	0	56456	£0	Nuneaton & Bedworth	£775,000	£775,000
Nuplace - South Waterway *Fully Drawn*	Residential Property	6	5.9	46	0	£0.00	Telford & Wrekin	£460,000.00	£460,000.00
Mira Technology Park Limited	Commercial Property	53	1.5	0	57,759	£296,000	N Warwickshire	£2,195,000	£1,574,570
Anthem Lovells - Caparo	Residential Property	7	16.53	0	0	0	Walsall DC	£575,000.00	£431,250.00
Central & Country - Telford & Wrekin (House Building Programme)	Residential Property	77	12.22	96	0	0	Telford & Wrekin	£430,000.00	£215,000.00
Goold Estates - BUV	Commercial Property	330	14.8	0	166500	£816,000	Wolverhampton CC	£3,386,000	0

Total

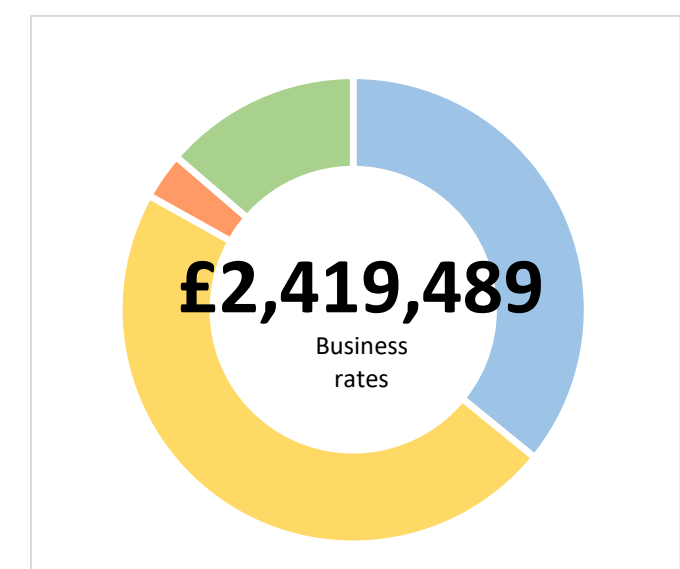
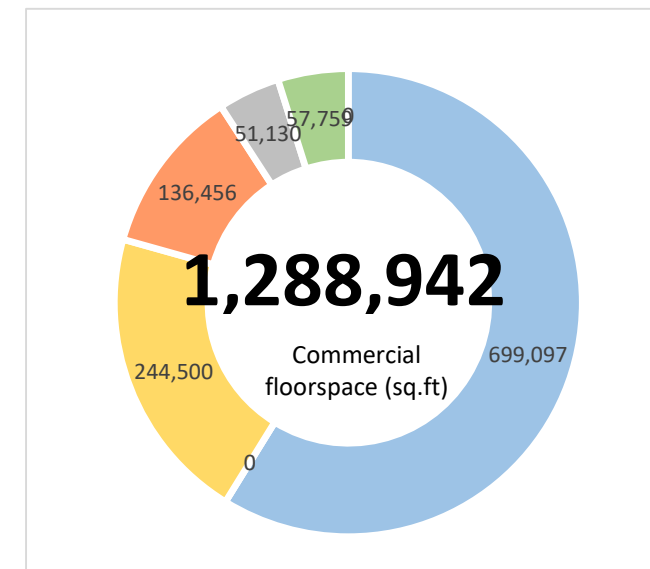
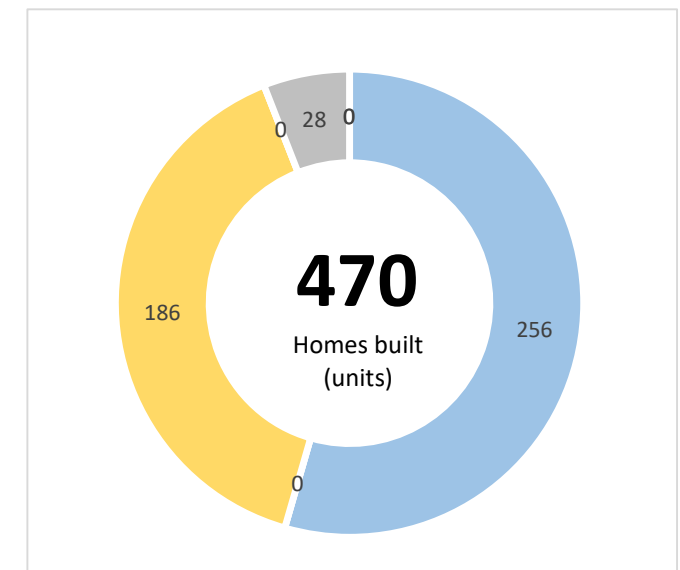
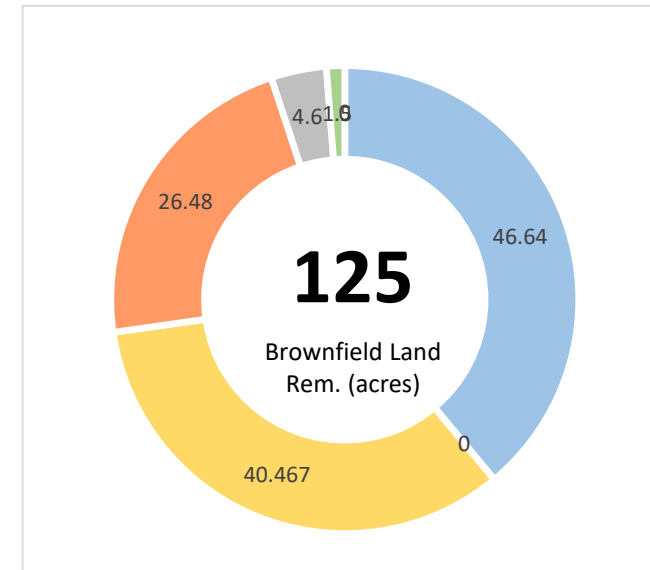
Transaction	Jobs Created	Brownfield Land - Acres	Homes Created	Com. Space sq ft	Business Rates pa	Grant Amount	Drawn amount
21	2,140	125	470	1,288,942	£2,419,489	£50,000,000	£41,303,316

WMCA BLPDF - Dashboard



Geography of committed deal values - committed / pipeline over 25%

Birmingham	Solihull			
£22,343,420	£0			
£345,000	£0			
Cannock	Redditch	Tamworth		
£900,000	£0	£0		
£9,300,000	£0	£0		
Coventry				
£3,800,000				
£1,000,000				
N Warwickshire	Nuneaton	Rugby	Stratford	Warwick
£2,195,000	£775,000	£0	£0	£0
£0	£0	£0	£0	£0
Walsall	Dudley	W'hampton	Sandwell	
£1,590,000	£2,845,000	£4,635,500	£6,080,000	
£0	£0	£2,780,000	£4,000,000	
Telford	Shropshire			Various WMCA
£2,636,080	£0			£2,200,000
£2,500,000	£0			£0



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WMCA Residential Investment Fund (RIF) - Dashboard

01 February 2024

Contents

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Page 2 - Investments repaid

Page 3 - Dashboard

WMCA RIF - Investments committed and completed funds

Opportunity - Location	Industry	Jobs Created	Brownfield Land - Acres	Homes Created	Com. Space sq ft	Business Rates pa	Local Authority	Loan Amount	Drawn Amount
Complex Development Projects Ltd. - Abbotts Lane	Residential Property	35	5.5	700	0	£0	Coventry CC	£1,021,429	£1,021,429
Rainier Developments - Tenby St	Residential Property	2	0.33	37	6,800	£0	Birmingham CC	£6,950,000	£963,947
Parkes Homes - Various	Residential Property	13	1	12	4,240	£0	Various WMCA	£1,000,000	£300,000
Cornerstone Partnership Ltd	Residential Property	8	2	35	0	£0	Tamworth CC	£9,000,000	£9,000,000
Lease Method Management - Harborne	Residential Property	43	1	45	5,577	£0	Birmingham CC	£7,500,000	£2,331,309
Urban Splash Homes - Port Loop 2	Residential Property	0	3	308	0	£0	Birmingham CC	£13,350,000	£3,436,066
Central & Country	Residential Property	0	7	36	0	£0	Telford & Wrekin	£4,000,000	£0
Button Works Limited	Residential Property	0	0.4	29	0	£0	Birmingham CC	£4,800,000	£0

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Live outputs	Transaction	Jobs Created	Brownfield Land - Acres	Homes Created	Com. Space sq ft	Business Rates pa	Loan Amount	Drawn Amount
	8	101	20	1,202	16,617	£0	£47,621,429	£17,052,751

Repaid	Transaction	Jobs Created	Brownfield Land - Acres	Homes Created	Com. Space sq ft	Business Rates pa	Loan Amount
	3	87	1	40	0	£0	£15,340,000

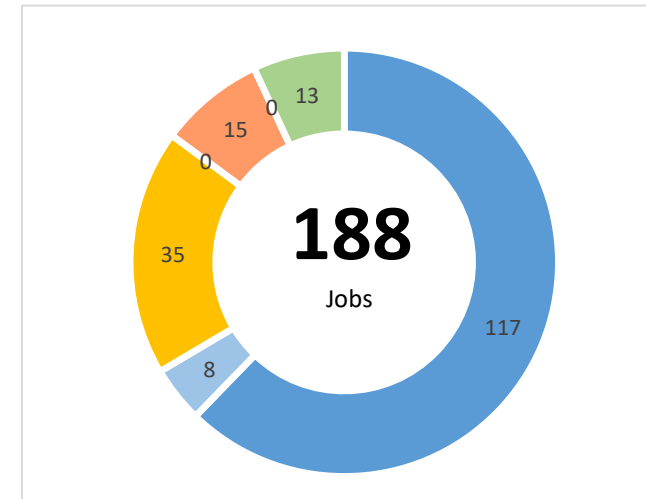
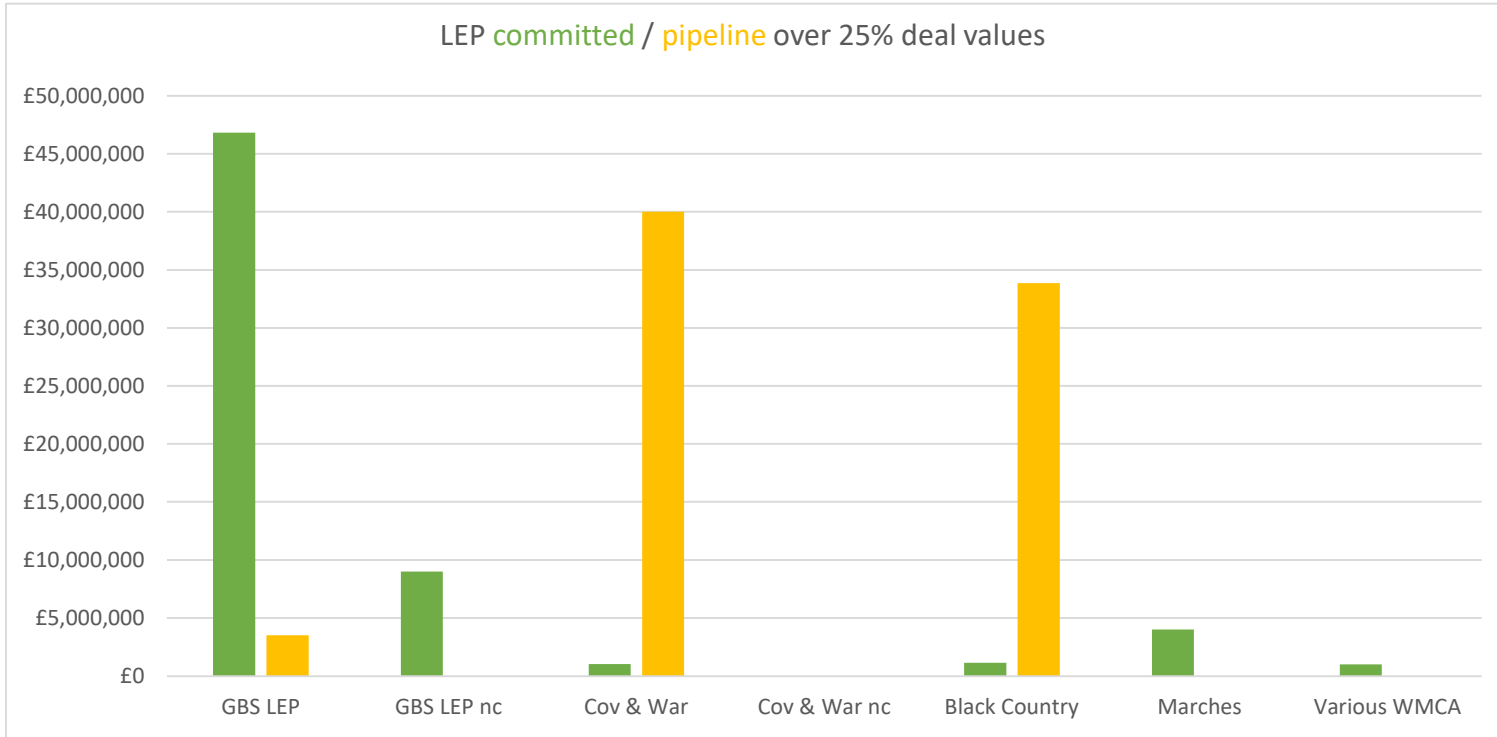
Total	Transaction	Jobs Created	Brownfield Land - Acres	Homes Created	Com. Space sq ft	Business Rates pa	Loan Amount
	11	188	21	1,242	16,617	£0	£62,961,429

WMCA RIF - Investments Repaid

Opportunity - Location	Industry	Jobs Created	Brownfield Land - Acres	Homes Created	Com. Space sq ft	Business Rates pa	Local Authority	Loan Amount
Complex Development Projects Ltd. - Carver Street	Residential Property	72	0.22	30	0	£0	Birmingham CC	£4,220,000
Parkes Homes - Gornal	Residential Property	15	0.5	10	0	£0	Dudley MBC	£1,120,000
Urban Splash Homes - Port Loop	Residential Property	0	0	0	0	£0	Birmingham CC	£10,000,000

Transaction	Jobs Created	Brownfield Land - Acres	Homes Created	Com. Space sq ft	Business Rates pa	Loan Amount
3	87	1	40	0	£0	£15,340,000

WMCA RIF - Dashboard



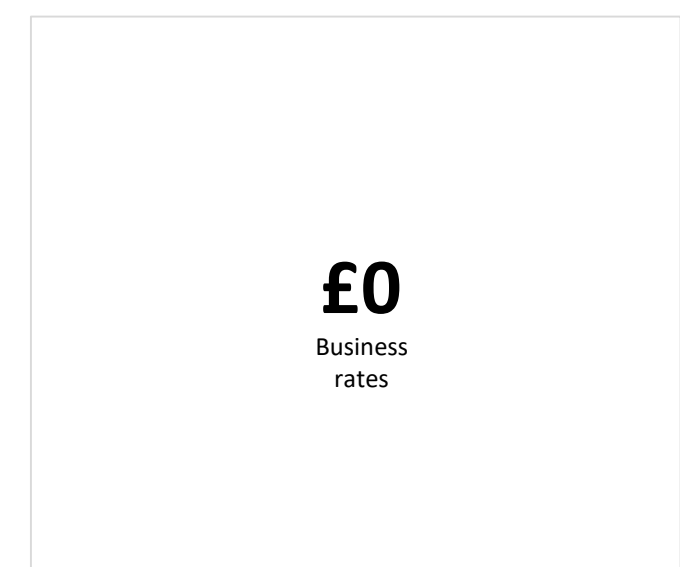
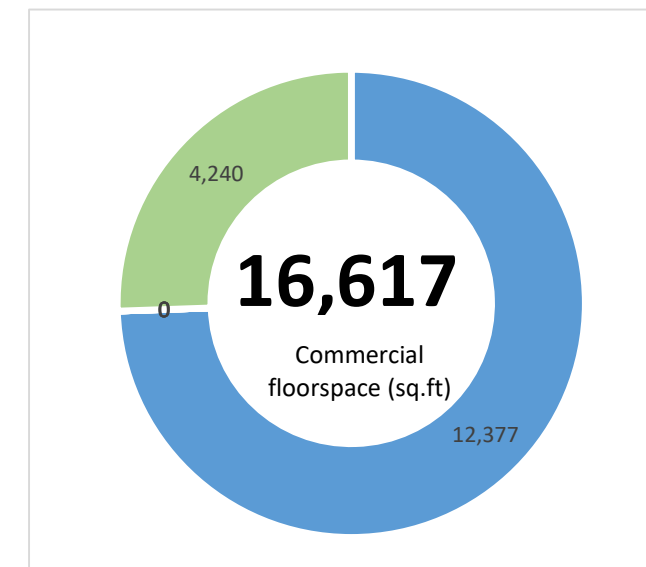
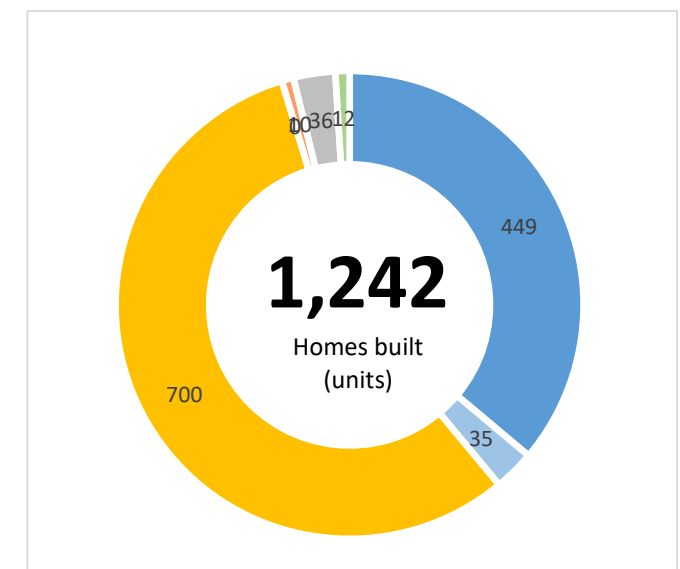
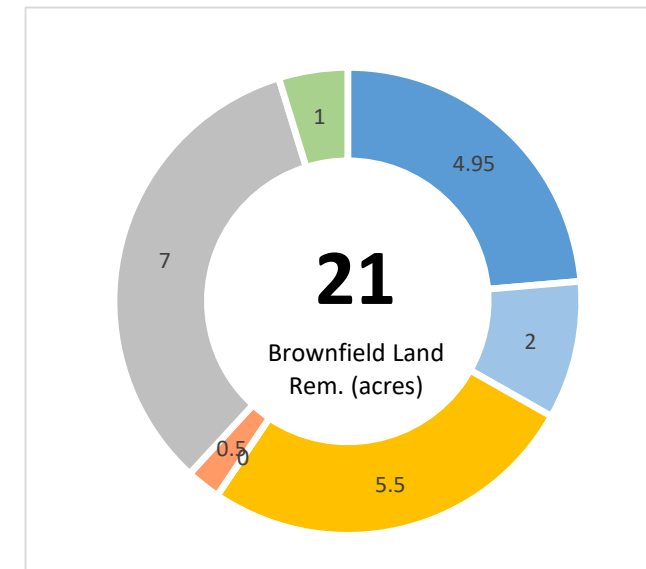
Committed / Completed

Pipeline

- Greater Birmingham & Solihull LEP
 - non-constituent members
 - part of the LEP but not the WMCA
- Coventry & Warwickshire LEP
 - non-constituent members
 - part of the LEP but not the WMCA
- Black Country LEP
- The Marches LEP
 - part of the LEP but not the WMCA

Geography of committed deal values - committed / pipeline over 25%

Birmingham	Solihull			
£46,200,000	£0			
£3,500,000	£0			
Cannock	Redditch	Tamworth	Lichfield	
£0	£0	£9,000,000	£0	
£0	£0	£0	£0	
Coventry				
£1,021,429				
£40,000,000				
N Warwickshire	Nuneaton	Rugby	Stratford	Warwick
£0	£0	£0	£0	£0
£0	£0	£0	£0	£0
Walsall	Dudley	W'hampton	Sandwell	
£0	£1,120,000	£0	£0	
£0	£13,870,000	£20,000,000	£0	
Telford	Shropshire	Various WMCA		
£4,000,000	£0	£1,000,000		
£0	£0	£0		





WMCA Investment Board

Date	12 February 2024
Report title	Thrive into Work Individual Placement and Support in Primary Care (IPSPC) Single Assurance Framework (SAF) Change Request
Portfolio Lead	Councillor Izzi Seccombe, Portfolio Lead for Wellbeing
Accountable Chief Executive	Laura Shoaf, Chief Executive WMCA
Accountable Employee	Clare Hatton, Interim Executive Director Employment, Skills, Health and Communities
Report has been considered by	ESHC Delegated Sign Off Investment Panel

Recommendation(s) for action or decision:

£7,936,260 Grant Funded Thrive into Work IPSPC (April 23- March 25) SAF Change Request Approval.

The Investment Board is recommended to:

1. Approve the attached Change Request (appendix 1), supporting ongoing delivery of the DWP grant funded delivery phase of IPSPC services (April 23-March 25) of £7,936,260 for submission to SAF.
2. Note information within the Change Request setting out the programme financials, deliverables, commissioning activity and governance arrangements.

1. Purpose

Through the IPSPC Initiative, regionally known as Thrive into Work, West Midlands Combined Authority have been successful in securing further Grant Funding to continue to deliver Individual Placement & Support (IPS) services across the region through to 31st March 2025.

The original programme commenced as a pilot in 2018, at which time WMCA SAF processes were in early development stages resulting in no original business case. Since this time delivery has progressed through contract extensions. In order to ensure SAF compliance, it has been agreed with assurance, that in the absence of an original business case that a change request is progressed.

2. Background

The IPSPC Initiative is aimed at adults who have a physical or mental health disability, as defined by the Equality Act 2010, to help them to move into competitive employment providing the support they need to maintain that employment.

The West Midlands Combined Authority (WMCA) has been working with NHS England and the Work and Health Unit (WHU), a partnership between the Department of Work and Pensions (DWP) and the Department of Health and Social Care (DHSC) since 2016 to trial and implement a new model of integrated health and employment support, the Individual Placement and Support (IPS) model, at scale. Due to the success of the Health Led Trial (June 18-November 20), WMCA/Black Country integrated Care Board received additional funding to implement a Post-Trial service (October 20–March 23).

As set out in purpose, the initial Pilot was pre SAF and therefore no business case was developed, in parallel to this the funding model meant that the ICB were the main contract holder and the WMCA drew down funding.

In 2023, DWP and DHSC changed the funding model, moving to grant funding agreements been made directly to 11 Upper Tier Local Authorities (LAs) or Combined Authorities, in England, to take part in the continued implementation of Individual Placement and Support in Primary Care (IPSPC) (the “Initiative”). Effectively rolling out the IPS model beyond the initial pilot locations. For the WMCA the award covering 1st April 2023 to 31st March 2025 is a total value of £7,936,260.

Given the existing activity and relationships already in place within our region delivery the IPS model, this 2023 funding award is effectively a further extension to the programme already in place. The key changes that have been required relate to the overarching governance of the programme with the WMCA now taking on the role of the accountable body for this funding and issuing onward back-to-back funding agreements to existing delivery partners.

The governance of this programme in terms of performance monitoring and expenditure will now align with recently revised WMCA processes, and wider governance relating to the strategic direction of the programme will come under the remit of an expert advisory group focused on health, employment and labour market participation. This group will have reporting lines into both the WMCA’s Wellbeing Board and its Employment & Skills Advisory Panel, both of which have local authority representation. The detailed Terms of Reference for this group (including its composition) are currently being finalised.

This new round of funding provides us with an opportunity to support 3474 people to receive Out of Work (OW) or In Work / Retention (IW) employment support over 2 years. As well as continue to provide support to those service users still on caseloads when the post-Trial service ended March 23. Through a targeted job conversion rate of 40%, there is an opportunity to deliver 1570 new employment outcomes through the service. 5622 people were supported from the Trial & Post Trial services (June 2018 – March 2023), with a total of 1667 outcomes achieved during this time. As of December 2023, a further 1755 people have been supported through IPSPC delivery with 499 outcomes achieved to date.

A breakdown of the IPSPC 2-year targets across the programmes’ 5 Lots, which align to primary care network boundaries and cover multiple Local Authorities, is included below:

Area	2 Year Engagement Target	2 Year Outcome Target
Lot 1 – Dudley & Walsall	603	271
Lot 2 – Sandwell, Wolverhampton & West Birmingham	725	330
Lot 3 – Birmingham & Solihull	904	399
Lot 4 – Coventry & Warwickshire	575	267
Lot 5 – Neurodiversity Pathways	667	303

Work has commenced across ESHC Directorate on benefits realisation across programmes and will include development of a logic model and benefits realisation plan for IPSPC. These will include the health and wellbeing benefits resulting from 1:1 support and employment outcomes, as well financial savings through reducing the number of people on benefits and increasing NHS capacity by reducing participants interactions following employment.

In the absence of an overarching business case the Thrive into Work Programme has been subject to a robust Health Check carried out by our WMCA Assurance Team. A copy of this report is attached at appendix 2, with the programme rated as Green/Amber which indicates the likelihood of a successful delivery. Positive observations focused on the programme’s approach to monitoring and evaluation processes which have been identified as best practice by DWP and rolled out to other programmes nationally, a clear and sound understanding of scope and programme processes across all stakeholders, robust governance in the form of IPSPC Funding Agreements and an Operational Plan issued to Activity Delivery Partners.

The Change Request provides InvestmentBoard with further details about the Thrive into Work programme and the delivery activity that is being progressed as part of the new funding received for 2023-2025.

2. Financial Implications

The paper is looking for approval to submit the Thrive into Work change request into the SAF team. The funding is in place for £7,936,260 from 1st April 2023 to 31st March 2025, which has a signed DWP grant letter in place.

There is a budget in place in line with the funding and onward award contracts have been entered with our two delivery partners.

Note there are two risks which are linked, firstly, a surplus at the end of the programme and secondly a potential budget gap in the programme. Work is currently on-going internally and with DWP to ensure there is no requirement for additional funding above existing approved budgets.

3. Legal Implications

The changes to the Programme Specification being requested through the Change Request - which is recommending be approved – does not require updated Contractual Arrangements through Deeds of Variation. The back-to-back agreements capture the revised Programme Specification. DWP does not need to approve the revised Programme Specification as amended for clarification purposes only.

4. Inclusive Growth/Equalities Implications

The Thrive into Work Programme support delivery of the WMCA Inclusive Growth Framework through localised provision of support to residents who have been on out of work for long periods of time due to ill health. Working with specialist providers individuals are identified through a number of sources including work with local GP practices or self-referral, the model therefore seeks to support employment and health priorities. Noting the impact ill health has on individuals and the ramifications of this, the aims

of the programme seek to support individuals to re-enter employment and improve their health and wellbeing.

The programme focuses on residents who are out of employment and operates in a number of areas across the WMCA including those hardest to reach or furthest from the market, and includes a focus on areas of high deprivation, which includes a large proportion of residents from an ethnicity other than white. This ensures we can support WMCA equality priorities, ensuring that all our residents can thrive and flourish regardless of their protected characteristics or background and support our target to reduce the employment gap between best and worst race and gender. demographic.

Appendix 1. Thrive into Work Change Request

Appendix 2. Thrive into Work WMCA Assurance Health Check

Change Request Form

1 CHANGE REQUEST DETAIL

CHANGE SUMMARY	
Project Name:	Thrive into Work IPSPC
Programme Name (if applicable)	n/a
Directorate (if WMCA internal):	Health and Communities – Employment, Skills & Communities
Organisation (if WMCA external):	n/a
This Change Request is seeking additional WMCA funding of:	Grant Funding Award of £7,936,260
This Change Request is seeking a time extension of:	2 Years (April23-March25)
This Change Request is seeking the following change to the scope:	In most areas scope of the new grant funding remains consistent with the previous Post-Trial Service programme, outline in Appendix A. Slight variations in Lot 4's Geography & Lot 5's pathways model as implemented by WMCA, as well as changes to eligibility criteria and outcomes as defined by DWP are covered in Table 1 under section 3C

STAKEHOLDER INVOLVEMENT	
Provide the names of the following stakeholders who have been sighted on this change request prior to submission, note this is a mandatory requirement:	
Governance:	n/a
Senior Responsible Owner (SRO):	Mubasshir Ajaz – Head of Health and Communities
Programme SRO (if applicable)	Lisa Hamilton – Senior Delivery Manager (Projects and Programmes)
WMCA Executive Director:	Clare Hatton – Head of Economy, Skills & Communities
Finance Lead:	Phil Cole – Finance Business Partner (ESC)
Legal Representative:	Peter Geach – Interim BP Solicitor (Law and Governance)
Procurement Lead:	Will Pemberton – Procurement Officer

Other (i.e., HR / Health & Safety): *n/a*

VERSION CONTROL

Version:	1	Date:	04/08/23
Change Prepared by:	Ethan Williams	Job Title:	TiW Project Delivery Lead

2 BASELINE ASSESSMENT, CHANGE REQUEST DESCRIPTION AND RATIONALE

2A WHICH BUSINESS CASE STAGE IS THIS CHANGE AGAINST? (SELECT ONE OPTION BELOW)

There is no previous business case for Thrive into Work, the Programme Outline attached as Appendix A. provides an outline of the previous programme, national and local context, delivery model, timeframes, benefits, outputs and outcomes.

2B ROOT CAUSE

Determine the root cause of this change request i.e. the source of the change requirement from the list below:

Table 1		
Root Cause Categories		Tick if Applicable
Political	This is due to the need for WMCA to demonstrate to Central Government that WMCA is working towards its Strategies and Policies i.e., Strategic Economic Plan (SEP)	<input type="checkbox"/>
Governance	WMCA must spend in accordance with agreed terms and conditions and abide by public sector procurement requirements and devolved funding assurance frameworks as approved by Central Government	<input type="checkbox"/>
Reputational	There is a high chance of repercussion for organisations' reputation due to the potential of it leading to destruction of trust and relations	<input type="checkbox"/>
Operations	Disruption to delivery of key business functions that support wider business operations	<input checked="" type="checkbox"/>
Delivery	Impact on delivery and performance against delivery commitments in the area	<input checked="" type="checkbox"/>
Economic	Uncertainty with external factors such as inflation and interest rates	<input type="checkbox"/>

Financial	Seeking safe delivery options with little residual financial loss only if it could yield upside opportunities.	<input type="checkbox"/>
Opportunity	The ability to deliver more outputs, outcomes, and benefits	<input checked="" type="checkbox"/>

2C CHANGE DESCRIPTION AND RATIONALE (MAX 500 WORDS)

The West Midlands Combined Authority (WMCA) has been working with NHS England and the Work and Health Unit (WHU), a partnership between the Department of Work and Pensions (DWP) and the Department of Health and Social Care (DHSC) since 2016 to trial and implement a new model of integrated health and employment support, the Individual Placement and Support (IPS) model, at scale. Due to the success of the Health Led Trial (June 18-November 20), WMCA received additional funding to implement a Post-Trial service (October 20–March 23).

In 2023, DWP and DHSC awarded Grant Funding for 11 Upper Tier Local Authorities (LAs) or Combined Authorities, in England, to take part in the continued implementation of Individual Placement and Support in Primary Care (IPSPC) (the “Initiative”). The IPSPC Initiative is aimed at adults who have a physical or mental health disability, as defined by the Equality Act 2010, to help them to move into competitive employment providing the support they need to maintain that employment.

Through the IPSPC Initiative, West Midlands Combined Authority have been successful in securing Grant Funding to continue to deliver IPS services across the region through to 31st March 2025. Due to the existing provision of IPS services until March 2023, WMCA was in the position to launch the new IPSPC phase of delivery in April 2023, in line with DWP’s original planned timeframe for all successful LAs and CAs. The West Midlands Region is acknowledged as a Centre of Excellence for IPSPC provision. This is an opportunity to generate even greater momentum in improving health and employment outcomes for the citizens of the West Midlands

This new change request is seeking to:

1. Cover the launch of new DWP grant funded delivery phase of IPSPC services (April 23-March 25)
2. Outline the new grant funded value and WMCA IPSPC budget (April 23-March 25)
3. Outline variations in programme scope for new IPSPC delivery phase
4. Outline opportunity for new outcomes, outputs, and benefits through new IPSPC delivery phase
5. Outline change in governance from Black Country ICB NHS contracts to WMCA issued Back-Back Funding Agreements

The above change will cover £7,936,260 of funding over next 2 years. Table 1 in section 3A sets out a breakdown of this new funding into the IPSPC programme budget.

There is an opportunity to support 3474 people to receive Out of Work (OOW) or In Work / Retention (IW) employment support over next 2 years. As well as continue to provide support to those service users still on caseloads when the post-Trial service ended March 23. Through a targeted job conversion rate of 40%, there is an opportunity to deliver 1570 new employment outcomes through the service. Table 5 in section 3F sets out a breakdown of outputs and associated KPIs.

A folder with supporting documentation for this Change Request can be found here:

IMPACT ASSESSMENT

Complete the following sections to determine the impact of this Change Request, if a section is deemed not applicable, briefly explain why.

3A COST IMPACT (£)

Grant funding to the value of £7,936,260 has been awarded to WMCA for delivery of the IPSPC initiative. This will be subject to delivery and performance, claimed by WMCA on a quarterly basis as per DWP's funding schedule as contained in the Grant Funding Agreement (GFA).

This is the maximum sum the DWP will pay under the GFA and cannot be increased in the event of any overspend related to grant funded activities. DWP will only pay the IPSPC Grant in respect of eligible expenditure and once DWP is satisfied WMCA has provided a sufficient level of assurance. The new dependencies created as a result of this are covered under section 3D.

A breakdown of IPSPC Grant Funding over next 2 years, summarised from the current IPSPC 23/25 programme budget, is included in Table 1 below.

Title	Total 2 Year IPSPC Programme Budget
Programme Management	£973,400
Lot 1 – Dudley & Walsall Provider Costs	£1,190,640
Lot 2 – Sandwell and Wolverhampton Provider Costs	£1,452,000
Lot 3 – Birmingham and Solihull Provider Costs	£1,785,960
Lot 4 – Coventry and Rugby Provider Costs	£1,154,440
Lot 5 – Neurodiverse Pathways Provider Costs	£1,321,270
Total Budget	£7,877,710

Each Lot's Provider Costs are paid as 90% block contract payments, 10% payment by results (PBR) for achieving job outcomes targets.

Finance business partners have been sighted on this new grant funding and have been involved in creating the IPSPC programme budget for 23/25.

As this is newly awarded grant funding, this does not impact any previous financial profiles for the programme. For reference, a summary of previous programme funding for HLT and Post Trial services can be found in the Programme Outline attached as Appendix. A.

3B TIME IMPACT

Grant funding has enabled new programme delivery timelines, April 2023 – March 2025. The service relaunched and reopened referrals in April 2023, referral pathways will close in November 2024 and, subject to opportunity and additional funding, delivery will cease in March 2025 in line with DWP’s delivery timescales as outlined in the GFA.

IPSPC Initiative Implementation Phase	IPSPC Initiative Referral and Delivery Phase (20 months)	IPSPC Ramp Down and Closure (4 months)
n/a (not required as WMCA was already delivering IPS services until March 2023)	April 2023 – November 2024	December 2024 – March 2025

3C SCOPE IMPACT

. The IPSPC service will continue to operate using the same delivery model as the previous IPS Health Led Trial and Post-Trial Service IPS models outlined in the programme outline, with a focus on embedding the service within Health Systems and generating sustained employment and wellbeing outcomes.

The number of new programme starts targeted by each LA or CA has been limited by DWP to approx. 3500 over 2 years, which is line with targets and delivery for the last 2 years of programme. The structure of the programme’s 5 Lots and service delivery providers have been retained.

However there are slight variations in scope associated with one of the Lots’ geography as implemented by WMCA, as well as changes to eligibility criteria and outcomes as defined by DWP’s minimum expectations in the IPSPC Guidebook, are covered in the Table below:

Item	Details	Change in Scope from Previous Delivery
WMCA Expansion of Lot 4 - Coventry	Lot 4 now includes those registered to a GP in Warwickshire and Coventry	Previously limited to those registered to a GP only in Coventry
WMCA Refinement of Lot 5 – Specialist Pathways Model	Lot 5 refined to focus entirely on supporting those with a Neurodevelopmental Condition	Previously included pathways and support for those: At Risk of Homelessness, and/or At Risk of Offending, and/or

		Has a Mild Learning Disability. Support for these groups will instead be embedded in wider service's Lots 1-4.
DWP Retention Eligibility Criteria	To be eligible for IW support, participants must be working for a minimum of 6 months before signing up.	Previously there was no minimum time for eligibility on post-Trial service
DWP Retention Delivery Timeline	Support for the IW group should be limited to 4 months, but can be exceeded on a case-by-case basis	Previously this was limited to 12 months, in line with OOW support
DWP Job Outcome Minimums	Participants must be working for a minimum of 7 hours per week	Previously there was no minimum standard for an outcome to be claimed

There are no resource implications because of these variations in scope. The programme budget has been scaled accordingly, delivery specifications for Lot 4 and 5 have been adjusted, the performance framework and associated processes have been updated to manage DWP's changes to eligibility criteria, delivery timeline and outcome standards.

Although it does not impact scope of the programme, an additional key change for the programme is concerning IPSPC governance. Previously IPS was contracted through Black Country Integrated Care Board (ICB) using NHS standard contracts issued to service providers, WMCA maintained management responsibilities agreed via a Memorandum of Understanding (MOU). DWP's quarterly funding was also awarded to the ICB to then flow down to WMCA through onward awarding and to the service providers through quarterly payment in arrears. In April 2023, the ICB stood down from this relationship and WMCA has therefore developed a new approach to managing programme governance. An IPSPC Funding Agreement was signed by WMCA and DWP May 2023 to enable payment of Grant Funding to WMCA quarterly in arrears. Activity Delivery Partners have been retained and as of end of November 2023, Back-to-Back Funding Agreements have been signed by both ADPs.

This change in governance has had a minimal impact to delivery. Although the ICB previously held the contracts with service providers, WMCA was responsible for managing the programme directly with service providers through the MOU with the ICB. WMCA members of staff with experience of working on this programme and managing these processes previously have been retained to ensure these responsibilities are maintained effectively in the transition to new governance. The Back-to-Back Funding Agreements replicate the same constraints and provisions as DWP's and WMCA's Funding Agreement and contains a full Operational Plan which mirrors the same processes included in the previous NHS contracts' service specification but includes the changes in scope listed above. With the move to WMCA issued B2B Funding Agreements, more robust claims and monitoring processes in line with WMCA expectations have been included in the Operational Plan to enable quarterly payment by results to activity delivery partners

3D DEPENDENCIES IMPACT

New dependencies have been created as a result of this grant funding. In order to enable payments quarterly in arrears based on financial profiles agreed with DWP, WMCA must ensure timely submissions of quarterly MI and spend claim returns.

New processes have been established for collation of MI using monthly performance data submitted via referral logs, reformatted into the DWP MI template. These have been completed successfully for Q1 & Q2 of the new delivery phase.

New processes have been established to enable completion of the Financial Claim form in line with WMCA's internal finance processes. Claims are approved prior to quarterly submissions by WMCA's Chief Finance Officer / Section 151 Officer and are included as an annexed update in the monthly WMCA performance and payment group meetings (DSO) once ready for onward awarding to ADPs.

DWP will pay WMCA in line with the approved DWP IPSPC profile template, approx. 6-8 weeks following submission. For any quarterly instalment period, if the actual amount requested by WMCA and to be paid by the DWP is less than the maximum amount for that period, the following instalment period will be increased with that surplus. If the amount requested exceeds the maximum amount for that period, the claim will be rejected and must be reduced accordingly.

To enable onward awarding of funds to ADPs, ADPs must also submit a Block Claim & Payment By Results (PBR) Claim to WMCA, a week prior to WMCA's submission deadline to DWP. The Block Claim will match the quarterly budget for each of the ADP's Lots and is supported by a breakdown of the staff currently working on the programme, including payroll ID and percentage of time spent working on programme. Although it is not anticipated this Block Claim will be reduced unless DWP stipulate a withholding of payment as is enabled through their Funding Agreement, the number of Employment Specialists on programme is a key delivery ADPs have signed up to in their Funding Agreement and will be monitored accordingly. The PBR claim requires a breakdown of outcomes claimed by the ADP and the evidence that has been collected to enable this. Both claim elements are reviewed quarterly and can be matched to monthly MI data submitted prior. There is an opportunity for increased audit of both these elements in the future.

3E STAKEHOLDER IMPACTS AND STRATEGY CHANGE IMPACTS

This new funding and associated change form will not impact existing approach to stakeholder engagement or health and employment strategy. It is very much a continuation of the existing approach to reduce health inequalities and generate employment outcomes for those individuals with a health condition in the region.

3F OUTPUTS, OUTCOMES AND BENEFIT IMPACTS

The Programme Outline attached as Appendix. A includes a clear breakdown of previous programme outputs and outcomes.

A robust performance framework for 23/25 has already been established and embedded with delivery providers across the 5 individual Lots. This covers a targeted number of

programmes starts (OOW & IW Engagement) as agreed with DWP, with a 40% employment conversion rate across 2 years. Specific job outcome targets have been set with this conversion rate in mind and increased to allow for additional claiming of job outcomes for service users carried over from post-Trial service, which will retrospectively increase the historic conversion rates for the post-Trial service.

Full MI for service users who joined the new service as of April 2023 is shared with DWP on a quarterly basis, in order for them to track performance and conversion rates centrally. A full KPI dashboard report is produced each month to monitor performance internally and provide insights on trends and delivery with stakeholders.

In addition to engagement and employment KPIs, additional metrics around sustainment of employment at 13 weeks, 26 weeks and health and wellbeing outcomes as a result of this sustainment, are measured across the programme. The 26-week sustainment is the only new KPI for the IPSPC service which has been stipulated by DWP and reporting processes for this are currently being tested successfully and embedded with service providers.

Health and Wellbeing outcomes are measured at the point of 13 weeks sustained employment via questionnaire. These can be used to calculate a percentage of people who, since sustaining employment:

1. Have an improved ability to manage their health condition.
2. Have reduced their original barriers to employment.
3. Are interacting with primary care services less

Programme Outputs

- Ensure that a Job Start is achieved for at least 40% of Participants.
- Ensure that a Baseline Threshold Job Outcome is achieved for at least 30% of Participants (13 Weeks Sustained Employment in a 16 Week period)
- Ensure that a Higher Threshold Job Outcome is achieved for at least 20% of Participants (26 Weeks Sustained Employment in a 32 Week Period)
- Ensure all Participants work towards securing a minimum of 7 hours work per week, with as many as possible supported to work more than 16 hours per week for a minimum of 13 weeks duration.
- Ensure Participants are being paid at least the Going Rate of Pay

A full set of the programme's primary KPIs are listed in the table below, along with targets for the next 2 years of delivery.

KPIs	2 Year Targets	Conversion Rate Targets
Out Of Work – Programme Starts	2605	N/A
In Work / Retention Programme Starts	869	N/A
Job Starts (New Employment)	1077	40% of Programme Starts
Job Retentions (Existing Employment)	493	

13 Week Employment Sustainment (OOW)	833	75% Of Employment Outcomes
13 Week Employment Sustainment (IW)	375	
26 Week Employment Sustainment (OOW)	699	65% Of Employment Outcomes
26 Week Employment Sustainment (IW)	292	

KPIs are collated through the submission of monthly referral logs created for service providers and monitored via the WMCA Thrive into Work KPI Dashboard. These processes are well established and across the lifetime of the previous programme they have successfully provided useful intelligence and insights to enable effective performance management and influence work and health strategy.

WMCA's approach to performance management is well received by DWP, and the framework established internally for the post-Trial service was shared with DWP ahead of developing the IPSPC initiative to form the baseline of DWP's new MI reporting expectations for all LAs and CAs.

Referral logs are therefore directly aligned to the DWP MI template and enable seamless quarterly returns. They also include a full set of demographic data which is analysed quarterly. This analysis provides opportunities for ongoing evaluation of the service. Tracking demographic trends against Local Insights data allows for detailed analysis of impact around reducing health inequalities and delivery of inclusive growth. Tracking of benefits data for participants will also support work on establishing cost/benefit analysis. There are opportunities to use this data to inform strategy across the ESC directorate and support other projects and programmes' approaches to MI reporting.

Programme outputs are reported monthly against the Annual Business Plan, to inform HLDs related to starts on programme and employment outcomes achieved over next phase of delivery. A quarterly deep dive is also being agreed with the ABP team, demonstrating the depth of insight the programme can provide to inform work across WMCA.

3G RISK IMPACT

(UNCERTAIN EVENT(S) THAT SHOULD THEY OCCUR WILL HAVE AN EFFECT ON THE ACHIEVEMENT OF OBJECTIVES)

The full risk register is attached as Appendix B. A summary of the current risks included on this register, are below:

1. Significant Changes In Programme Team Structure
 - Risk: WMCA programme team underwent restructuring during pivotal period of service delivery
 - Mitigation: Experienced staff have been maintained in key roles to ensure smooth transition into new structure. Recruitment for a Delivery Manager and

Assistant Delivery Manager is rapidly underway. Support and oversight has been provided by senior leads.

2. IPSPC Budget Not Aligned to DWP Budget Profile

- Risk: There is a slight discrepancy of circa £54k between DWP's profile and WMCA's budget, this leads to a potential surplus at end of programme. Furthermore, as of November 2023 DWP have issued guidance to suggest a surplus cannot be carried from one financial year into the next.
- Mitigation: Work is underway to forecast expected year 1 surplus and explore opportunities to ensure this can be drawn down from DWP. These include potentially pushing back on latest guidance, which contradicts terminology used in the Funding Agreement; submitting a budget reprofile to DWP ahead of Q4 April 2024; submitting a claim for the surplus under 'committed costs' in Q4's spend claim.

3. Change in Governance / Contracting Approach from ICB NHS contracts.

- Risk: ICB has stood down from governance requiring WMCA to now directly contract services with Activity Delivery Partners through the form of Back-to-Back Funding Agreements.
- Mitigation: Funding Agreements have now been fully agreed and countersigned by both ADPs, associated payment processes have been implemented successfully for Q1 and Q2.

3H ISSUE IMPACT

(EVENT(S) THAT HAVE OCCURRED WHICH WERE NOT PLANNED AND REQUIRE MANAGEMENT ACTION)

There are no new or previous issues related to this change request.

3I PROCUREMENT IMPACT

This change request does not impact existing procurement strategy. Service delivery providers were retained for new IPSPC delivery phase and have been delivering IPSPC as of April 2023 through the provision of a Heads of Agreement. Back to Back Funding Agreements have now been countersigned by both Activity Delivery Partners as of end of November 2023.

4 GOVERNANCE AND DECISION – INTERNAL USE ONLY

TO BE COMPLETED BY WMCA PROGRAMME ASSURANCE AND APPRAISAL / FINANCE BP

4A APPRAISAL RECOMMENDATION

Change Reference Number:	
Has this change been reviewed by WMCA Appraisal?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>

Appraisal Recommendation:
<p>Recommendation for the Thrive into Work Change Request to be approved by decision makers. In endorsing his change request, its crucial to note potential risks- such as the possibility of unforeseen costs, challenges in implementation due to resource constraints or even potential delays to timelines. Additionally, there may be risks associated with stakeholder engagement and acceptance. Its important for these risks to be acknowledged and managed proactively to ensure success of the project.</p>

4B STAKEHOLDER INVOLVEMENT

WMCA Finance Business Partner Name:	Phil Cole
<p>There is a budget in place in line with the funding and onward award contracts have been entered with our two delivery partners.</p> <p>Note there are two risks which are linked, firstly, a surplus at the end of the programme and secondly a potential budget gap in the programme. Work is currently on-going internally and with DWP to ensure there is no requirement for additional funding above existing approved budgets.</p>	
WMCA Legal Representative Name:	Peter Geach
<p>Observations and Legal Statement:</p> <p>The changes to timescales and project funding allocations being requested through the Change Request, which is recommending be approved, will require new Contractual Arrangements in part driven by any changes in central government funding agreements which will need to be reviewed. Our back-to-back agreements will need to be supported by revised Project Delivery Plans (PDPs) reflecting any revised outcomes. Our back-to-back agreements with our delivery partners will need to be drafted and executed, and will capture the revised funding arrangements and timescales.</p>	



Other (i.e., HR/ Health and Safety): If external to WMCA, state any other WMCA stakeholders who have input or had oversight of this change?	
Observations and Comments:	

4C DECISION AND GOVERNANCE

G O V E R N A N C E	Approval Body	Date of Meeting
	Executive Director (state if Delegated Authority or SRO)	
	Statutory Officer Approval	
	Investment Panel	
	Investment Board	
	WMCA Board	

D E C I S I O N	Approved <input type="checkbox"/>	Rejected <input type="checkbox"/>	Deferred <input type="checkbox"/>
	Decision Maker and Comments:		
	Date of Decision:		
	If rejected, what was the reason for this?		



	If deferred, what was the reason and what are the next steps?	
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ASSURANCE REPORT

Project/s: There are no component projects with specific focus or consideration that have formed part of this Health Check.	Name: Thrive into Work Programme, (Individual Placement & Support in Primary Care)
	Programme Code: N/A
	Programme Lead: Ethan Williams
	Development Stage/Route Agreed (if not Delivery): In Delivery

Title	Programme Health Check – Assessing the likelihood of successful delivery, effectiveness of the Grant Agreements with Delivery Partners, and changes to baseline for remaining Thrive into Work (TiW) Programme.
Programme Assurance Lead	Luke Cairney, Kate Bonney
Date(s) of Review	27 October 2023 – 6 December 2023.
Programme Representative/Point of Contact	Ethan Williams – Ethan.williams@wmca.org.uk ; Lisa Hamilton – Lisa.hamilton@wmca.org.uk ;

Version History			
Version	Date	Reason for update	Issued by
0.1	06/12/2023	Draft report for peer review.	Luke Cairney; Kate Bonney
0.2	13/12/2023	Following peer review.	Luke Cairney
0.3	14/12/2023	Final Draft report issue to programme lead.	Luke Cairney; Kate Bonney
1.0	03/01/2024	Final report issued to Distribution List	Luke Cairney; Kate Bonney

Distribution List	
Name	Role/Job Title
Clare Hatton	WMCA, Interim Director for Employment, Skills, Health, and Communities (EDSC) [Programme SRO]
Lisa Hamilton	WMCA, Senior Delivery Manager (Projects and Programmes) - EDSC
Mubasshir Ajaz	WMCA, Head of Health and Communities, Economy, Skills, Health, and Communities - EDSC
John Hall	WMCA, Senior Delivery Manager (Employment and Skills) - EDSC
Lisa Hughes	WMCA, Delivery Manager - Projects and Programmes (Employment and Skills) - EDSC
Ethan Williams	WMCA, Monitoring and Evaluation Officer - EDSC
Tatum Matharu	WMCA, Strategic Lead for Health Inequalities - EDSC
Julia Cove	WMCA, Programme Assurance Manager - Finance and Business Hub
Serena Dhanoa-Rasheed	WMCA, Programme Investment Appraisal Manager - Finance and Business Hub
Jaspal Seehra	WMCA, Performance Manager - Finance and Business Hub
Peter Estrella	WMCA, Risk Manager - Finance and Business Hub

Programme Overview	
Lifecycle Stage reached:	Delivery
Previous Review(s) undertaken (including any external assurance):	<p>No previous programme level Health Check activity has been undertaken. Activity on this programme commenced prior to the implementation of the Single Assurance Framework (SAF) and as such is not supported by any formal business case documentation.</p> <p>During the Health Check process, the Department for Work and Pensions (DWP) carried out a separate informal review (through DWP regional lead). This was not recognised as an audit by DWP, but an opportunity to learn more about the service, Activity Delivery Partner (ADP) claims processes, invoices received to date, and ADP case management systems. There was no feedback or outturn available following DWP's engagement with the programme, and is therefore not reflected in this report.</p>

About this report

This report is an evidence-based assessment of the likelihood of successful delivery of the Thrive into Work Programme.

A Health Check Tool, incorporating the Association for Project Management (APM) and Infrastructure and Projects Authority (IPA) best practice has been used by the Assurance team to drive key lines of enquiry and inform report findings and recommendations.

The overall rating of the Health Check is based on the number of recommendations raised and the severity of those recommendations.

Any findings and/or recommendations raised are based on evidence presented as part of the Health Check process at that time.

It is acknowledged (and expected) that progress will be made by the Programme Team towards any recommendations made. Any observations made by the SRO/appropriate Portfolio Director will be considered as part of the Health Check process. There is an expectation that the Programme Team and SRO will respond and feedback within this report by 21 December 2023.

This assessment was arranged and managed by:

West Midlands Combined Authority
Finance and Business Hub
Programme Assurance & Appraisal Team
16 Summer Lane
Birmingham
B19 3SD

Email: programmeassuranceandappraisal@wmca.org.uk

Programme Assurance Lead: Luke.Cairney@wmca.org.uk; Katherine.Bonney@wmca.org.uk

1. Programme Maturity Assessment

Maturity Assessment:

Green/Amber

a) Background

Programme activity commenced prior to the implementation of the SAF and as such is not supported by any formal business case documentation. This Health Check was therefore welcomed by the Directorate as an opportunity to seek out-of-Directorate scrutiny and support with any opportunities for improvement.

Phase 1

The current programme has evolved from a TiW randomised control trial (RCT), which took place between June 2018 and October 2020. This was funded by Government, through a joint unit between DWP and NHS England. Following the trial, a further award to fund a Post Trial Service (PTS) was provided, effectively extending the trial related activities from November 2020 up to March 2023.

Both the RCT and PTS were delivered by Shaw Trust and the Black Country Healthcare NHS Foundation. These two ADPs were procured and contracted through a third party, using NHS procurement frameworks, and were underpinned by Service Level Agreements (SLAs). These SLAs were held by the Black Country Integrated Care Board (ICB) [previously known as CCG] and funding was paid from DWP to the ICB, for onward award to the WMCA on a quarterly basis. Memorandums of Understanding and the SLAs between the ICB and ADPs both included provisions for the WMCA to manage delivery and performance directly.

Pre-phase 2, further grant funding was secured from DWP following a bid from WMCA, in order to continue programme activity following the PTS.

The ICB also stood down from Programme Governance responsibilities, at which time the WMCA renewed its approach to management and governance, and opted to align its approach with other programmes within the Directorate. Notably, this meant the development of Grant Agreements (over SLAs) with the existing ADPs. In April 2023, Heads of Agreement were signed between the WMCA and ADPs, as a practical 'bridging' measure until more robust Grant Agreements were signed in October and November 2023.

Phase 2

The programme began its final phase (2) of delivery from April 2023, and is now underpinned by signed Grant Agreements with the two ADPs retained. The programme is due to complete at the end of the 2024/25 financial year, or when all DWP derived funding is defrayed, whichever occurs first.

b) Health Check Approach

This Health Check forms part of an annual Health Check Plan conducted by the Programme Assurance & Appraisal Team (Specifically, Programme Assurance Specialists) which was agreed by the Executive Committee in March 2023.

The aims of this Health Check are to:

- Assess the likelihood of successful delivery of the Thrive into Work Programme, in the context of changes to baseline since the programme's initial trial period, up to current delivery phase;
- Review the robustness and likely effectiveness of, and suitable transfer of conditions into, the newly formed Grant Agreements Vs. Previous Service Level Agreements (SLAs);
- Review programme management processes and controls in the absence of a business case and test collective understanding of team roles, responsibilities, and resource planning;
- Understand the performance monitoring and reporting arrangements and the synergy of those arrangements with other projects/programmes within the directorate such as Multiply, SPF and AEB;
- Review the interim Governance arrangements.

A series of meetings and desk-based research have informed this Health Check (which are detailed in Annexes A and B) and recommendations raised have been agreed with the SRO/Programme Lead.

The steps below represent a high-level overview of the Health Check approach, which are consistent with the agreed Terms of Reference (ToR):

- Agreeing a ToR document with the Monitoring and Evaluation Officer, who was nominated as the Programme Lead for the Health Check, and has assumed key Programme Management responsibilities whilst key posts are recruited to.
- Using a Health Check Tool (as described in 'About this Report') to form the basis of Health Check key lines of enquiry around eleven categories (leading to an objective, evidence-based assessment).
- Engagement meetings (9) undertaken with programme SMEs and are set out in Annex A below. These align with those potential 'stakeholders' to be engaged, identified within the Terms of Reference v1.0. The Programme Senior Responsible Officer – Clare Hatton, was not interviewed as part of the process.
- Carrying out desk-based reviews of relevant programme documentation, with access to dedicated area of the Programme Team's SharePoint.
- Development of a draft Assurance Observations Report detailing findings and recommendations.
- Agreement and distribution of a final Assurance Observations (Health Check) Report.

c) Summary of Findings & Recommendations

Programme Challenges:

- There are two key dedicated programme posts – Programme Delivery Manager and Project Manager, yet to be recruited to. Currently the programme activities are carried out on an interim basis by others within the Directorate.
- The programme has a preferred approach to its own Governance, through a proposed Steering Group. The Steering Group will act as the main decision-making body for the TiW programme and consider any area of escalation and/or major programme issues. However, this Steering Group has yet to be convened.

Positive Observations:

- The approach to reporting back to DWP and Monitoring and Evaluation processes and returns (including documentation) have been identified as 'Best Practice' by DWP and subsequently rolled out, as the chosen approach to other TiW programmes nationally.
- The Programme is performing above its targets set out and agreed with DWP.
- The Scope of the programme is mutually well understood by all stakeholders.
- The Funding Agreements entered into between ADPs and WMCA are robust and have potential to satisfy a basis for similar programmes of delivery.
- The collective understanding of the programme position (financially, legally, and from a performance perspective) was sound, in spite of the programme needing to recruit to key permanent roles at the time of the Health Check.

Key areas for improvement: Key areas for improvement are summarised below; however, detailed findings and recommendations are contained within Section 3 of this report:

- There are a number of key logs such as Assumptions, Constraints, Dependencies and Lessons Learned, which should be developed, regularly reviewed, and managed for a programme of this size and budget.
- There are further opportunities to more regularly, and to a finer degree of detail, scrutinise the risk exposure to the programme, using the themes and methods set out within the WMCA Risk Management Framework.
- Understanding of Benefits Realisation.
- Planning activity for the eventuality of handover/s - as the Programme Team transitions from its interim state, further new team member/s orientation, and understanding the impacts of Single Points of Dependency should all have a clear and documented process.

It is acknowledged within several of the recommendations in Section 3 of this report, that the 'Operational Plan' should be revised to capture key information around programme process and controls. The programme does not benefit from an approved business case therefore the Operational Plan has been viewed as the most suitable and centrally available information resource for the programme environment. Given the remaining programme lifecycle, the Programme Team's close work with DWP, and the detail within the Operational Plan and Funding Agreements, it was deemed unnecessary to recommend the creation of a retrospective business case.

d) Overall assessment

The Health Check has rated the programme as 'Green/Amber' which is defined as "Successful delivery appears probable. However, constant attention will be needed to ensure risks do not materialise into major issues threatening delivery".

There were 8 recommendations raised as part of the Health Check which have been outlined in Section 3 of the report

Health Check Category	Recommendations Raised & Priority		
	H	M	L
Client & Scope	0	0	1
Risk Management	1	0	0
Planning & Scheduling	0	0	1
Organisation Capability & Culture	0	1	1
Supply Chain	0	0	0
Solution	0	0	0
Finance	0	0	1
Health & Safety, Social Responsibility & Sustainability	0	0	0
Performance	0	1	0
Governance	0	0	0
Stakeholder Communication & Engagement	0	0	1
TOTAL No. of Recommendations	1	2	5
Overall RAG Rating:	Green/Amber		

e) Next Steps

It is acknowledged (and expected) that progress will be made by the Programme Team towards the recommendations made. Any observations made by the SRO/appropriate Portfolio Director will be considered as part of the Health Check process.

Details of the next proposed Assurance Review are included in section 5.

2. RAG Status Definitions

RAG	Criteria Description
Green	Successful delivery of the programme/project to time, cost and benefits realisation appears highly likely and there are no major outstanding issues that at this stage appear to threaten delivery.
Green/Amber	Successful delivery appears probable. However, constant attention will be needed to ensure risks do not materialise into major issues threatening delivery.
Amber	Successful delivery appears feasible but significant issues already exist requiring management attention. These appear resolvable at this stage and, if addressed promptly, any cost/schedule overrun could be resolved.
Amber/Red	Successful delivery of the programme/project is in doubt with major risks or issues apparent in a number of key areas. Urgent action is needed to ensure these are addressed and establish whether resolution is feasible.
Red	Successful delivery of the programme/project appears to be unachievable. There are major issues which, at this stage, do not appear to be manageable or resolvable. The programme/project may need re-baselining and/or overall viability re-assessed.

Recommendation priority	Expected completion date
High	High – To increase the likelihood of a successful outcome the programme/project should prioritise these recommendations.
Medium	Medium – To increase the likelihood of a successful outcome, the programme/project should ensure these recommendations are actioned.
Low	Low – The programme/project would benefit from the uptake of this recommendation.

3. Programme Maturity Assessment

Ref.	Health Check Ref.	Finding/observation Impact of Finding/observation	Recommendation	Agreed Y/N	H/M/L	Completion Date	
Page 46	1.	Client Scope	<p>It is acknowledged that Assumptions, Constraints, and Dependencies are discussed in an ad hoc manner across the programme team; however, there are no dedicated (or documented) logging activities for capturing constraints and dependencies in particular.</p> <p>The negative impact of this is somewhat mitigated through the current programme team support from both employment and health related leads within the ESC directorate; However, once a Delivery Manager and Project Manager posts are recruited, a more robust process for ensuring these programme elements are actively managed will be required.</p>	<p>Now that the funding agreement between both ADPs and the programme baseline has been agreed by all parties, the programme team should carry out an exercise to effectively log Assumptions, Constraints and Dependencies.</p> <p>These logs should then be regularly reviewed as part of the future Steering Group activity to ensure they are being effectively managed.</p> <p>Responsibility for creating and maintaining these logs should be detailed within the programme Operational Manual, in lieu of an approved business case for the programme.</p>	Y	L	31/01/24
	Risks	<p>The programme Risk Register has been produced on a bespoke ESC headed document, rather than the WMCA standard template available.</p> <p>There is also a lack of version history demonstrated within the programme Risk Register, with the latest risk item entered onto the register in August 2023. At the time of this Health Check there were 3 open risks on the register.</p> <p>Given the lack of version history combined and no formal minutes of programme team meetings available, reviewers cannot be satisfied that programme risks are being managed as effectively as possible. Without an adequate level of risk detail, there is also potential that any Programme Management controls are not being effectively deployed.</p> <p>Without a more considered and documented view of the TiW risk profile, programme decision makers do not have the suitable level of information to manage programme risks continuously and proactively, which will in turn decrease the chances of successful delivery.</p>	<p>Work with the WMCA Risk Manager to complete a review of the programme Risk Register and Risk Management process, to include but not limited to:</p> <ul style="list-style-type: none"> Review the risk ratings of items and carry out an exercise to ensure all risks related to the programme, and mitigating action are captured Themes detailed within the WMCA Risk Management Framework should be used during this review to ensure appropriate risk types are fully considered. Transition the programme Risk Register to the WMCA standard, to ensure all necessary risk fields and requirements are captured. Include a key risk around Single Points of Dependency and the impact of those. This is reflective of previous resourcing arrangement for the programme team, as described in engagement meetings. Consider after the risk identification exercise whether any risks should be escalated to the corporate Risk Register. Consider ADP risks and implement a process for ensuring these are routinely reviewed by the programme 	Y	H	Ongoing	

		<p>As per the Operational Plan, ADPs are responsible for creating and holding individual Risk Registers, which the WMCA retain the right to request. The programme team do not hold copies of these registers, but would be prepared to use as a mechanism in order to assist in performance management approach of ADPs, where that may become necessary. This is a missed opportunity, not just to gain insight of both ADPs perspective of programme risk, but also enabling ADP risk escalation where appropriate.</p> <p>The programme team was in receipt of both signed Funding Agreements at the time of the Health Check. However, no risk items were included within the register which identified the intrinsic risk of those Funding Agreements not being returned. Although this would now be seen as a closed risk, its absence suggests the risk management process is not as robust as it could be for this programme.</p>	<ul style="list-style-type: none"> • Ensure there is a dedicated forum/agenda item, both on an interim basis (current) and following the implementation of the Steering Group, for the consideration and management of programme level risks. • Detail when and where risks will be regularly discussed, reviewed, and escalated for both scenarios. For internal benefit provide those details within the Operational Plan. 			
	<p>Planning & Scheduling</p>	<p>Processes for the delivery of programme outputs are working effectively, including Monitoring and Evaluation, reporting, claims and payment cycles. Furthermore, the Programme Schedule is mutually understood between WMCA and ADPs.</p> <p>However, there is no coherent exit strategy for the ADPs, which will be vital for the WMCA to effectively close the programme and monitor the achievement of benefits. The Operational Plan outlines the responsibility for the creation of exit strategy falling to the ADPs; however, these must still be assessed by the WMCA for appropriateness.</p> <p>There is a lack of documented handover planning across the programme. Currently the programme is operating under a form of 'continuity plan', whilst key programme team roles are still vacant. The programme is performing well, however there is a potential risk of ineffective knowledge transfer and retention during this period. There is a need to safeguard programme intelligence.</p>	<p>Develop Exit Strategy plans/documents with ADPs, and the process of formal review for their appropriateness. Given that the programme's current phase will end with the 2024/25 fiscal year at the latest, preparatory work should begin in earnest.</p> <p>Develop a more robust process for programme handover activity. This will need to effectively consider all key programme posts and will protect the WMCA in a scenario where personnel were to leave the programme environment.</p> <p>Linked to Risk Recommendation (2) [bullet point 4] of this report, where mitigation activity dictates, include plans for management of SPODs. This should be included within the Operational Plan.</p> <p>Whilst considering the wider Planning and Scheduling theme for programme activity, attention should also be given to the scenario where the programme were to continue past the current end date. The programme team may wish to invite the retender of ADPs, dependent on overall performance. In the context of further devolution arrangements, it is possible that additional funding could be redeployed to the TiW programme and/or the preservation of key programme activities beyond 2024/25, which may warrant a revised procurement approach for ADP selection.</p>	Y	L	29/03/24

4.	Organisation Capability & Culture	<p>Although there are provisions in place for escalation and key programme decisions to be taken, the implementation of a dedicated Steering Group to make and report key programme decisions, is planned for the programme.</p> <p>The Steering Group is not yet formed and no definitive timeline for this action could be provided at the time of the Health Check. No Terms of Reference (ToR) for the proposed Steering Group were available for review, although it is acknowledged that efforts to move the Steering Group formation forward had been impacted by external factors, such as wider planned changes to governance and decision-making processes across the directorate.</p>	<p>Develop and agree ToR for the programme's Steering Group, to facilitate convening regular, formal programme meetings, so that dedicated decision-making arrangements are clear and documented.</p> <p>Work with the Programme Assurance and Appraisal Team (specifically Serena Dhanoa-Rashid the Programme Appraisal Manager) to include detail within the ToR of how the Steering Group will manage Change Requests and how this aligns to the WMCA Change Control process and defined accountability and responsibility. This is especially important where the DWP may wish to revise its expectations around programme delivery, which it retains the right to do so.</p> <p>Define within the ToR the alignment of the Programme Steering Group and the following:</p> <ul style="list-style-type: none"> Proposed Health Equity Advisory Council to be chaired by the mayor. ESC Designated Sign Off (DSO) meeting. Programme Board (being implemented by the WMCA Governance team). 	Y	M	31/01/24
5.	Organisation Capability & Culture	<p>It is clear when considering various phases of the programme to date, that there are key lessons and insights of value to be collated. Examples of this nature include:</p> <ul style="list-style-type: none"> the creation and application of back-to-back funding agreements; ADPs proceeding into delivery on behalf of the WMCA without fully robust agreements; and the management of that delivery for example. <p>Insights from the delivery of prior TiW phases, will likely have a wider application on other ESC programmes of delivery, including the TiW's approach taken to monitoring, evaluation and reporting process.</p> <p>The WMCA approach to these elements has been identified as 'Best Practice' by DWP and subsequently rolled out, as the chosen approach to other TiW programmes nationally.</p>	<p>Create a dedicated Lessons Learned Log for the Programme.</p> <p>Allocate and agree an appropriate forum to populate, review and take responsibility for this Lessons Learned log. This would likely be the proposed Steering Group.</p> <p>Include any pertinent detail into the newly development log, following the DWPs local review of the Programme, which took place in late November into early December 2023.</p>	Y	L	31/01/04

6.	Finance	<p>The programme team are in the process of developing a formal Change Request to be progressed through the SAF. This was delayed until the return of both Funding Agreements, which contain output profiles.</p> <p>A draft version of the Change Request report was reviewed during the Health Check which appeared to highlight a financial discrepancy between the total funding available to the programme, when compared with other programme documentation.</p>	<p>Work with Finance colleagues to clarify the programme surplus of circa £59k over the two remaining fiscal years, when reconciling the maximum ADP payment allocations within both the agreed Funding Agreements and WMCA programme management top slice figure.</p>	Y	L	15/04/24
7.	Performance	<p>Although it is acknowledged that ADPs are contributing to a programme which is essentially performing above target (to date) in terms of outputs, the TiW programme understanding of Outcomes and Benefits is not well documented.</p> <p>Currently, Outputs are being achieved, to the satisfaction of DWP who designed the scope of the programme, and which follows tried and tested methods to engage with those out of work; however, the Benefits are not being captured.</p>	<p>Work with the WMCA Business Improvement Team (specifically, Jaspal Seehra - Performance Manager) to create a dedicated Benefits Realisation Plan for the Programme.</p> <p>This will need to consider the programme Logic Model (TiW – theory of change), and Case Data within the Programme Dashboard around the TiW users longer term.</p>	Y	M	Ongoing
Page 49	Stakeholder Comms Engagement	<p>No evidence was found of any WMCA led engagement with target groups or users of the TiW service. There was some limited user information contained within the live dashboard.</p> <p>User experiences and qualitative feedback would provide beneficial information for lessons learnt (linked to recommendation 5 above) and future strategic propositions.</p>	<p>Consider opportunities to gather more qualitative data directly from service users and target groups. This could be fed into the live dashboard, as necessary.</p>	Y	L	29/02/24

SRO response:**1. Client Scope**

These key logs will be developed to be used on an ongoing basis throughout the remainder of the programme. In the absence of an original Business Case, from which some of the key programme level assumptions would have been drawn, the logs will reflect high level themes. Once developed, their ongoing review can be included in the future IPSPC accountable body or steering group's agenda. Development of these logs will begin by end of January 2024.

2. Risks

The risk register format currently used by IPSPC is the ESC template which has been signed off. Work has also commenced across ESHC Directorate regarding improved risk management. The Project Manager responsible for this workstream will be arranging update and development training with Peter Estrella for all programme leads to ensure parity of risk identification, assessment, scoring and management.

The newly formed ESHC Performance Panel made up of Exec Director ESHC, Senior ESHC Officers and Corporate M&E representation will review red rated programme risks at the quarterly panel sessions. Programme level risks are also included within the Directorate DSO which meets monthly and has attendance from Legal & Finance present.

Moving forward, there is an opportunity to request submissions of ADP Risk Registers as referred to in the Operational Plan. These will be submitted on a quarterly basis alongside ADP's quarterly funding claims. These will take the same format as is included within other programme's quarterly submissions. ADPs will be notified of this in January 2024, with the first formal submission taking place for Q4 (15th of April 2024).

3. Planning & Scheduling

The development of an Exit Strategy and associated plans and documents with ADPs will form the first part of the Delivery Manager's workstreams once they are recruited. Raising this with ADPs at this stage may instigate queries regarding future funding availability, which we are not in a position to confirm at this stage. As the work on single settlement develops a clearer picture can be provided. In the interim the newly appointed Delivery Manager can support commencement of this work with ADP's around contingencies, participant management and any changes to communication with external stakeholders.

4. Organisation Capability & Culture

A draft TOR for the steering group has been developed, however work is now underway to adapt this to better align to other steering groups currently under development across the WMCA. There is an opportunity to merge existing concepts for an IPSPC steering group and a 'labour market participation and into work support' thematic panel to avoid duplication and enable synergy across the WMCA. The provisional working title for this group will be 'Health and Labour Market Participation Panel' and members will primarily focus on its eponymous themes. Once this is further developed, work can get underway with the programme assurance team to ensure relevant detail regarding change requests is included in the ToR.

5. Organisation Capability & Culture

Please refer to point 1.

6. Finance

The surplus of circa £59k has been identified to WMCA finance and has primarily arisen from a slight difference between the internal IPSPC budget for 2 years and the original high level budget profile submitted by WMCA to DWP as part of the bidding process. There is an opportunity for this £59k to be reprofiled into the IPSPC budget to ensure all available funding is invested into the programme. An approach for managing this surplus will be agreed by the time of the Q4 WMCA Spend Claim submission to DWP.

7. Performance

Work has already commenced across ESHC Directorate on benefits realisation across programmes, headed up by Lisa Hamilton, Senior Delivery Manager Projects & Programmes, Wil Tonkiss, Insight and Performance Manager and Miguel Silva, Senior Delivery Manager Adult Education, in line with moving towards the single settlement. This work for Thrive into Work IPSPC will form part of the wider scope and therefore an update will be provided to the Assurance team at the next follow up point.

8. Stakeholder Comms Engagement

Some qualitative data is collected across the programme through the form of case study submissions by ADPs monthly. There is an opportunity to work more closely with the communications team to fully utilise these case studies, as well as build insights from them into ongoing reporting. An evaluation of the IPSPC programme will also get underway in year 2 of delivery and will include a focus on collection of qualitative data through interviews, workshops, and other methods. A strategy for utilising qualitative data will get underway in the new year, commencing by 29th February 2024.

4. Acknowledgements

The Assurance Team would like to thank everyone who participated in this Health Check for their support and openness, which contributed to their understanding of the Thrive into Work Programme, and their review of the findings/recommendations presented to them.

The Assurance team would like to specially mention Ethan Williams for providing all required documentation for the review, being the main point of contact, and for the timely responses to queries from the Assurance team throughout the process. During the engagement meetings, all programme stakeholders provided positive feedback and high praise of Ethan and it was recognised by the Assurance team that Ethan is a valuable and dedicated Thrive into Work programme lead.

5. Next assurance review

It is recommended that a follow-up review to be held with both the Programme Delivery Manager and Project Manager (once in post), in order to assess progress with agreed recommendations, and agree any subsequent action.

Where these are key programme posts are not recruited to, or the planned approach to the management of programme activity has changed, a suitable substitute/s from within the Economic Delivery, Skills, and Communities (EDSC) Directorate, will be agreed between the Programme Assurance Team and Lisa Hamilton (Senior Delivery Manager, Projects, and Programmes).

The follow-up review will take place on Wednesday 17 April 2024

ANNEX A - List of programme stakeholders and SMEs who had an input into the assessment

The following stakeholders were consulted during the Health Check:

Name	Organisation and role
Ethan Williams	WMCA, Monitoring and Evaluation Officer
Mani Dogra	WMCA, Management Accountant
Phil Cole	WMCA, Finance Business Partner
Lisa Hughes	WMCA, Delivery Manager – Projects & Programmes, Employment and Skills
Sarah George	Shaw Trust, Regional Manager [<i>Delivery Partner – LOTS 2,3,4</i>]
Will Pemberton	WMCA, Procurement Lead Officer
Tatum Matharu	WMCA, Strategic Lead for Health Inequalities
Peter Geach	WMCA, Interim Business Partner Solicitor
John Hall	WMCA, Senior Delivery Manager – Employment and Skill

ANNEX B - List of evidence reviewed

The following pieces of evidence were reviewed during the Health Check:

Evidence reviewed	Date Evidence received
2023.10.19 Thrive into Work IPSPC Grant Funding Agreement - Black Country Healthcare NHS Foundation Trust [MS WORD via SHAREPOINT]	13/11/23
23.25 KPI Dashboard 091123 (LIVE) [MS EXCEL via SHAREPOINT]	13/11/23
BCWB HC 125 Shaw Trust TiW full-length-standard-contract-22-23-particulars. v0.2 (002) [MS WORD via SHAREPOINT]	13/11/23
BCWB HC 324 BCHFT TiW full-length-standard-contract-22-23-particulars. v0.2 (00B) [MS WORD via SHAREPOINT]	13/11/23
Black Country Healthcare Data Sharing Agreement v1 [MS WORD via SHAREPOINT]	13/11/23
DWP IPSPC MI & Spend Return Template [MS EXCEL via SHAREPOINT]	13/11/23
IPSPC Delivery Guidebook_V2.0_18.04.2023 (3) [MS WORD via SHAREPOINT]	13/11/23
IPSPC Grant Funding Agreement - West Midlands Combined Authority [MS WORD via SHAREPOINT]	13/11/23
Schedule 2 Operational Plan [MS WORD via SHAREPOINT]	13/11/23
Shaw Trust Data Sharing Agreement v1 [MS WORD via SHAREPOINT]	13/11/23
Thrive into Work - Theory of Change [PDF via SHAREPOINT]	13/11/23
Thrive into Work IPSPC Governance Structure [MS POWERPOINT via SHAREPOINT]	13/11/23
Thrive into Work IPSPC, WMCA Roles and Responsibilities v2[MS WORD via SHAREPOINT]	13/11/23
TiW IPSPC Funding Agreement - Shaw Trust [PDF via SHAREPOINT]	13/11/23
TiW IPSPC Stakeholder Register [MS EXCEL via SHAREPOINT]	13/11/23
WMCA IPSPC Monthly MI Template [MS EXCEL via SHAREPOINT]	13/11/23
WMCA IPSPC Quarterly Claim Template [MS EXCEL via SHAREPOINT]	13/11/23
WMCA TiW IPSPC 23.25 Demographic Data Report - Q1 [PDF via SHAREPOINT]	13/11/23
WMCA TiW IPSPC 23.25 KPI Dashboard Report - Aug23 [PDF via SHAREPOINT]	13/11/23
WMCA TiW IPSPC 23.25 KPI Dashboard Report - July 2023 [PDF via SHAREPOINT]	13/11/23
WMCA TiW IPSPC 23.25 KPI Dashboard Report - Sept23 [PDF via SHAREPOINT]	13/11/23
WMCA TiW IPSPC 23.25 New KPI Dashboard Report - Headlines April23 [PDF via SHAREPOINT]	13/11/23
WMCA TiW IPSPC 23.25 New KPI Dashboard Report - June 2023 [PDF via SHAREPOINT]	13/11/23
WMCA TiW KPI DASHBOARD - May 2023 [PDF via SHAREPOINT]	13/11/23
TiW IPSPC ICB Underspend EW 241023 [MS EXCEL via SHAREPOINT]	14/11/23
Appendix A. TiW (2018-2023) Previous Programme Outline [MS WORD via SHAREPOINT]	14/11/23
Project [<i>Programme</i>] level Risk Register - Thrive Into Work [MS EXCEL via SHAREPOINT]	14/11/23
TiW IPSPC - SAF Change Form EW 040823 [MS WORD via SHAREPOINT]	14/11/23

It is important to note that documentation shown as accessed 'via SHAREPOINT', is subject to change from when previously accessed by reviewers during the Health Check process.

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