

Appendix 5.4

Swansea Bay City Deal

Monitoring and Evaluation Plan



Swansea Bay City Deal Monitoring and Evaluation Plan

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1. Templates (to be completed once M&E plan is approved)	
2. Baseline targets and benefits realisation plans (to be included once Portfolio Business Case is finalised)	
3. Financial reporting (quarterly and annual)	
4. Impact Equality Assessment (to be completed once M&E plan is approved)	

1. Introduction

- 1.1. The Swansea Bay City Deal (SBCD) portfolio comprises of nine regional projects estimated to deliver £1.8bn GVA and over 9,000 highly skilled jobs. It is therefore vital to monitor and evaluate the portfolio and associated projects so that they are delivered successfully in order to realise the intended benefits.
- 1.2. The importance of measuring performance, the expected benefits and the impact of the portfolio is reflected in the region's approach to learn from experience and make continuous improvements to the process over time.
- 1.3. A vital component of this is ensuring that projects are initiated in the right way. The establishment of projects through strategic, outline and full business case developments will heighten the chances of successful delivery. The most common causes of project failure include unclear objectives, insufficient resources, over ambitious timescales and scope, among others. All these factors can affect the deliverability and impact associated with a project and therefore must be considered from the outset of the project or programme.
- 1.4. Dedicated time allocated to determining the appropriate monitoring and evaluation of projects early on in their lifecycle helps to ensure that clear objectives are shaped and that there is an agreed understanding of needs and wants of all primary stakeholders. This will support issues that are critical to the success of projects, such as accounting for optimum bias during the strategic and outline business case developments. These can then be amended to reflect more realistic objectives aligned to outcomes, focussing on rigorous benefits management from the start.
- 1.5. This Monitoring & Evaluation Plan has been written by the Regional PMO to communicate the intent and mechanisms of monitoring and evaluation for stakeholders and to support the Project Teams to develop their performance and benefits realisation plans through the programme and project lifecycles.
- 1.6. As a result, effective monitoring and evaluation will lead to:
 - Coordinated measurement of programme and project performance
 - Alignment to SBCD objectives
 - Determining if the programme or project worked
 - Quality information that leads to informed decision making
 - Visible and improved planning, risk and issue management
 - Collaborative and supportive mechanisms for project and programme success
 - Delivery of the widest possible benefits to the region
 - Demonstrable value for money to the public and key stakeholders
 - Creating a culture of learning and sharing across the region and beyond

2. Monitoring and Evaluation Plan Overview

- 2.1. The M&E Plan aims to provide structure and set expectations for the SBCD project teams when undertaking project monitoring and evaluation.
- 2.2. The M&E Plan will form part of the Regional PMO Knowledge Hub that contains project related support, training, guidance and templates for the M&E Plan and other PMO related assurance, governance and good practice.
- 2.3. This Plan is targeted at Senior Responsible Owners (SROs), the Regional PMO and SBCD Project Managers and their teams, in conjunction with providing assurances to Welsh and UK government that progress, performance and impact of the £1.3bn SBCD is considered and implemented in a robust manner.
- 2.4. The Portfolio Senior Responsible Owner will ensure that the Regional PMO have an appropriate Monitoring and Evaluation Plan in place. Led by the Regional Director, the Regional PMO will establish and update the M&E Plan to ensure that it functions appropriately. The Regional PMO will provide support, training and regular updates to inform key stakeholders of progress, opportunities, issues and risks at a portfolio level.
- 2.5. The *Project* Senior Responsible Owner, the Project Manager and their teams are responsible for the implementation of the Monitoring and Evaluation Plan at a project level. This includes the collation, monitoring and communication of the project milestones, deliverables and benefits realisation. Relevant and timely information will be presented in user-friendly templates and feed into the regional portfolio updates.
- 2.6. The M&E Plan forms part of the Regional PMO Knowledge Hub and covers:
 - The approach to monitoring and evaluation at portfolio, programme and project level
 - Principles and good practice to ensure the performance and impact is managed and maximised
 - How monitoring and evaluation fits within the SBCD assurance framework and the guidance set out in the HM Treasury's Green and Magenta Books
 - A suggested RACI (Responsible, Accountable, Consulted and Informed) matrix for the key roles involved in the monitoring and evaluation of the portfolio
- 2.7. The plan utilises key principles and approaches to promote a proactive monitoring and evaluation culture at key stages of the portfolio, programme and project lifecycles. Changes to existing approaches and processes can be amended accordingly under the leadership of the Regional PMO.
- 2.8. The M&E Plan aligns with the revised HM Treasury [Green](#) and [Magenta](#) books, UK Government's [Project Delivery guidance](#) and recognised Project Management bodies such as the [Association of Project Managers](#). The Green Book sets out the economic

principles that should be applied to both programme and project appraisal and evaluation.

2.9. The plan will also be shared with the WG’s Office for Project Delivery for awareness and input to evolve the guidance and practices. As such, the plan itself can be applied to any local or regional project, programme or portfolio, regardless of the project methodology, such as agile or waterfall.

2.10. The M&E Plan will be applied at portfolio, programme and project level, where a cascade of outputs and outcomes will be required to understand performance and impact of the SBCD programme. Figure 1 below visualises the alignment of the monitoring and evaluation processes at programme and project levels. This approach will support a cooperative approach to monitoring and evaluating the projects and programme by building on the baselines collaboratively.

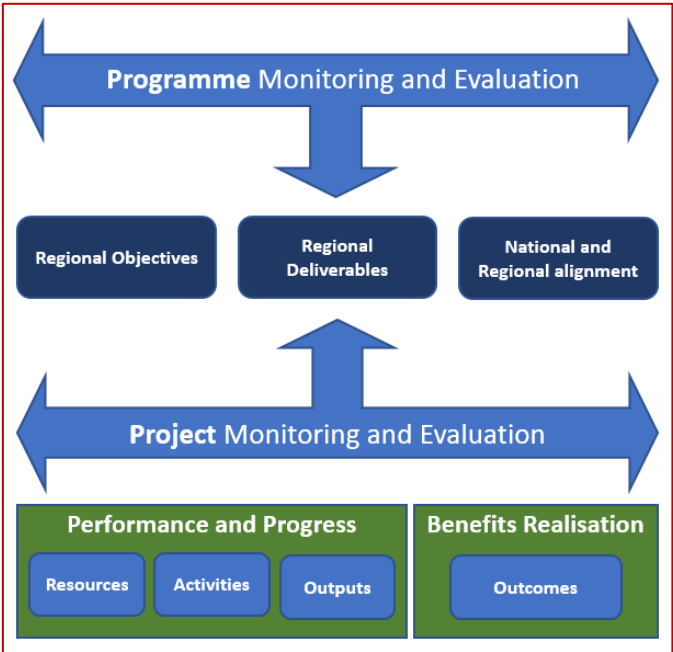


Fig 1. Logic model for Programme and Project M&E

2.11. Guidance and advice, as detailed in Fig 2 below will support the embedding of a M&E culture, principles and mechanisms. The recipients include Project and Programme SROs and Project teams. Progress updates will be shared with all SBCD governance groups, including Joint Committee, Programme Board, Economic Strategy Board and Joint Scrutiny Committee.

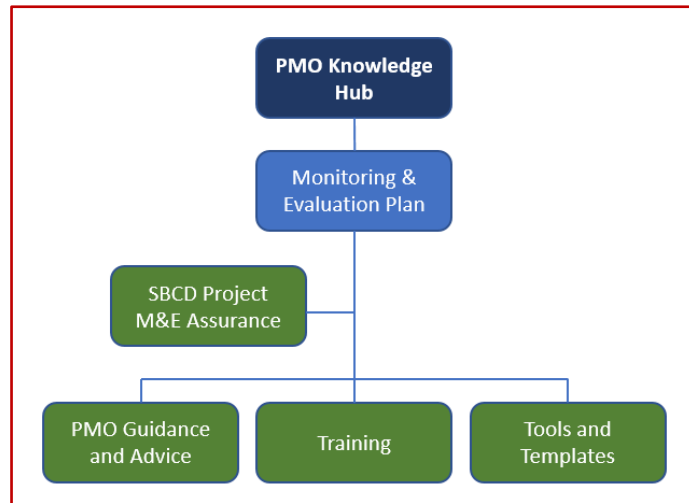


Figure 2. M&E support

2.12. The tools and templates will form part of the SBCD Portfolio Knowledge Hub and will produce the following monitoring and evaluation activity with the associated frequency below:

Document	Frequency
1. Highlight report	Monthly
2. Monitoring report	Quarterly
3. Performance report	Annually
4. Benefits realisation plan	Continually updated and reported annually
5. Milestone evaluations (mid-term and final evaluations)	Year 3, 5, 10 and at the end of the portfolio

3. Monitoring and Evaluating Portfolio Performance and Benefits

3.1. The Monitoring and Evaluation (M&E) Plan is made up of two components addressing the target indicators in the portfolio as depicted in Figure 3. Firstly, Portfolio progress and performance, which is the periodic assessment of project implementation and performance activities; and secondly, Portfolio Benefits Realisation, which is the evaluation of their results in terms of relevance, effectiveness, and impact. The M&E Plan will provide the SBCD governance structures, namely the Joint Committee, Programme Board, Economic Strategy Board and Joint Scrutiny Committee information on the progress and impact made towards achieving the portfolio's milestones, outputs and outcomes. This information will also be shared with the Welsh and UK Governments through periodic updates and reviews and made available to the public on an annual basis.

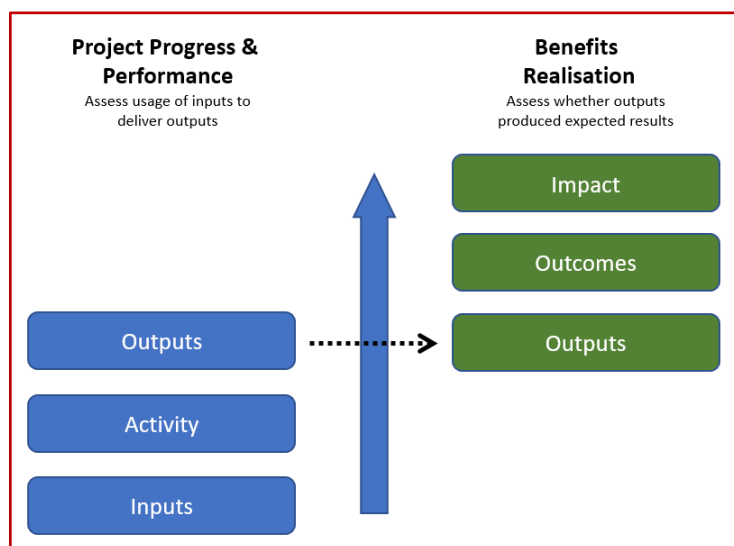


Figure 3. Logical Framework to monitor and Evaluate programme performance and impact

3.2. **Portfolio progress and performance** – Performance monitoring will check and assess whether the portfolio, programme and projects are successful in achieving their objectives by monitoring project activities in order to improve efficiency and overall effectiveness of the portfolio implementation. Performance monitoring is continuous and will gather information on programme and project implementation against the scheduled plan, including the delivery of quality outputs in a timely manner. Continuous monitoring of project performance will ensure that any issues or constraints, such as technical, resource and financial issues, are identified and managed in an appropriate and timely manner. This will also support the development of clear recommendations for corrective action, and identify lessons learned and best practices for other regional or cross-regional opportunities. All projects will be monitored closely by the Regional PMO and will be required to present monthly highlight reports and quarterly monitoring data to Programme Board and Joint Committee. These reports will be incorporated into a SBCD Annual Performance Report.

- 3.3. **Portfolio benefits realisation** - Evaluation of the portfolio's success in achieving its outcomes will be monitored periodically throughout the programme lifecycle. The indicators have been further reviewed/refined during the development of this M&E Plan, and tools, methods and indicators for measuring the impact of projects and the overarching portfolio have been determined and agreed to ensure that a standardised framework is approved and put into practice by all primary SBCD stakeholders, including the Regional PMO and SBCD Project Managers.
- 3.4. The monitoring and evaluation of portfolio performance and benefits realisation will improve decision-making of the SBCD governance committees and Regional PMO by ensuring that the portfolio and associated projects are on track in terms of planned delivery and achieving the intended outcomes by integrating lessons learnt into its planning processes.
- 3.5. The main criterion for monitoring and evaluation activity includes portfolio progress, benefits realisation evaluation, value for money, direct and indirect impact, capacity and capability developments, total impact measures and contextual economic forecasting.
- 3.6. Portfolio achievements will be robustly monitored from Summer 2020, with the first formal annual evaluation taking place in 2021 and aligned to financial year end. Mid-term assessments will be undertaken regionally and with external organisations, where they will align to the recommended process of the OGC Stage Gate review process, particularly at Investment Decision, Readiness for Service and Benefits Realisation stages of all projects. In addition, each project will undergo a retrospective look at what was achieved in a final evaluation and lessons learned stage review. The incorporation of these reviews and frequent monitoring of activity will ensure that all aspects of the portfolio and projects continuously plan, act, monitor and evaluate throughout their lifecycles, as depicted in Figure 4 below.

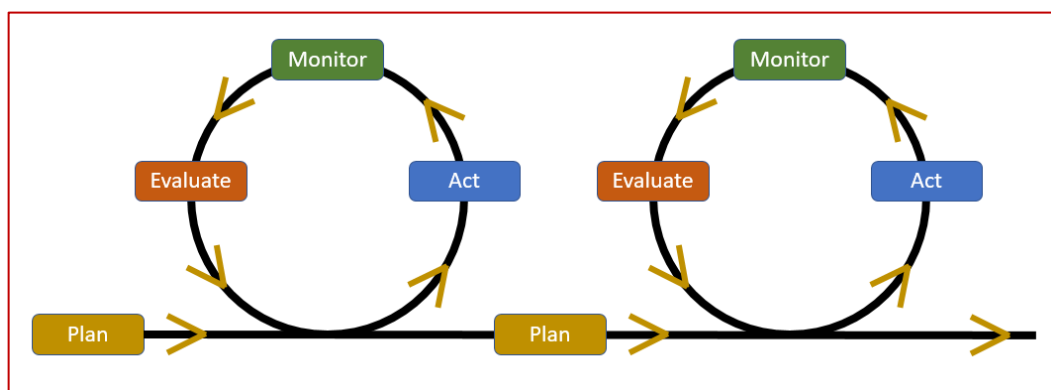


Figure 4. M&E as part of project and programme management and planning

- 3.7. The Mid-Term Evaluation will take place in years 3, 5 and 10 of the 15-year portfolio to determine the positive progress being made towards achievement of outcomes and will provide constructive recommendations to address any issues and risks identified. It will:
- Review the effectiveness, efficiency and timeliness of the portfolio and project process model
 - Determine the scale of change and how they are attributable to the SBCD portfolio and projects
 - Compare the benefits and costs of the portfolio and projects to determine value for money and social value, whilst considering total impact measures
 - Analyse effectiveness of implementation and partnership arrangements
 - Identify issues requiring decisions and remedial actions
 - Highlight lessons learned about project design, technical achievement, implementation and management
 - Link across the portfolio and projects with nested logic models to test whether different approaches were successful. For example, the testbed approach of HaPS vs regeneration of Llanelli Well-being village or Swansea City Centre
 - Analyse whether the project is on track with respect to achieving the expected results
 - Propose any mid-course corrections and/or adjustments to the work plan as necessary.
- 3.8. Final Evaluation will take place three months prior to completion of each project and overall portfolio and will focus on the same focus areas identified for the Mid-Term Evaluation. In addition, the final evaluation will review project impact, analyse sustainability of results and whether the project has achieved the outcomes and the development and environmental objectives.

4. M&E Plan Knowledge Hub

4.1. The SBCD Portfolio Knowledge Hub will house the approved processes, mechanisms and templates to monitor and evaluate the portfolio and projects which will be further supported with advice and guidance from the Regional PMO. The diagram below illustrates the key components of what will be used to govern and assure the SBCD portfolio and projects by monitoring progress and performance and evaluating the portfolio's success.

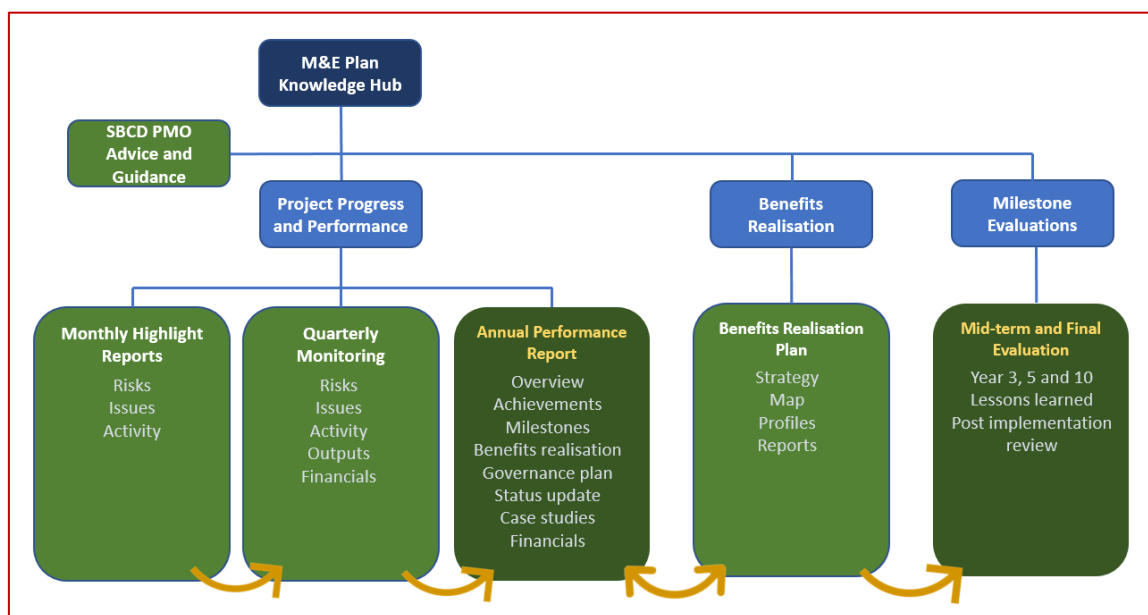


Figure 5. M&E Plan Knowledge Hub

4.2. Project Progress and Performance

4.2.1. Highlight report

Highlight reports will be produced on a monthly basis at a portfolio, programme and project level. The purpose is to provide governance structures such as Programme Board and key stakeholders with a collated portfolio summary of the project stage status and progress at regular intervals. The Regional PMO will also use these reports to advise and assure the Programme Board, Project Managers and Governance Boards of any issues or risks, along with achieved and planned activity.

4.2.2. Quarterly monitoring

The quarterly project monitoring report provides an update on the portfolio and projects and reviews its progress every three months. The Programme level report is collated by the Regional PMO and is based on Project level quarterly monitoring reports. The purpose is to provide a summary of the direct outputs from the SBCD projects. Each report is included as an appendix to the quarterly Portfolio Status Report that is provided to the Programme Board and Joint Committee and will form the basis of the Portfolio implementation plan.

4.2.3. Annual Performance Report

The Annual Performance Report will look back on the previous twelve months of the portfolio and projects to detail the portfolio and project overview in terms of objectives and deliverables, key achievements to date for outputs and outcomes, community benefits, milestones, governance arrangements, portfolio and project status updates, case studies, financial reporting and equality impact assessments. Future priorities and activity for the next period will also be detailed in the report.

4.3. Benefits management

The SBCD benefits management will assess and review the strategically aligned benefits through optimising the portfolio's associated projects to deliver the defined scope in a timely manner and at the anticipated level. Outcomes that result in a change will be part of the benefits management that were achieved as a result of the activities undertaken by the City Deal portfolio.

The benefits associated with the SBCD portfolio have been identified and appraised during the development of the portfolio and Project Business Case stages. The process identifies the benefits with key stakeholders, identifying owners of each benefit, prioritising and categorising the benefits and establishing baselines. The business case contains the benefits, outcomes, timescales, costs and risks against which continuing viability is tested based on the strategic, economic, financial, commercial and management cases of the HM Treasury five business case model. The Business Case is developed in three iterations: The Strategic Outline Case (SOC), Outline Business Case (OBC) and Full Business Case (FBC) which mature in detail as the project matures.

The milestones to review benefits will be a suitable and agreed time at project level which allows time for the embedding of associated outputs and capabilities when benefits can be realistically and meaningfully measured. These can be aligned to the external stage gate review process or at suitable milestones set by the project and detailed in the Integrated Assurance and Approval Plan (IAAP).

The portfolio and each associated project will have a defined and up-to-date Benefits Realisation Plan (BRP). The BRP is a document that profiles all the benefits and how they are forecast to be realised from baseline to target, including baseline and measurement information, identified benefit risks and benefit realisation milestones. The key element found within the BRP include:

4.3.1. Benefits Profile

A benefits profile is used to define the benefits and potential dis-benefits of the project or portfolio. The profile is developed early on in the scoping and development phases of a portfolio lifecycle where benefits or dis-benefits are defined, and detail will be provided on how they will be realised and measured.

4.3.2. Benefits Map

A benefits map, referred to as a success map, is a method to visually represent the links between the project deliverables and the overall business case objectives. The map is used to show where the value and benefits of the project really lie. This will demonstrate the change or impact of the portfolio and project through delivery of outcomes and meeting of regional need.

4.3.3. Benefits Report

A report produced at an agreed frequency demonstrating the realisation of benefits to date, usually comparing the baseline, target and actuals.

4.3.4. Community Benefits

SBCD projects will be required to use the Value Wales Community Benefits Toolkit to capture the full range of Community Benefits outcomes, including jobs and educational support initiatives and training, in order to provide a consistent and thorough way of measuring such benefits. These will be part of the annual performance review process.

4.4. Milestone Evaluations

4.4.1. Mid-term evaluations

Mid-term evaluations are planned to be undertaken in year 3, 5 and 10 of the portfolio and project lifecycle or at a suitable timescale which aligns to key milestones as the lifecycle evolves. The terms of reference will be established at the time of each mid-term evaluation. This will provide the flexibility to focus on the salient areas that need to be investigated. Evaluations will be conducted by an independent organisation or consultant and follow the following methodology:

- A review of the 'fitness of purpose' of the objectives and deliverables
- Interviews with project or programme team members
- Interviews with key stakeholders relating to the project or programme
- Analysis of performance monitoring data and reports
- Comparator data to further assess performance and benefits realisation externally from which learning can be gathered

Mid-term evaluations will follow those of the OGC Stage Gateway process and will include an inception meeting, desk-based review of documents, data and reports, conversations with project stakeholders and analysis of outputs and benefits. As a result, the evaluation will produce a review report with commendations and recommendations for future project and programme stages. The output from the mid-term evaluation will be presented to all SBCD governance groups and made public for awareness and transparency.

4.4.2. Final evaluation

Final portfolio, programme and project evaluations will take place following the same methodology of the mid-term evaluations and will include a post implementation review.

4.5. Risk and Issue Management

A Portfolio Risk Management Strategy covers the portfolio and individual Local Authority led projects, with quarterly reviews at project and programme level. The Risk Register will be reported on a quarterly basis to Programme Board and Joint Committee and shared with Joint Scrutiny Committee and Welsh and UK Governments on the same basis. Risks will be identified, evaluated and prioritised to minimise, monitor and control the probability and impact of such events or to maximise the realisation of opportunities.

4.6. Alignment with the Well-being of Future Generations (Wales) Act 2015

As a portfolio which provides an opportunity to address persistent challenges such as climate change, poverty, inequality, jobs and skills in a transformational and preventative way, the SBCD is in keeping with the approach and ambitions of the Well-being of Future Generations (Wales) Act 2015. Given the breadth of the Swansea Bay City Deal portfolio, it also has a significant impact across the seven well-being goals for Wales and will be monitored and assessed accordingly across these goals. The five ways of working (long-term; prevention; integration; collaboration; and involvement) as outlined in the Act, will also be used across the portfolio to ensure that the sustainable development principle is applied to all that is undertaken.

4.7. Equality Impact Assessments

The Equality Act 2010 introduced the Public Sector Equality Duty (PSED). This requires public bodies in Wales to assess the likely impact of proposed and reviewed policies and practices on our ability to comply with the PSED and publish reports of assessments where a substantial impact is detected.

Equality Impact Assessments (EIA) are a tool to help the SBCD portfolio ensure that the policies, practices and decisions are fair, meeting the needs to the public and businesses to ensure that they are not inadvertently discriminating against any protected group as identified in the [Equality Act 2010](#).

The process to conduct EIAs will be to work through several questions. Firstly, one set will screen proposals to determine whether a full impact assessment is required, and the second set of questions forms the basis of a full Equality Impact Assessment. The full assessment will identify the affected group and enable data analysis of those affected groups, which leads on to analysis of the impact based on that data analysis. A final section requires any negative impacts and mitigating actions to be noted.

4.8. Welsh Language Act

The Welsh Language (Wales) Measure was passed by the National Assembly for Wales and was given royal assent on 9 February 2011. The Welsh language's official status has a legal effect, which means that Welsh should be treated no less favourably than the English language in Wales. The Welsh Language Standards were created as a regulatory framework in order to set standards on specific organisations. The purpose of Welsh Language Standards is to:

- Ensure clarity to organisations in relation to the Welsh language
- Ensure clarity to Welsh speakers on what services they can expect to receive in Welsh
- Ensure greater consistency in Welsh language services and improve quality to users

As part of our work, we commit to complying with the highest set of Standards, placed on organisations across the region.

5. Financial monitoring and evaluation

5.1. Financial performance

The total City Deal portfolio expenditure covering all projects is within the £1.3 billion funding package. The City Deal portfolio and project finances will be monitored through quarterly monitoring and annual performance reports. The Programme Board and Joint Committee will receive financial monitoring updates through these reports, along with the Economic Strategy Board and Joint Scrutiny Committee where appropriate, to monitor and assure the project and portfolio financials. In doing so, they will also make recommendations on possible additional funding opportunities or alternative portfolio expenditure. These reports will also be presented by the Accountable Body to Regional Section 151 Officer working group. The Accountable Body will, in collaboration with the Welsh Government and Regional PMO, agree the financial monitoring process which is aligned to the overall reporting processes for the City Deal and based on best practice principles and guidance on project monitoring contained within the HM Treasury's Green and Magenta Books.

The monitoring process will allow for the control of project cost variations and visibility of variations at a portfolio level.

5.2. Monitoring Requirements

Progress monitoring updates will be required by Welsh and UK Government on a monthly basis, moving to a quarterly basis on completion of the initial recommendations of the Actica review and terms and conditions. These include progress updated against the set targets within the grant terms and conditions and financial update in respect of project spend and funding.

The Project Authority Lead shall submit a claim for Project Funding to the Accountable Body at a frequency to be determined by the Accountable Body. The claim shall include a progress report on the Project against the agreed outputs. After the parties have agreed in accordance with clause 6.7 of the funding agreement that the project has achieved practical completion, the Project Authority Lead shall not be required to submit claims for project funding. Thereafter the Project Authority Lead shall complete annual monitoring returns in a form to be specified by the Accountable Body prior to the Accountable Body releasing any project funding to which the Project Authority Lead is entitled. The annual monitoring forms will include an obligation to report on the progress in achieving the agreed outputs. The Accountable Body reserves the right to impose additional monitoring requirements at a frequency and for such period as it considers reasonable in all the circumstances.

In addition to the above monitoring requirement the Accountable Body will require quarterly financial updates on project spend, to support the cashflow management of the portfolio. These will detail the actual spend to the period, with forecast outturn over the duration of the portfolio (15 years).

The SBCD operating budget will also be monitored and reported on a quarterly basis to Programme Board and Joint Committee.

Project Lead Authorities are also obligated to support the Accountable body with any progress update reporting as required by the Welsh and UK Governments.

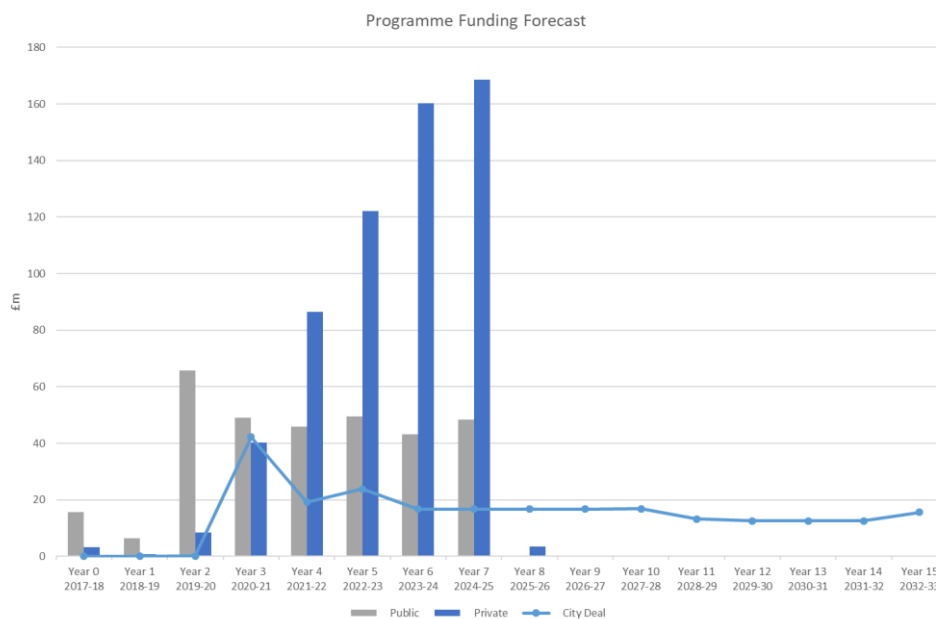
5.3. Portfolio Expenditure Forecast

The table below demonstrates the forecast spend of the City Deal portfolio cumulatively over the 15-year grant period, as at 31st March 2020. This forecast position excludes all transactions in respect of the Joint Committee’s operational activities.

Expenditure Allocation	Cashflow	HoT (Original)	Variance
City Deal Expenditure	235.70	241.00	- 5.30
Public Sector Expenditure	323.63	396.00	- 72.37
Private Sector Expenditure	593.72	637.40	- 43.68
Total	1,153.04	1,274.40	- 121.36

Cumulative portfolio Expenditure Forecast (Estimated)

5.4. Portfolio Funding Forecast



With the funding being released to the portfolio over a fifteen-year period an inherent temporary funding gap is recognised. Each Project Lead Authority is responsible for managing the cashflows in respect of the projects in which they hold responsibly for delivery, and subsequently are accountable for managing inherent risks and the funding gaps recognised. Each Authority shall be responsible for borrowing to provide funding or securing funding for projects in its own area.

6. Regional and external scrutiny

There will be a level of independent monitoring and scrutiny both regionally and by external bodies such as Welsh and UK Government. These will be in accordance with the processes and governance arrangements put in place or facilitated by the Regional PMO.

6.1. Regional PMO

The Regional PMO will provide guidance, support and assurance to all projects in the SBCD portfolio. The Regional PMO will work on a risk-based approach to support and intervene when projects are deviating from the agreed timescales, budgets or deliverables. Escalation of risks and issues will be accessed and communicated through the project SRO, Programme Director and Portfolio SRO prior to being presented to the formal governance groups.

6.2. Joint Scrutiny Committee

The Joint Scrutiny Committee will provide a scrutiny function to ensure greater public accountability over decisions made by the Joint Committee and any of its sub-committees/related entities. It has been agreed by the four Councils that Neath Port Talbot County Borough Council will be the lead authority to take responsibility for the scrutiny function responsibility and its administration. The details of the committee are set out in the Portfolio Business Case and Implementation Plan, where the role of the Joint Scrutiny Committee is to provide advice, challenge and support to the Joint Committee, based around financial affairs, risk management, governance and resource utilisation. Joint Scrutiny committee also has direct responsibility to scrutinise the regional projects including Digital, Skills and Homes as Power Stations. To support scrutiny, reports will be regularly shared and can be requested throughout the portfolio lifecycle.

6.3. Internal Audit

Pembrokeshire County Council lead on the internal audit function for the SBCD and will work closely with the Regional PMO and key stakeholders to gather information and provide recommendations and follow up actions on a frequent basis.

6.4. Government sponsoring bodies

The Welsh Government and UK Government can commission an independent review of the SBCD if the arrangements and progress are not in accordance with the timeframes and deliverables outside of an agreed tolerance. These assessments will provide both the Welsh and UK Government Ministers with an assessment of the deliverability of the SBCD. A review commissioned by Welsh and UK Governments was undertaken in January 2019 by Actica Consulting Ltd, where the recommendations are being implemented into the SBCD operations.

6.5. External Regulators

The Wales Audit Office as External Auditor to the Joint Committee reviews and comments on the financial aspects of Corporate Governance which includes the legality of financial transactions, financial standing, systems of Internal Financial Control and standards of financial conduct and fraud and corruption.

7. Roles, responsibilities and communication

Key roles and responsibilities for each task or deliverables set out in the SBCD M&E Plan are outlined in the RACI (Responsible, Accountable, Consulted, Informed) matrix below. The RACI matrix considers all stakeholders for the M&E plan activity who will be:

- Responsible: person who performs the activity
- Accountable: person who is ultimately accountable and has the Yes/No/Veto
- Consulted: person that needs to feedback and contribute to the activity
- Informed: person that needs to know of the decision or action

Roles and Responsibilities		RACI Matrix														Responsible, Accountable, Consulted, Informed				
Swansea Bay City Deal Programme																				
		ROLES																		
		Senior Responsible Officer (SRO)	Joint Committee	Programme Board	Economic Strategy Board	Joint Scrutiny Committee	PMO Director	PMO Manager	PMO Support	Finance Manager	Marketing & Comms	Business Engagement	Senior Responsible Owner	Project Manager	Section 151 Officer	Monitoring Officer	Internal Audit	Welsh Government	UK Government	Consultants
Deliverable or Task	Status	Governance				Regional PMO				Projects		Other Stakeholders								
Programme & Project Progress and Performance																				
Monthly highlight report		C	I	C	I	I	A	R	C	C	C	C	A	R	C	C	I	I	I	I
Quarterly monitoring		C	I	C	C	I	A	R	C	C	C	C	A	R	C	C	I	I	I	I
Annual performance report		C	A	C	C	C	R	C	C	C	C	C	A	R	C	C	I	I	I	I
Programme & Project Benefits realisation																				
Strategy		C	A	C	C	I	R	C	C	C	C	C	A	R	C	C	I	I	I	I
Plan		C	I	C	I	I	R	C	C	C	C	C	A	R	C	C	I	I	I	I
Profiles		C	I	C	I	I	R	C	C	C	C	C	A	R	C	C	I	I	I	I
Reports		C	I	C	I	I	R	C	C	C	C	C	A	R	C	C	I	I	I	I
Programme and Project Milestone evaluations																				
Mid-term evaluation (Year 3, 5 and 10)		C	A	C	C	I	R	C	C	C	C	C	A	R	C	C	I	I	I	I
Lessons learned		C	A	C	C	I	R	C	C	C	C	C	A	R	C	C	I	I	I	I
Post implementation review		C	A	C	C	I	R	C	C	C	C	C	A	R	C	C	I	I	I	I

R Responsible	Assigned to complete the task or deliverable.
A Accountable	Has final decision-making authority and accountability for completion. Only 1 per task.
C Consulted	An adviser, stakeholder, or subject matter expert who is consulted before a decision or action.
I Informed	Must be informed after a decision or action.

Figure 6. Roles and Responsibilities

Further to the RACI matrix, the table below summarises specific responsibilities of the Senior Responsible Owners at portfolio, programme and project level along with the Regional PMO and local Project Teams. These roles are the ones that are broadly responsible and accountable for the successful establishment and delivery of the M&E plan.

Position	Key responsibilities
Portfolio Senior Responsible Owner	<ul style="list-style-type: none"> • Accountable to the Joint Committee for ensuring the SBCD portfolio has appropriate Monitoring & Evaluation plan in place.
Regional PMO (Director, Manager and support staff)	<ul style="list-style-type: none"> • Ensure an appropriate M&E plan and systems are established and functioning. • Collate project milestones, deliverables and benefits realisation at a portfolio level. • Monitor, manage and communicate change control of the portfolio M&E.

	<ul style="list-style-type: none"> • Periodically review and revise to changing portfolio needs. • Ensure relevant and timely M&E information is provided in user-friendly formats to key stakeholders and senior management. • Provide training and mentoring for key stakeholders. • Act as a focal point to organise and manage monitoring reviews, evaluations.
<i>Project Senior Responsible Owner</i>	<ul style="list-style-type: none"> • Accountable to their host organisation and Regional PMO for ensuring the SBCD project has appropriate Monitoring & Evaluation practices in place.
Project Manager	<ul style="list-style-type: none"> • Establish project milestones, deliverables and benefits realisation. • Monitor, manage and communicate change control of project M&E. • Ensure that the Regional PMO M&E plan and systems are embedded locally within the project and is functioning appropriately. • Work with PMO to periodically review and revise the M&E plan to changing portfolio and project needs. • Ensure relevant and timely M&E information is gathered, summarised and presented in user-friendly formats to key stakeholders and senior management. • Act as a focal point to organise and manage monitoring reviews and evaluations.

APPENDICIES

***To be completed following approval of the plan and Portfolio Business Case.**

Appendix 1 – M&E Templates

- Highlight report
- Quarterly monitoring

Swansea Bay City Deal Project Outputs			
Reporting Period Qx YYYY	Unit of measure	Estimated overall portfolio output	Cumulative outputs achieved to date
Business tenants	number	x	x
Business (new) created	number	x	x
Blue Green infrastructure	Square meters	x	x
Commercial space developed	Square metres	x	x
Land valuation	£	£x	£x
Etc...			

- Annual performance report
- Benefits realisation plan (strategy, profiles, report)
- Mid-term and Final evaluations

Appendix 2 - Baseline position for monitoring indicators

This appendix presents the baseline position against the full set of indicators recommended for evaluation. The baseline year is the year in which the project received formal approval from the Joint Committee and Welsh and UK Governments.

Portfolio and project levels

Objectives and outcomes	Key Indicators	Baseline	Assessment method

Appendix 3 – Financial reporting (quarterly and annual)

Appendix 4 - Equality Impact Assessment [\(Example of template\)](#)