

REPORT TO EXECUTIVE

PORTFOLIO AREA:

PROMOTING CARLISLE / FINANCE & PERFORMANCE MANAGEMENT

Date of Meeting: 17th December 2007

Public Yes

Key Decision: Yes

Recorded in Forward Plan: Yes

Inside Policy Framework

Title: CARLISLE RENAISSANCE
NWDA FUNDING APPLICATION (REVENUE)
Report of: Director of Carlisle Renaissance
Report reference: CE45/07

Summary: The City Council has been invited to submit a detailed funding application to the Northwest Development Agency for revenue funding to support Carlisle Renaissance. This report highlights the key features of this application and provides an update on activities supported by 'pre-approval' funding, which was awarded to the City Council pending the submission of the detailed application.

Recommendations:

The Executive Committee is requested to: -

- a) Approve the detailed funding application
- b) Note progress on the delivery of 'pre-approval' funded activities.

Contact Officer: Ian McNichol

Ext: 7399

Note: In compliance with section 100d of the Local Government (Access to Information) Act 1985 this report has been prepared in part from the following papers: None

1. INTRODUCTION

- 1.1 At its meeting on 28th August 2007 the Executive Committee (CE 34/07) endorsed an outline funding application to the Northwest Development Agency for revenue funding to support Carlisle Renaissance. This outline application was approved and a detailed funding application has now been prepared.
- 1.2 This report highlights the key features of the detailed application and provides an update on activities supported by 'pre-approval' funding, which was awarded to the City Council pending the submission of the detailed application.
- 1.3 The detailed application will be subject to appraisal and considered for approval at a future meeting of the Project Review Group of the Northwest Development Agency. Any subsequent offer of funding will be subject to a grant agreement with the City Council.

2. DETAILED APPLICATION

- 2.1 A copy of the detailed funding application is attached as an Appendix to this report. The table below summarises the overall activity and funding profile.

	Funding (£000's)			
	2007/08	2008/09	2009/10	Total
City Centre Regeneration Schemes				
Development & Valuation Services	60	400	300	760
Technical Studies	40	500	100	640
Historic Core	30	100		130
Marketing	50	50		100
Citywide Movement Schemes				
South West Inner Relief Route	10	62		72
Lowther Street / Eastern Approaches	10	64		74
Traffic Modelling	20	60		80
Delivery				
Team	115	303	310	728
Outline Business Case	50			50
Establishment Costs		200		200
Action Planning		50		50
Total	385	1789	710	2884

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2.2 The £2.884m of Northwest Development Agency funding will be ‘matched’ by existing approved funding of £0.711m from the City Council and other public sector organisations to give a total fund of £3.595m.

2.3 City Centre Regeneration Schemes

2.3.1 This application is seeking funding to: -

- Prepare detailed development briefs for the Rickergate, Caldew Riverside and Citadel regeneration areas and associated technical studies and site investigations and the subsequent procurement of development partner(s).
- Identify and assess options for re-integrating Carlisle Castle into the Historic Quarter.
- Marketing materials and associated activities to promote the City Centre Development Framework and investment opportunities arising from the Carlisle Economic Strategy.

2.4 City Wide Movement Schemes

2.4.1 This application is seeking funding to: -

- Identify and assess options for a South Western Inner Relief Route and for reducing through traffic in the Lowther Street area
- Undertake traffic modelling for development and infrastructure proposals in the City Centre and across Carlisle

2.5 Delivery

2.5.1 This application is seeking funding to: -

- Establish a mechanism for the future delivery of Carlisle Renaissance and the priorities of the Carlisle Economic Strategy.
- Supplement and strengthen the existing delivery capacity in programme and project management

2.6 Funding for some of the activities set out above was ‘pre-approved’ by the Northwest Development Agency (see section 3) and work has already commenced.

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3. 'PRE-APPROVAL' FUNDING

- 3.1 In July 2007 the Northwest Development Agency agreed to fund a series of activities in the outline funding application pending the submission of the detailed application. The table below summarises the 'pre-approval' funding and activity profile reported to the Executive Committee at its meeting on 28th August 2007 (CE 34/07)

Activity	Funding (£000's)			
	2007/08	2008/09	2009/10	Total
Development Manager	60	63	66	189
Development & Valuation Services	100			100
Appraisal of Delivery Mechanisms	50			50
Marketing	50			50
Total	260	63	66	389

- 3.2 A *Development Manager* has now been appointed under a 3-year secondment agreement with the NWDA. A brief has been prepared for the provision of *development advice and valuation services* in respect of the Rickergate, Caldew Riverside and Citadel regeneration areas.
- 3.3 This work will assess in detail the options for implementation across the three areas including how the long term requirements of public sector organisations are to be met and the need for and scale of any future public sector funding that may be necessary to secure implementation.
- 3.4 The *appraisal of delivery mechanisms* for Carlisle Renaissance is being led by a Task & Finish Group with the support of consultants Genecon and legal advisors Eversheds. The work of this group was the subject of a Members Briefing on 27th November 2007 and the Group's final report (in the form of an Outline Business Case) and recommendations arising from it will come to Executive Committee at its meeting on 21st January 2008.
- 3.5 A brief for the provision of *marketing* materials for the City Centre Development Framework will be commissioned w/e 21st December 2007. New materials, including a brochure, CD ROM, event display etc. will be available in March 2008 as part of a campaign to increasing awareness amongst property investors, developers, agents and other property market intermediaries.

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4. CONSULTATION

4.1 The following have been consulted in the preparation of the funding application: -

- Carlisle Renaissance Cross Party Working Group
- Corporate Resources Overview & Scrutiny Committee
- Cumbria County Council
- Cumbria Vision
- Northwest Development Agency
- English Heritage
- English Partnerships

5. RECOMMENDATIONS

5.1 The Executive Committee is requested to: -

- a) Approve the detailed funding application
- b) Note progress on the delivery of 'pre-approval' funded activities.

6 REASON FOR RECOMMENDATIONS

6.1 To enable the detailed funding application to be submitted to the Northwest Development Agency

7. IMPLICATIONS

- Staffing/Resources – This report makes reference to the appointment of additional staff by the City Council subject to funding approval by the Northwest Development Agency. The implications of any new delivery mechanism for Carlisle Renaissance on staffing/resources will be identified through the work of the Task & Finish Group and reported to the Executive Committee at its meeting on 21st January 2008.
- Financial – The City Council has approved a revenue budget of £0.34m per annum for Carlisle Renaissance from 2005/06 to 2008/09 and this is identified in the detailed funding application as 'match' funding.

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Any further financial implications arising from the establishment of any new delivery mechanism for Carlisle Renaissance will be identified through the work of the Task & Finish Group and reported to the Executive Committee at its meeting on 21st January 2008. These will need to be considered in due course as part of the City Council's corporate financial planning activities and on-going work to redirect resources to support its priorities.

Should the conditions of any grant offer made as a result of the funding application be considered as acceptable by the City Council, systems to monitor and report the delivery of the requirements against actual expenditure incurred will need to be set up as per the corporate procedure. There is a risk of clawback should the conditions of any grant offer not be met and/or the paperwork be accurately completed to deadlines.

- Legal – The Council has power under Section 2 of the Local Government Act 2000 to do anything which it considers likely to achieve the promotion or improvement of the economic, social or environmental wellbeing of all or part of its area or some or all of its residents, provided that it has regard to its community strategy when determining whether to exercise these powers. These funding application is tied in to furthering the objectives of Carlisle Renaissance and improving the wellbeing of the City and so should be capable of being pursued using the powers referred to above.

Initiatives relating to traffic and highway matters will require close liaison with the County Council as highway authority as ultimately the power to make any traffic orders to facilitate the highway works rests with that authority. Any proposals for a mechanism for the future delivery of Carlisle Renaissance will, once worked up, need to be formally approved by the Council and the other partners involved in implementing the Renaissance proposals. The Executive also needs to be mindful of the requirement to ensure compliance with the Council's Contract Procedure Rules and (if applicable) any EU tendering requirements in circumstances where the authority is directly procuring services.

- Corporate – Carlisle Renaissance is a corporate priority of the City Council and the activities outlined in this report are referenced in the City Council's Corporate Improvement Plan (2007/08 to 2009/10).

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- Risk Management – The detailed funding application includes a risk register specific to the activities for which funds are sought. Carlisle Renaissance is included in the City Council's Corporate Risk Register.
- Equality and Disability – The City Centre regeneration schemes referred to in the detailed funding application are included in the City Council's Development Framework & Movement Strategy Policy Statement. This policy statement stipulates that City Centre services should be inclusive and easily used by all people without undue effort, special treatment or separation.
- Environmental – Proposals for movement schemes referred to in the detailed funding application are intended to address the air pollution impact of traffic congestion and promote an increase in the use of public transport, walking and cycling.
- Crime and Disorder – The Development Framework & Movement Strategy Policy Statement stipulates that the design of the public realm and the built environment should promote community safety and promote a sense of ownership and responsibility amongst residents, visitors and the business community.
- Impact on Customers – The detailed funding application includes a range of project activities designed to generate regeneration benefits for the resident and business community including new employment and business opportunities, an improved environment and a wider range of facilities and services accessible to all.

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APPENDIX A

DETAILED FUNDING APPLICATION (REVENUE)

NORTHWEST DEVELOPMENT AGENCY

Note: In compliance with section 100d of the Local Government (Access to Information) Act 1985 this report has been prepared in part from the following papers: None

Single Programme Development & Appraisal Form

Please refer to the guidance notes attached when completing this form

Project Name: Carlisle Renaissance – Core Costs	Project Number: X00361PR
Project Applicant: Carlisle City Council	
Summary description of Project: This application seeks NWDA funding of £2.884m to enable the City Council and its partners to bring forward proposals for the revitalisation of Carlisle City Centre and its transport infrastructure and to establish a new delivery mechanism to implement Carlisle's economic growth priorities. This funding will be used to: - <ul style="list-style-type: none"> Procure development partner(s) for major development schemes in the three City Centre regeneration areas of Rickergate, Caldew Riverside and Citadel Prepare a plan for re-integrating Carlisle Castle into the Historic Quarter of the City Centre Market investment opportunities arising from the City Centre Development Framework and the Carlisle Economic Strategy Undertake preliminary studies on a South Western Inner Relief Route and other options for reducing though traffic in the City Centre and improving traffic management Establish a public/private partnership delivery mechanism and strengthen delivery capacity in programme and project management 	
Start Date: 1 February 2008	End Date: 31 March 2010
Delivery Body or Lead Organisation Name: Carlisle City Council	
Delivery Body or Lead Organisation Address: Carlisle City Council, Civic Centre, Carlisle CA3 8QG	
Lead Contact name: Tom Millar, Programme Manager, Carlisle Renaissance	
Telephone: Tel. 01228 817018 Mobile 07792 043901	Email: tomm@carlisle.gov.uk

For projects taking place in a single location:

Project Address (Where applicable): N/A
Postcode:
OS Grid Reference (e.g. SJ 604875):
Districts / Local Authority Area(s) Carlisle
Parliamentary Constituency Carlisle, Penrith & Borders

Area Status (Tick as many as applicable):

- | | | |
|---|---|---|
| <input type="checkbox"/> ERDF Objective 1 | <input type="checkbox"/> ERDF Objective 2 | <input type="checkbox"/> Greenfield site |
| <input checked="" type="checkbox"/> Transitional Area | <input type="checkbox"/> Coalfield Closure Area | <input type="checkbox"/> National Park |
| <input type="checkbox"/> Assisted Area | <input type="checkbox"/> Neighbourhood Renewal | <input type="checkbox"/> Housing Market Renewal |

For NWDA Use	
Lifetime cost of Project to NWDA £ 2,884,000	Total lifetime cost of Project £ 3,595,000

NWDA Project Sponsor: Andrew Sproat

RES Key Action: 55

Cost Centre: Indev

1: Give a brief description of the project, which clearly specifies what the Agency funding will purchase:

The activities for which funding is sought is focused on three themes: -

- City Centre Regeneration Schemes (£1.630m)
- Citywide Movement Scheme (£0.226m)
- Delivery Mechanism (£1.028m)

a. City Centre Regeneration Schemes

i) Development & Valuation Services (£0.740m)

To bring forward major development schemes in the Rickergate, Caldew Riverside and Citadel regeneration areas funding is sought for: -

- Site review and demand analysis (incl. options appraisals and guidance on public sector accommodation)
- Valuations (for all public sector and third party property with the three areas)
- An acquisition strategy (to seek to agree terms for the acquisition of property in the three areas)
- A compulsory purchase strategy (if required).
- Development and funding advice (incl advice on the procurement strategy and public sector funding)
- Development briefs and developer procurement (inc. managing the procurement process through to Heads of Terms)

A first phase brief for this work focusing on site review and demand analysis and valuation will be issued in December 2007 under the terms of a 'pre-approval' grant offer.

ii) Technical Studies (£0.640m)

Funding is sought for work in parallel to (i) on a series of technical studies that will inform the preparation of development briefs for the major development schemes and cover: -

- Topography, utilities, drainage and flood risk
- Archaeology, ecology and environmental sustainability
- Transport, highways and access
- Stock condition and architectural appraisal

iii) Historic Core (£0.130m)

Funding is sought to prepare a plan for the re-integration of Carlisle Castle into the Historic Quarter. Identified as a priority by the NWDA and English Heritage and included in the City Centre Development Framework, a preliminary study in 2006 identified a range of options for reducing the severance impact of Castle Way.

Subsequent to this, work on a new Historic Quarter Development Strategy has reinforced the need for a more holistic approach to this issue that focuses on improvement plans for the Castle, the

Cathedral, Tullie House and the wider public realm as well as the highways issues.



iv) Marketing (£0.100m)

Funding is sought to market investment opportunities arising from the City Centre Development Framework and the Carlisle Economic Strategy. A first phase brief for this work focusing on the Development Framework will be commissioned in December 2007 under the terms of a 'pre-approval' grant offer.

This will provide a suite of marketing materials including a brochure, CD-ROM, event display etc. for a campaign in early 2008 to raise awareness amongst property investors, developers, agents and other property market intermediaries.

This will be followed by a broader campaign linked to the priorities of the Carlisle Economic Strategy and the promotion of Carlisle as a place to live and invest. (alongside existing campaigns promoting Carlisle as a place to visit and study).

b. Citywide Movement Schemes

(i) South West Inner Relief Route (£0.072m)

A priority scheme in the Citywide Movement Strategy, funding is sought for a first phase feasibility study to identify and assess options to improve traffic movements through the inner south western quadrant of Carlisle with an emphasis on routing traffic away from the City Centre

The study will focus on the route corridor between London road/Botchergate and Wigton Road/Castle Way which is current characterised by congestion and poor air quality and options could range from the upgrading of junctions to a new link road.

(ii) Lowther St / Eastern Approaches (£0.740m)

A priority scheme in the Citywide Movement Strategy, funding is sought for a first phase feasibility study to identify and assess options for removing unnecessary traffic from Lowther Street and diverting traffic movement across the inner south eastern quadrant of Carlisle.

The study will consider ways to improve pedestrian access between the retail core and other uses on the eastern side of Lowther Street to maximise the benefits of traffic reductions.

Both (i) and (ii) will be informed by ongoing work to prepare a new bus improvement strategy and car parking strategy for Carlisle and the implications of proposals to reduce the severance impact

of Castle Way and re-integrate Carlisle Castle into the Historic Quarter.

(iii) Traffic Management Model (£0.080m)

Funding is sought to develop the existing SATURN traffic management model in order to progress:

- Transport, highways and access assessments for the major development schemes at Rickergate, Caldew Riverside and Citadel.
- The next phases of work on a South West Inner Relief Route and Lowther Street / Eastern Approaches
- Options for reducing the severance impact of Castle Way as part of a new plan for the Historic Quarter.

c. Delivery Mechanism

(i) Carlisle Renaissance Board (£0.150m)

A Task & Finish Group has been established to prepare the case for a special purpose vehicle or other such appropriate mechanism to lead and manage the delivery of Carlisle Renaissance. This group includes representatives of the Carlisle City Council, Cumbria County Council, Cumbria Vision, the Northwest Development Agency, English Partnerships and the private sector led Economy & Enterprise Group of the Carlisle Partnership, responsible for the preparation of the new Carlisle Economic Strategy.

Under the terms of a 'pre-approval' grant offer consultants Genecon and legal advisors Eversheds are retained by the City Council on behalf of the Task & Finish Group to prepare an Outline Business Case for a new delivery mechanism. This work will be completed in December 2007. Following stakeholder consultation and workshops a preferred model has emerged based on the establishment of a private sector led Carlisle Renaissance Board.

The operation of the Board would be based on a collaboration agreement between Carlisle City Council, Cumbria County Council and the Northwest Development Agency committing these organisations to support the functions of the Board and resources to operate a core delivery team. A draft Heads of Terms for the collaboration agreement has been prepared. Under this agreement it is anticipated that Carlisle City Council will act as the lead employer for the delivery team and discussions are ongoing concerning the role of Accountable Body for external funding to support project activity. The Outline Business Case will set out in detail the proposed governance, financial and operational management structure, the establishment process and programme and transitional arrangements from existing mechanisms.

Funding is sought to appoint suitably qualified and experienced consultants and legal advisors to enable the Task & Finish Group to oversee the establishment process including: -

- Completion of the Collaboration Agreement
- Securing financial commitments for a 3-5 year operational business plan
- Procedures for the recruitment and operation of the Board
- Recruitment of a Programme Director to lead the delivery team (see below)
- Advice on recruitment/secondment of other team members and any associated contractual and TUPE requirements
- Addressing the accommodation and operating procedures for the delivery team

The target date for the formal establishment of this new mechanism is April 2008

(iii) Action Plan (£0.050m)

The remit of the new Board and delivery team will be defined by a 3-5 year action plan within the context of the Carlisle Economic Strategy which is scheduled for formal adoption by the Carlisle Partnership in January 2008 and subsequently by Carlisle City Council, Cumbria County Council and other key public sector organisations.

A draft Action Plan has been prepared by the Economy & Enterprise Group of the Carlisle Partnership. It is proposed that representatives of this group together with members of a recently formed Private Sector Leadership Group will form a steering group to oversee the preparation of the Action Plan, identifying key short, medium and long term priorities, and defining projects to address these priorities together with arrangements for their funding and delivery.

The target date for the completion of the Action Plan is April 2008 after which it will be adopted by the Board who will then assume overall responsibility for its delivery. At this point the steering group will cease. Funding is sought to appoint suitably qualified and experienced consultants to enable the steering group to prepare the Action Plan.

(ii) Delivery Team (£0.728m)

The work of the Task & Finish Group to date has identified a gap in capacity relating to the delivery of development and infrastructure projects. The Economy & Enterprise Group of the Carlisle Partnership has identified initial priorities for the Carlisle Economic Strategy around the Place theme. This encompasses proposals for significantly increasing housing provision (to facilitate/accommodate population growth) and the availability of land and property for employment uses in identified growth sectors such as transport and logistics, business and professional services and advanced engineering, as well as the implementation of the City Centre Development Framework & Citywide Movement Strategy.

A Development Manager has recently been appointed by the City Council under a 3-year secondment agreement with the NWDA as part of the terms of a 'pre-approval' grant offer. In addition to this, funding is sought for the appointment of a Programme Director, a Movement Strategy Programme Manager and the retention of project management support for development and infrastructure projects.

The Programme Director would be employed by Carlisle City Council and responsible to the Carlisle Renaissance Board for the delivery of its priorities as set out in its adopted Action Plan. A draft job description and person specification is being prepared by the Task & Finish Group. The target date for the appointment of the Programme Director is April 2008. This role would supercede that of the Director of Carlisle Renaissance which is funded under a secondment agreement with English Partnerships and due to end in October 2008 and allow for a phased 'hand-over'.

The Movement Strategy Programme Manager would be employed by Cumbria County Council and responsible to the Programme Director for the management, co-ordination and implementation of agreed priority infrastructure projects in the Board's adopted Action Plan. A draft job description and person specification is being prepared by Cumbria County Council and the target date for appointment is April 2008.

Further project management capacity will be required to support the detailed delivery of development and infrastructure projects and address the gap in capacity in this area identified by the Task & Finish Group. This will be secured by way of an agreement between Carlisle City

Single Programme Development & Appraisal Form

Council and a suitably qualified and experienced project management company on a draw down basis linked to forecast workload and the needs of specific projects in the adopted Action Plan.

The Outline Business Case being prepared by the Task & Finish Group will set out how these new positions will be linked to existing positions within the Carlisle City Council delivery team (currently based on fixed term contracts due to expire in 2009/10) to form the new delivery team reporting to the Board and any proposals for extending the existing operational revenue commitments of the City Council.

Given the anticipated timetable for the appraisal of this funding application and securing any subsequent grant agreement, Carlisle City Council is seeking further 'pre-approval' funding from the NWDA of £0.200m to meet the target dates for the establishment of the Board, the completion of the Action Plan and sufficient budget cover to enable the recruitment of the Programme Director.

2: What are the project objectives (these should be **Specific, Measurable, Achievable, Realistic & Time-bound [SMART])?**

- To prepare development briefs, complete the associated technical studies, secure agreement on how public sector accommodation requirements will be met and procure development partner(s) for major development schemes in the three City Centre regeneration areas of Rickergate, Caldew Riverside and Citadel.
- To establish a plan that will set out the actions necessary and funding required to achieve the re-integration of Carlisle Castle into the Historic Quarter of the City Centre, including addressing the severance impact of Castle Way, extending proposed public realm improvements throughout the area and supporting the development of the Cathedral, Tullie House and other historic and cultural assets.
- To raise awareness of investment opportunities arising from the City Centre Development Framework within the property sector and growth opportunities for businesses and individuals arising from the Carlisle Economic Strategy.
- To progress proposals for the implementation of priority infrastructure projects including a South Western Inner Relief Route, reducing though traffic on Lowther Street/Eastern Approaches to the City Centre and provide the necessary tools to the improving traffic management and address the implications of major development in the three City Centre regeneration areas.
- To establish a Carlisle Renaissance Board to lead and manage the delivery of Carlisle Renaissance working to an agreed Action Plan with the support of a dedicated delivery team and other such resources necessary to implement specific priority projects over a defined timeframe.

3: Why is the project needed, why should it attract our support, and how would the project happen without our support?

The project is needed to take the Carlisle Renaissance programme to the next stage, moving from strategic development to delivery. The components of this project are essentially practical in nature and are key to the progress of physical development in identified transformational sites within the city centre.

Support is required to:

- To bring forward major development schemes in the Rickergate, Caldew Riverside and

Citadel regeneration areas.

- To deliver key preparatory work on a series of technical studies that will inform the preparation of development briefs for the major development schemes.
- To prepare a plan for the re-integration of Carlisle Castle into the Historic Quarter.
- To market investment opportunities arising from the City Centre Development Framework and the Carlisle Economic Strategy.
- To provide feasibility studies to identify and assess options to improve traffic movements through the City.
- To appoint suitably qualified and experienced consultants and legal advisors to enable the Task & Finish Group to oversee the establishment process of a Delivery Mechanism for Carlisle Renaissance.
- To provide project management capacity to support the detailed delivery of development and infrastructure projects.

The project should attract NWDA support for a number of reasons:

It will support the achievement of RES priorities (Transformation Action 55, Action 115) and reinforce policy statements such as Historic Towns & Cities.

The project is consistent with RSS and the Cumbria Economic Plan, is based on a thorough examination of demand and need in relation to the proposed City Centre Regeneration Schemes & City Wide Movement Schemes, supports the identified aspirations of the private sector and their stated desire for formal engagement in the delivery of Carlisle Renaissance.

The project builds on the activities in the Carlisle Renaissance Interim Programme, previously funded by the NWDA.

An absence of support from the NWDA would negatively impact on the pace of change and progress of the project, on continued support from the private and public sector and the resident community.

4: Who will benefit from the work of the project and how have they been involved in its design and development?

All project activity will take place within Carlisle district although the benefits are expected to extend beyond the authority boundary. Carlisle has 6 wards in the top 20% ID 2004 demonstrating pockets of deprivation in central, southern and western parts of the urban area. In addition, significant portions of the City's rural area are ERDF Objective 2.

Carlisle Renaissance has carried out comprehensive consultation with residents of Carlisle (2006 and 2007), this has focussed upon the production of the Development Framework & Movement Strategy, the development of an Economic Strategy for the City, managed by the private sector led Economy & Enterprise Group of the Carlisle Partnership and involving over 200 stakeholders and businesses. The emerging Historic Quarter Development Strategy and proposals for public realm and the built environment have included significant consultation of stakeholders, residents and visitors. The data provided by these various strands has informed the strategic planning and development of this project.

Consultation identified an aspiration for environmental improvements in the city centre and supported the development of Carlisle as a visitor destination. Stakeholder workshops held during the development of the Economic Strategy revealed an appreciation of the need to encourage inward investment and to promote development opportunities in order to energise the economy and stimulate growth.

5: Give details of any other organisations that will help to deliver the project:

Overall responsibility for project delivery is currently retained by Carlisle City Council and Cumbria County Council operating within the policy, legal, financial and democratic framework of the two organisations. A Programme Management Group has been established to oversee and manage the delivery of projects within this framework and includes representatives from the two Local Authorities, the Northwest Development Agency, Cumbria Vision, English Heritage and English Partnerships. This delivery structure will remain active until such time as the new delivery mechanism is established.

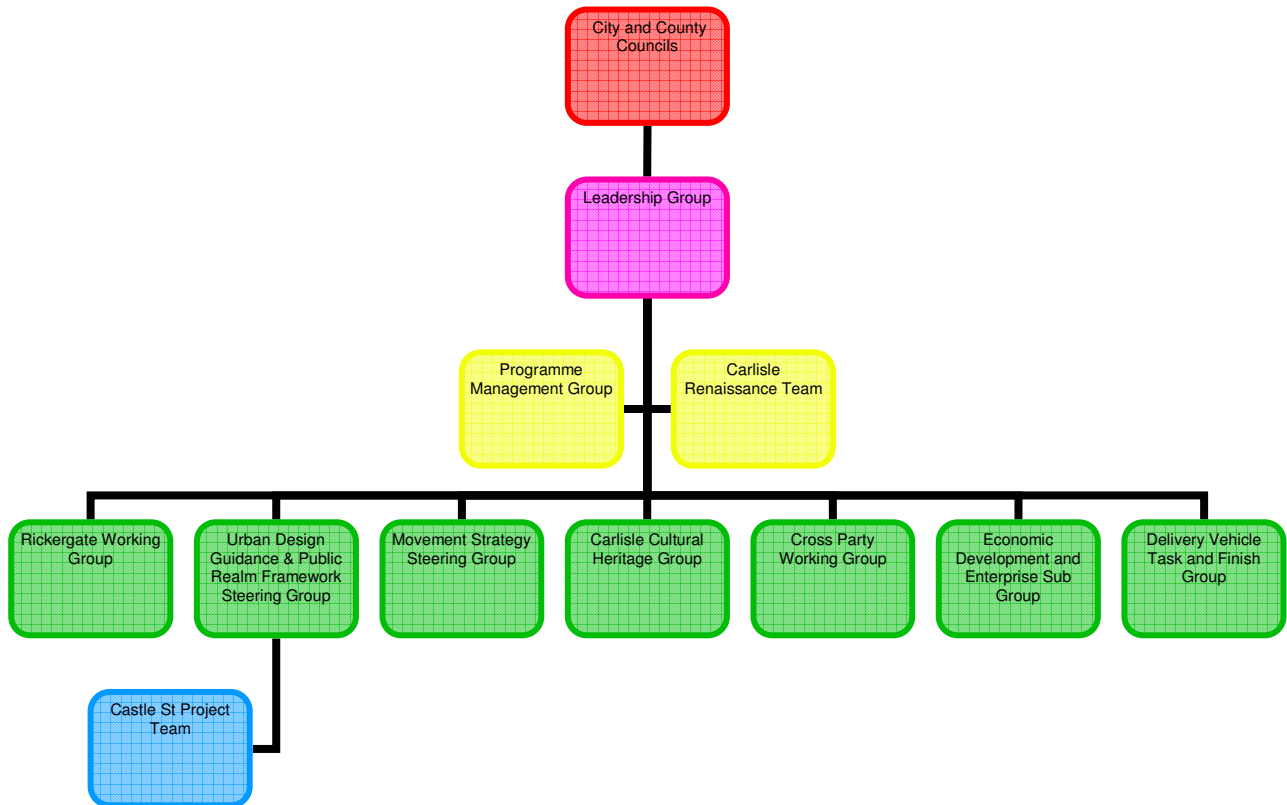
A Rickergate Working Group comprising of public sector occupiers in that area currently acts as a reference group for work on the development of proposals to date. A Task & Finish Group has been established to oversee the preparation of an Outline Business Case for a new delivery mechanism and this will oversee the establishment of the Carlisle Renaissance Board and the new delivery team.

The private sector led Economy & Enterprise Group of the Carlisle Partnership has overseen the preparation of the Carlisle Economic Strategy and this will combine with a recently established Private Sector Leadership Group to oversee the preparation of the Action Plan.

A number of specialist consultants will be required to assist with delivery including regeneration, business planning consultants, legal advisors, property advisors, transport planning consultants, heritage advisors, project managers and recruitment consultants.

6: Set out the project management arrangements you will use to ensure project delivery and compliance with the grant contract. Detail governance arrangements and details of controls that will be in place e.g. Risk, Issues, Change Control.

The existing governance and project management arrangements, which apply to projects already receiving NWDA funding support, are summarised in the diagram below. This will change subject to the proposals put forward by the Task and Finish Group in its Outline Business Case for a new delivery mechanism. However, the basic principles of Project Control and Risk Management will underpin any new mechanism.



All projects are delivered using Prince 2 Project Management methodology. The External Funding Officer, Carlisle City Council reports to the NWDA Project Sponsor, providing written reports and submitting claims for funding with supporting data regarding expenditure.

Project Controls

Project managers liaise with and report to the Programme Manager on a regular basis (frequency to be determined as the project progresses and according to need).

The Programme Manager is the principal contact with NWDA and reports to the Project Management Group at agreed stage boundaries and on an exception basis. Key reports to the Project Management Group include:

- Project Highlight Report
- Project Exception Reports
- Project Assurance Reports

There is provision for budgetary reports to be presented as required.

The NWDA receives progress reports, via the NWDA Project Sponsor on projects presented by Project Managers at key stages in the process.

Risk Management

Under current arrangements:

- As part of project management, separate Issues and Risk logs are maintained.
- Project Managers report any risks to the Project Manager as soon as they become aware of them and they work together to assess the risk, produce recommendations for managing the risk and make recommendations to the Programme Management Group.
- Project Management Group members advise the Programme Manager of any issues or risks, which they become aware of e.g. from factors external to the Project, as soon as they are aware of them for risk assessment and recommendations to be developed. The Programme Manager is responsible for project monitoring, which is carried out on an ongoing basis.

These arrangements will be reviewed in the context of emerging proposals for a new Delivery Mechanism.

7: Set out the key milestones in the project from inception to completion.

City Centre Regeneration

Development & Valuation Services

Phase 1 commission 02/08 to 05/08 (site review and demand analysis)

Phase 2 commission 05/08 onwards (acquisition strategy, development briefs)

Publish Contract Notice Stage1 Expressions of Interest – 09/08

Complete Development Briefs & Design Guides

Stage 2 Invitation to Tender – 11/08

Award lead developer contract 11/09

Technical Studies

Commission – 02/08

Completion – 09/08

Historic Core

Commission – 03/08

Highways modelling – 05/08

Outline designs – 07/08

Final report – 09/08

Marketing

Phase 1 Commission 12/07

Marketing Campaign 03/08-05/08

Phase 2 Commission 03/08

Movement Schemes

South West Inner Relief Route

Commission – 03/08

Option assessment – 06/08

Final report – 08/08

Lowther Street / Eastern Approaches

Commission – 03/08

Option assessment – 06/08

Final report – 08/08

Traffic Management Model

Commission – 02/08

Model completed – 06/08

Single Programme Development & Appraisal Form

Delivery Mechanism

Partner approvals – 03/08

Board selection – 03/08 to 05/08

Action Plan – 01/08 to 04/08

Programme Director appointment - 04/08

Movement strategy programme manager appointed – 05/08

8: What are the outcomes or impacts your project will help to achieve, specifically related to the RES Action(s) identified for this project (please list). Please include any economic, environmental or social outcomes/impacts.

- Private sector investment in facilities and services for businesses and the resident community.
- Investment in quality public realm
- Improved delivery capacity resulting from the establishment of a private sector led leadership group to drive forward Carlisle Renaissance.
- Raised awareness and understanding of the renaissance programme and emerging opportunity to investors, major property developers, commercial agents and, more locally, stakeholders and residents.
- Increasing both job and business creation and improving skill levels as a direct consequence of improved levels of investment and accelerated programme delivery.

9(a): You will need to identify how the aims of your project fit with the priorities of the NWDA. In the table below please identify which Regional Economic Strategy (RES) actions the project helps deliver, and how it does this

	RES Action No	Action description (from RES document)	How specifically does the project help to deliver this action, incl any area/theme focus (often shown by bullet points in the RES)?
Main RES action	Transformation Action 55	Capitalising on ongoing private investment around Chester, Lancaster and Carlisle	Project will facilitate private sector led delivery of high quality mixed-use development within the City Centre contributing strongly to key drivers for growth, closing the North West's GVA gap with the England average, increasing both job and business creation and improving skill levels.
Linked RES action	Action 115	Deliver sustainable growth through use of the region's heritage environments	The Historic Towns and Cities in England's Northwest study commissioned jointly by NWDA and English Heritage on the back of this RES Action identified a series of strategic development priorities for Carlisle capitalising on its medieval street plan to create the ambience of a highly attractive heritage city including: reducing the impact of the inner ring road which separates Carlisle Castle from the Town Centre, development of the Castle as a key destination with improved visitor facilities and creation of a Cathedral Quarter, mixing ecclesiastical buildings with new residential and leisure activity all of which are

addressed by this project.

9(b): How does your project fit with and contribute to other regional strategies, sub-regional strategies and the objectives and targets of the Sub-Regional Partnership Business/Action Plans?

In spatial terms the draft North West Regional Spatial Strategy (RSS) and the Cumbria Sub-regional Spatial Strategy identifies Carlisle as a 'regional City' in the regional spatial hierarchy. Carlisle is identified as a focus for major development with several specific RSS policies and statements relevant to the City:

Policy W6 – Tourism and the Visitor Economy. Carlisle, Bolton, Birkenhead and Lancaster are identified as destinations with emerging potential for heritage related tourism development where tourism supports and compliments their status as historic towns and cities.

Policy CNL1 – Overall Spatial Policy for Cumbria Plans and strategies in Cumbria will: Focus major development within Barrow, Carlisle and West Cumbria (Whitehaven, Workington, Cleator Moor and Maryport);

Policy CNL2 – Sub-area Development Priorities for Cumbria. Building on Carlisle City's significant potential to attract development into Cumbria, as set out in the Carlisle Renaissance Prospectus. The City will enhance its role as the sub-regional centre for business, commerce, higher education, shopping, leisure, culture and tourism whilst paying due regard to the historic City Centre

North Cumbria – provision of sufficient new residential development to support the economic growth and regeneration of Carlisle, while ensuring that the local and affordable housing needs of rural communities can be met elsewhere.

Policy W5 – Retail Development. The development of comparison retailing facilities should be enhanced and encouraged in the City.

In terms of Sub Regional Policy the Cumbria Sub Regional Action Plan developed by Cumbria Vision identifies Carlisle Renaissance as a major spatial and transformational project which can help address the economic challenges faced by the County. Growing Carlisle will contribute strongly to the 3 areas of priority and 4 cross cutting themes set out in the Cumbria Sub Regional Action Plan:

- Business, Enterprise and Employment
- Education and Skills
- Infrastructure
- The Rural Economy
- The Natural Environment
- Culture
- Health, Public Sector Services and the Third Sector

The consideration of longer term delivery arrangements for Carlisle Renaissance directly involving the private sector is consistent with emerging government policy outlined in the recent review of sub-national economic development and regeneration. The review reconfirms the role and importance of towns and cities as engines of growth and that the Government will support the development of city wide delivery mechanisms.

9(c): How does the project link to other activity in the geographical area?

Local Plan

The Rickergate, Caldew Riverside and Citadel areas are designated in the revised Local Plan as regeneration areas.

Development Framework and Movement Strategy (DF&MS)

The DF&MS contains specific proposals for revitalising the city centre and improving movement into and around the City.

Economic Strategy for Carlisle

The purpose of the Economic Strategy is to set out the vision and role of Carlisle within the Northwest and to provide the economic context for Carlisle Renaissance and to support its implementation. It sets out the priorities for the future economic development of Carlisle in the context of the RES, the Cumbria sub-regional strategy and other relevant local policy documents.

The Strategy's essential role is to:

- encourage investment, sustainable economic growth
- create good quality jobs
- address areas of deprivation and economic disadvantage.

The Strategy will identify key economic targets for adoption and monitoring by partners under the auspices of the Carlisle LSP.

Historic Core Development Strategy

Specifically the study will identify the key improvements that could be made over the next 10 years, and refine these into a detailed prioritised action plan to:

- Increase visitor numbers
- Increase economic activity (jobs)
- Develop specialist/niche markets
- Boost the image of Carlisle
- Increase the understanding; accessibility, enjoyment and value attached to the historic environment.

Urban Design & Public Realm Framework (UDPRF)

Currently being prepared for adoption as a Supplementary Planning Document to the Local Plan in early 2008. It includes the design and specification of public realm schemes at Court Square, Greenmarket/Market Cross, Historic Core and key corridors into the city centre along London Road/Botchergate and Bridge Street.

9(d) – How different is this project from other existing projects/activity in the area?

The activities proposed build on existing work to progress the renaissance agenda to the implementation of major schemes and establish a strong, effective and adequately researched delivery mechanism.

For NWDA appraisal use only**Strategic Fit:**

1. How and to what extent does the project fit with specific programme objectives, RES/Corporate plan objectives, sub-regional and local strategies?
2. Should the Agency be involved? Is it an appropriate activity for the RDA to support or is there another organisation better placed to support it?
3. Have all the appropriate links been made with the NWDA, sub-regional and local strategies and with other Agency initiatives or projects, as appropriate (including national strategy 'Securing the Future')?
4. Does the project fit the sub-regional priorities and is support of the SRP confirmed?

Rationale:

5. Are the aims and objectives of the project clearly identified?
6. What is the evidence of need or demand for this project (ie market failure)? Evidence should be specific and sourced. New studies may be required.
7. Do the outcomes/impact appear realistic or are they under/over ambitious? Will they help deliver the RES Action(s) identified? The impact on the RES Key Performance Indicators should be clear.

Management:

8. Are the roles and responsibilities of the project management team/accountable body clearly defined?
9. What previous experience/track record does the Delivery Organisation have in project management and/or in the delivery of NWDA funded projects?
10. Are the governance/management arrangements and financial controls in place appropriate to the size and complexity of the project?

Option Appraisal

10(a): Set out any alternative options that have been considered and why your favoured option provides the best value for money.

Option 1: Reference Case (Do nothing). What will happen if the project does not go ahead?	Without the project the necessary step-change in capacity would fail to materialise. The ability to deliver key components of the renaissance programme would diminish. Lost opportunities would accrue, in attracting investment and creating new employment to turn around the current low skills – low wage economy, in improving infrastructure and the environment and ultimately failing to progress the objectives of Carlisle Renaissance.
Option 2: Preferred option for the delivery of the project.	The components of this option are carefully considered and costed steps necessary to move the programme forward to delivery: <ul style="list-style-type: none"> - Procuring expertise to define options for a delivery mechanism and its subsequent establishment - Procuring technical & professional support to develop key transformational sites and comprehensive marketing. - Purchasing additional staffing resource combined with improved practical partnership working This option describes significant progress and best value for the renaissance programme.
Option 3:	Varying time & scale and changing locations or sites was considered and subsequently rejected. Transformational sites are prioritised and do not easily interchange if strategic benefits are to be sustained.
Option 4:	Varying the balance between outsourcing and providing additional capacity in-house was considered. It was concluded that in-house capacity to cover additional project requirements is not available.
Option 5:	Varying quality targets was also considered.. Implementation of this option would involve high risk on quality against minimal benefits on cost

10(b): What are the total costs of the alternative options?

	Option 1 £000's	Option 2 £000's	Option 3 £000's	Option 4 £000's	Option 5 £000's
NWDA	£0	£2884	£2884	£2345	£2884
Public	£0	£711	£711	£711	£711
Private	£0	£0	£0	£0	£0
Total	£0	£3595	£3595	£3056	£3595

10l: What are the gross and attributable key outputs of the alternative options?

Key Outputs	Option 1		Option 2		Option 3		Option 4		Option 5	
	Total	NWDA	Total	NWDA	Total	NWDA	Total	NWDA	Total	NWDA
1										
2										
3										

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10(d): What are the net additional outputs?

	Total Gross	Less Leakage	= Gross Local	Less Displacement	= Net Local	+ Multiplier	= Total Net	Less Deadweight (Option 1)	Total Net Additional
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Key output 1 (Jobs created or safeguarded)

Option 1									
Option 2									
Option 3									
Option 4									
Option 5									

Key output 2 (Business outputs)

Option 1									
Option 2									
Option 3									
Option 4									
Option 5									

Key output 3 (Skills outputs)

Option 1									
Option 2									
Option 3									
Option 4									
Option 5									

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1. Have all relevant options been considered? Are there more effective ways of achieving the same benefits and outcomes?

Preferred Option

2. Is there any available information on a similar project which can be used to benchmark unit costs of key outputs?
3. What is the proportion of NWDA to other public/private funding?
4. Does the preferred option offer the best VFM?

Exit/Forward Strategy

11: Explain what arrangements you intend to make once the NWDA funding comes to an end to ensure that the outcomes and other longer-term objectives are met? Please also give a brief outline of what the evaluation arrangements will be, including timescales.

The project comprises a series of time limited activities required to progress the delivery of city centre regeneration schemes, progress infrastructure proposals and establish a new delivery mechanism appropriate for the specific needs of Carlisle and the priorities of Carlisle Renaissance. Evaluation will be incorporated into an existing monitoring and reporting framework overseen and controlled by the Carlisle Renaissance Programme Management Group (PMG). Reporting arrangements (written, presentational and verbal) for this group are conducted on a monthly cycle. The membership and structure of the PMG is described within this document.

State Aid

12: Following the completion of the State Aid Checklist what issues have been identified and what is the opinion of the State Aid Coordinator with regard to the State Aid position?

This application does not have any state aid implications.

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End of project/scheme arrangements:

1. Are the forward strategy/exit arrangements satisfactory?

State Aid:

2. Have all the issues in the State Aid checklist been addressed?
3. Is the project eligible for funding?
4. Has the State Aid co-ordinator been contacted and involved as necessary?

Sustainable Development

The goal of sustainable development is to enable all people to satisfy their basic needs and enjoy a better quality of life without compromising the quality of life of future generations.

Please ensure you read the guidance before answering the questions in this section. A 'not applicable' answer is unlikely to be acceptable and must be justified.

13: Describe how your proposed project will impact, both positively and negatively on UK sustainable development principles and priorities during all phases of the project (design-development-delivery phases). The four sub-questions below are agreed UK sustainable development priorities. They are intended to assist you and should be referenced in your answer.

- a) How will the materials, goods and services used in your project be sustainably produced, procured and/or consumed?
- b) How will you reduce the emission of greenhouse gases generated as a result of your project, promote the use of renewable energy and take account of the future risks posed by climate change?
- c) Detail how the project will contribute to the protection and enhancement of the region's environment and minimise natural resource use and maximise resource efficiency.
- d) How will your project assist the development of sustainable communities?

Sustainability issues are a high priority for the City Council and Carlisle Renaissance. The project will be instrumental in generating future development which will adhere to sustainable development priorities and where possible will use recycled and locally sourced building materials and apply energy efficient construction methods.

Policies and procedures policies adopted by Carlisle City Council:

DP1 - Sustainable Development Locations
 DP2 - Regeneration
 CP4 - Design
 CP7 - Renewable Energy
 CP8 - Development, Energy Conservation and Efficiency

Where a full Integrated Appraisal has been undertaken, a summary of the appraisal should be attached as an Annex instead of completing this question.

A sustainability appraisal is currently being prepared for the Carlisle Economic Strategy.

14: The NWDA is committed to ensuring that all projects promote equality and diversity and that there are no negative impacts on disadvantaged groups. Please answer the following questions: (a): How will the programme or project promote diversity and further the aims of the Regional Equality Strategy? Please explain what policies and procedures you have in place to support equality and diversity and reduce the underlying causes of inequality.

The City Council has a range of policies and procedures in place to support equality and diversity and these policies have been deployed in every stage of development of the project and will be deployed in every stage of delivery.

(b): Is it likely there will be a negative impact on one or more minority or excluded groups or on race relations and community cohesion – or is it clear at this stage that it will be equality neutral? Please explain for which groups there is likely to be a negative impact, what this is likely to be and what plans will be built in to address this and promote a positive impact.

The City Council has a range of policies and procedures in place to support equality and diversity. The project will be equality neutral.

(c): Is a full impact assessment required?

Yes ☐

No X

Please explain the rationale behind the decision.

The City Council continually evaluates performance against its policies and procedures to ensure equality in terms of disability, race age, gender, religious belief, sexuality and trans-identity and other groups who may experience disparities in opportunity.

15: How will this project address the underlying causes of deprivation and/or reduce health inequalities?

Carlisle is a predominantly low wage economy. The Carlisle Economic Strategy has identified the need for intervention to support the development of growth sectors with the potential to provide higher value added employment opportunities. This includes the provision of high quality accommodation for:

- business and professional services
- cultural and creative industries
- incubation

The City Centre Development Framework includes proposals to provide this accommodation in the three major regeneration areas of Rickergate, Caldew Riverside and the Citadel as well as the Historic Quarter. Funding is sought in this application to enable these proposals to be implemented through the procurement of development partner(s) and a new plan for maximising the economic opportunities of the Historic Quarter.

16: How will your project tackle worklessness and increase economic activity in deprived areas?

Development briefs for the major regeneration areas will incorporate a requirement for potential development partner(s) to demonstrate that their proposals integrate initiatives to tackle worklessness, including those currently funded by the NWDA under the existing Interim Programme. This is supported by new planning guidance under preparation on S106 Agreements regarding developer contributions to training and other labour market initiatives.

17: How will this project impact on the levels and fear of crime in neighbourhoods and business areas?

Development briefs for the major regeneration areas will incorporate a requirement for potential development partner(s) to demonstrate that their proposals integrate the Safer by Design principles.

18: Will your project affect the rural areas or communities of the Northwest? If so:

- What will its social, economic and environmental impacts be?
- How does it fit with 'Rural Renaissance' (the Regional Rural Recovery Plan)?
- Does it have regard for the purposes of regions protected landscapes (if it impacts upon those specific areas)?

Carlisle is at the centre of a predominantly rural catchment and the City Centre provides the greatest single concentration of employment and services across the entire District. Proposals for the regeneration of the City Centre will increase the number of employment opportunities and broaden the range of services for the District in a location at the heart of the City-region transport network.

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Sustainability

1. Has the need for a Strategic Environmental Assessment (SEA Directive) or Environmental Impact Assessment been considered?
2. If the project involves construction or physical development, has the Constructing Excellence and Good Design guidelines/policy been applied?
3. Has a full Integrated Appraisal been completed?
4. Have the project applicants considered all positive and negative effects of the project over its whole duration, design-development-delivery phases and have all applicable sustainable development issues, positive and negative, been identified?
5. Where there is an environmental risk (eg flooding, pollution or contamination) has this been incorporated into the risk register (Q10)?
6. Has the project applicant identified the project's environmental & social outputs, outcomes and milestones, of the project? Have these been incorporated into Q6, Q7 and Annex 1 Tables 2&3 respectively?
7. Where applicable has the project applicant submitted a design statement to NWDA?
8. Are there any outstanding sustainable development issues to be addressed?
9. Have the relevant rural issues been considered?

Health and Social Inclusion

1. Have the equality and diversity issues been considered and understood?
2. Have differential impacts been considered?
3. If a full impact assessment is required, has this been completed?
4. Has economic inclusion been addressed/incorporated?

APPLICANT:	NWDA PROJECT SPONSOR:
Signed	Signed
Name	Name
Date	Date

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Outputs

Annex 1

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

Table 1: Gross Outputs:

Output indicator	2007 / 2008		2008 / 2009		2009 / 2010		2010 / 2011		2011 / 2012		Total	
	Total	NWDA	Total	NWDA	Total	NWDA	Total	NWDA	Total	NWDA	Total	NWDA
1: Jobs created or safeguarded	Number											
1(a) Jobs created												
1(b) Jobs safeguarded												
2: Employment support	Number											
2(a) Number of people assisted to get a job												
3: New businesses created	Number											
3(a) First time Inward Investment success												
3(b) Social Enterprises started up												
3l New Farm Enterprises created												
3(d) Other businesses created												
4: Business Support	Number											
4(a) Businesses engaged in new collaborations with UK knowledge base												
4(b) Businesses assisted through Manufacturing Advisory Service												
4l Businesses receiving SFI grants												
4(d) Businesses receiving R&D grants												
4(e) Successful new exporters and firms successfully assisted into new markets												
4(f) Number of businesses involved in supply chain projects												
4(g) Innovation support initiatives												
4(h) Businesses using RDA funded incubators												
4(i) Businesses assisted with management / leadership skills												
4(j) Businesses supported by Regional Investment Funds												
4(k) Businesses assisted with resource efficiency												
4(l) Businesses assisted with ICT												
4(m) Businesses assisted with corporate and social responsibility												
4(n) Participating in Passport to Export												
4(p) Involved in inward investment successes for expansion												
4(q) Inward investors receiving aftercare visits												
4(r) Number of businesses receiving Business Link Intensive Assistance												

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Output indicator	2007 / 2008		2008 / 2009		2009 / 2010		2010 / 2011		2011 / 2012		Total	
	Total	NWDA	Total	NWDA	Total	NWDA	Total	NWDA	Total	NWDA	Total	NWDA
5: Regeneration ~ public and private investment levered in support of infrastructure priorities												
	£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s
5(a) Reclamation or re-development of brownfield land ~ Public investment												
5(a) ~ Private investment												
5(b) Provision of tourism facilities ~ Public investment												
5(b) ~ Private investment												
5(c) Broadband Infrastructure ~ Public investment												
5(c) ~ Private investment												
5(d) New or upgraded business premises including incubators ~ Public investment												
5(d) ~ Private investment												
5(e) Renaissance programmes including public realm ~ Public investment												
5(e) ~ Private investment												
5: Other Regeneration	Number											
5(f) Ha brownfield land reclaimed or developed by use:												
(i) Industrial / commercial												
(ii) Housing												
(iii) Other hard end use												
(iv) Woodland												
(v) Other soft end use												
5(g) Number of Broadband connections												
5(h) M ₂ of floor space - new or upgraded business premises												
6: Skills	Number											
6(a) Number of adults achieving at least NVQ2 qualification												
6(b) Number of adults gaining basic skills as part of Skills for Life Strategy												
6(c) Number of adults undertaking work based training												
6(d) Number of adults gaining qualification at NVQ3												
6(e) Number of adults gaining Foundation Degree or higher												
6(f) Number of adults completing a vocational training course												

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6(g) Number of adults completing an apprenticeship programme												
6(h) Pupils under 16 who undertake vocational training outside statutory education												

Table 2: Additional outputs/indicators (gross)

Output	2007 / 2008		2008 / 2009		2009 / 2010		2010 / 2011		2011 / 2012		Total	
Please include any appropriate environmental or Equality Outputs/Indicators	Total	NWDA	Total	NWDA	Total	NWDA	Total	NWDA	Total	NWDA	Total	NWDA
1:												
2:												
3:												
4:												
5:												
6:												
7:												
8:												

Tables 3 and 4 should show the gross to net calculation for all relevant outputs.

Table 3: Calculate additionality for key outputs.

	Output 1	Output 2	Output 3	Output 4	Output 5	Evidence/explanation of calculations
Total Gross number (Table 1)						
Less Leakage (outside project area)						
= Gross Local effects						
Less Displacement / Substitution						
= Net Local Effects						
Plus Multiplier Effect						
= Total Net						
Less Deadweight (Reference case)						
= Total Net Additional (Table 4)						

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Table 4: net figures for all outputs in Tables 1 and 2 after taking account of additionality calculations (Table 3).

Output Indicator	2007 / 2008		2008 / 2009		2009 / 2010		2010 / 2011		2011 / 2012		Total	
Table 1	Total	NWDA	Total	NWDA	Total	NWDA	Total	NWDA	Total	NWDA	Total	NWDA
2:												
3:												
4:												
5:												
6:												
7:												
8:												
9:												
10:												

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- Do the outputs appear to be realistic and achievable or are they under/over ambitious?
- Do the outputs identified match the RES Action the project is addressing?
- Have all relevant environmental outputs been included?

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Annex 2

Funding

Use the tables to show all the costs of the proposal, including the money sought from the NWDA and other funders.

Table 1: Expenditure Summary (£000's):

Please specify all funders separately.

	Preliminary / Sunk Costs				2007 / 2008				2008 / 2009				2009 / 2010				Total			
Source	Capital	Res Inv	Rev	Total	Capital	Res Inv	Rev	Total	Capital	Res Inv	Rev	Total	Capital	Res Inv	Rev	Total	Capital	Res Inv	Rev	Total
NWDA							385				1789				710				2884	2884
ERDF																				
Other public 2: Carlisle City Council							245				238				56				539	539
Other public 3: Cumbria County Council							30												30	30
Other public 4: English Partnerships							90				52								142	142
Private Source 1:																				
Private Source 2:																				
Private Source 3:																				
Non-Cash Costs																				
NWDA																				

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Total Consolidated Project Costs							750				2079				766				3595	3595
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Table 2: NWDA Expenditure (£000's)

	Preliminary / Sunk Costs				2007 / 2008				2008 / 2009				2009 / 2010				Total			
Source	Capital	Res Inv	Rev	Total	Capital	Res Inv	Rev	Total	Capital	Res Inv	Rev	Total	Capital	Res Inv	Rev	Total	Capital	Res Inv	Rev	Total
Land & Buildings																				
Equipment																				
Other Capital (Specify)																				
Professional Fees							270				1486				400					2156
Staff Costs							115				303				310					728
Overheads																				
Other (Please specify)																				
Non-Cash Costs																				
Cost of Capital																				
Write downs																				
Depreciation																				
Total NWDA Contribution							385				1789				710					2884

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Table 3: Public Sector Expenditure (£000's)

	Preliminary / Sunk Costs				2007 / 2008				2008 / 2009				2009 / 2010				Total			
Source	Capital	Res Inv	Rev	Total	Capital	Res Inv	Rev	Total	Capital	Res Inv	Rev	Total	Capital	Res Inv	Rev	Total	Capital	Res Inv	Rev	Total
Land & Buildings																				
Equipment																				
Other capital (please specify):																				
Professional Fees																				
Staff Costs							365				290				56				711	711
Overheads																				
Other (please specify)																				
Total Public Sector Contribution							365				290				56				711	711

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Table 4: Private Sector Expenditure (£000's)

	Preliminary / Sunk Costs				2007 / 2008				2008 / 2009				2009 / 2010				Total			
Source	Capital	Res Inv	Rev	Total	Capital	Res Inv	Rev	Total	Capital	Res Inv	Rev	Total	Capital	Res Inv	Rev	Total	Capital	Res Inv	Rev	Total
Land & Buildings																				
Equipment																				
Other capital (please specify)																				
Professional Fees																				
Staff Costs																				
Overheads																				
Other (please specify)																				
Total Private Sector Contribution																				

Table 5: NWDA Income (£000's)

Source	2007 / 2008			2008 / 2009			2009 / 2010			2010 / 2011			2011 / 2012			Total		
	Capital	Rev	Total	Capital	Rev	Total	Capital	Rev	Total	Capital	Rev	Total	Capital	Rev	Total	Capital	Rev	Total
European Funding																		
Other Gov't Grants																		
Coalfield Grants																		
Other (please specify):																		
Other:																		
Total																		

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What clawback arrangements / agreements are to be put in place at the end of the project?

The project does not include the purchase of assets. Contracts will be issued to partners prior to the commencement of the project. Partners will be required to agree to clawback on the sale of assets. Other conditions will apply governing the payment of grant funding, the defrayment of expenditure and obligations regarding outputs.

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Finance:

1. Have all the questions on the Financial Checklist been addressed?
- 2: For capital projects, where appropriate, has a thorough appraisal of the forecast end value of the site / building and the cost-value gap been undertaken? Is all the necessary supporting documentation available?
- 3: For projects involving acquisitions has the financial information been signed off by finance?
- 4: Is there enough supporting information to confirm that the costs are fair and reasonable and to allow the expenditure to be properly monitored and ensure VFM?
- 5: Where appropriate, have all sunk costs been identified? (Must be included in the overall project cost, but can be excluded from VFM calculations)
- 6: Have all matched funding contributions been agreed and committed?
- 7: Are clawback arrangements adequate to safeguard the NWDA requirements (e.g. would a change on a capital asset be more efficient), or where appropriate do they allow for the on-going sustainability / growth of the organisation (e.g. community centre)?

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Annex 3

Risk Assessment

Please identify the main risks to the project. Some examples are given of the more common risks, but you should not limit your assessment to just these examples.

Risk Description	Probability	Impact	Overall Risk	Timing	Risk Owner	Comment: What can be done to reduce risk or what contingency plans will be in place?
1: Lack of organisational capacity / stakeholder commitment / staffing	Low	High	Medium	Immediate	Director of Carlisle Renaissance	The City Council and partners will be supported by the Carlisle Renaissance staff with considerable experience in programme management
2: Cost Overrun	Low	Medium	Low	Medium to Long Term	Project Manager	Close project monitoring on a continuous basis will ensure that cost overruns are predicted/picked up early and remedial action taken.
3: Failure to achieve outputs	Medium	Medium	Medium	Medium to Long Term	Project Manager	Underachievement on outputs will be identified early via monitoring and contingencies enacted (e.g. engage alternative/additional delivery partner).
5: Timescales ~ delays and slippage	Medium	Medium	Medium	Medium to Long Term	Project Manager	Project elements are scheduled to allow for slippage to be managed within agreed time-scale.
6: Match funding does not materialise	Low	High	Medium	Medium to Long Term	Project Manager	All public match funding is agreed and confirmed by Local Authority or Govt Agency sources.
7: External issues (e.g. weather / planning / consents / property etc)	Low	Medium	Low	Immediate to Long Term	Project Manager	Technical studies will address planning/highways and relevant property issues
8: Environmental risks (eg failure to meet environmental legislation, risk of flooding, Environmental Impact Assessment)	Low	Low	Low	Medium to Long Term	Project Manager	Technical studies will address flood risk and environmental sustainability issues
9: Project under-spend	Low	Medium	Low	Medium to Long Term	Director of Carlisle Renaissance	Close project monitoring on a continuous basis will ensure that spending variance is picked up early and remedial action taken.
10: Loss of key personnel	Medium	Medium	Medium	Immediate to Long Term	Director of Carlisle Renaissance	Proposals are included to appoint a Programme Director who will take over responsibility for delivery over a phased hand-over period to the end of the secondment agreement of the Director of Carlisle Renaissance in October 2008.

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Please show sensitivity calculations as appropriate to the risks identified.

1. Cost overrun – what is the impact on output unit costs of costs overrun?
2. Delays and slippage – what is the impact on costs/outputs?
3. Matched funding – what is the impact on costs/outputs if leverage targets not achieved?

If your project requires any statutory approvals please give details below:

Requirement (Examples only given)	Date approval received	If not yet received, expected date
1: Planning Permission		
2: Building Regulations		
3: BREEAM		
4: Other (please specify)		
5: Other (please specify)		

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1. Have all the risks been identified?
2. Are the steps to reduce the risks identified/contingency plans well thought out and appropriate?
3. Is a sensitivity analysis required? Has this been done? Is the project still considered viable?
4. Are there any unacceptable risks, or any areas that need further work?
5. Given the information in this section what is the overall risk of the project?

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Appraisal Comments

Lead Appraiser's Summary and Recommendations to the Appraisal Panel (this summary should also comment on any contribution to SAV made by the project)

Signature of Lead Appraiser

Date

Team

Telephone Number

Appraisal Panel Summary to Decision Maker, including any conditions

Signature of Panel Chair (central panel)/member(s):

Date