Swansea Bay City Deal Evaluation Framework

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Author:	Jonathan Burnes / Ian Williams
Owner:	Wendy Walters/Rob Stewart

Contents

1. Purpose and Scope

The purpose of this document is to provide a framework for the coordination, management and resourcing of the evaluation arrangements for the Swansea Bay City Deal (SBCD) Portfolio and its constituent programmes, projects and workstreams. The framework provides clarity for programme and project Senior Responsible Owners (SROs) and their teams, Welsh and UK governments and partner organisations on the evaluation arrangements that will apply across the SBCD Portfolio. It also provides a framework that meets the requirements and expectations of both governments and the SBCD Joint Committee for the monitoring, evidencing and reporting of the committed benefits and impacts of the portfolio and the drawdown of City Deal funds.

The application of an effective evaluation framework is essential to demonstrate the beneficial consequences of the delivery and operation of projects and programmes and is good project / programme management practice.

Evaluation of a project or programme provides a systematic, evidence-based method to assess whether it has successfully achieved the defined key goals and objectives. It should also capture and assess any benefits not envisaged at the outset of the project or programme. Evaluation during project delivery can also help to identify areas for improvement in project delivery in order to realise the objectives more efficiently, creates a track record of delivery and can act as a catalyst for further investment.

It is essential that the overall SBCD Portfolio and its constituent projects and programmes have proportionate and effective evaluation arrangements in place to evidence and assess that activities have attained their stated objectives and benefits. Key benefits have been identified in the investment objectives, funding agreement and benefits registers of each project or programme business cases. The arrangements for evaluation should also be set out in the Management Case of the individual business cases.

Once approved by the SBCD JC, this framework will be incorporated into the existing Portfolio Monitoring and Evaluation Plan, which provides detail on the monitoring, measuring and reporting requirements across the portfolio.

This framework was produced in response to key recommendations and discussions through assurance reviews, audit and scrutiny. The SBCD Portfolio Management Office (PoMO) coordinated and authored the framework in consultation with all SBCD project / programme leads through a PoMO task and finish group as detailed below.

2. SBCD Evaluation Task and Finish Group

The SBCD Evaluation Task and Finish Group was established to oversee the development of an effective and workable approach to evaluation for the SBCD Portfolio. The main purpose of the Group was to agree and co-ordinate an approach and

timeframe to evaluate the Swansea Bay City Deal Portfolio and associated Programmes and Projects.

The Group consisted of project / programme leads and PoMO team members who met monthly to shape the development of the Framework. The Terms of Reference of the Group were to:

1. Agree the SBCD Evaluation rationale and principles
2. Develop an evaluation framework for the SBCD with robust and timely evaluative measures to determine the success of the SBCD Portfolio
3. Map P&P benefits realisation/evaluation schedule
4. Agree key roles, responsibilities, and activity to embed the SBCD Evaluation Framework
5. Review monitoring and evaluation commitments in approved Business Cases (including Investment Objectives, CSF, Key deliverables, Benefits plan, etc)
6. Consult with SBCD SRO's via PM's (Project / Programme Managers),. The Chair in consultation with PM's will determine appropriate consultation with other stakeholders
7. Determine appropriate routes to evaluate the SBCD Portfolio using external organisations where appropriate to evaluate economic impact of the Portfolio, Programmes and Projects
8. Undertake a review of other evaluative activity and best practice outside of the SBCD

The rationale, principles, roles and responsibilities and methodology within this Framework were developed and agreed through the Evaluation Task and Finish Group.

3. Rationale and Principles

The rationale for the SBCD Evaluation Framework is to produce a systematic and impartial assessment of Swansea Bay City Deal Portfolio and constituent Programmes and Projects, that qualifies and promotes success aligned to key deliverables set out in the Portfolio and Project/Programme Business Cases and funding agreements.

The following key principles have been identified in the formulation and will be adopted in the delivery of the Framework.

1. **Transparency**
   a) Promote transparency and active sharing of data, findings, outcomes and insight in its simplest form, with the goal of equitable access to information.
   b) Encourage collaboration and engagement of members.

2. **Simplicity**
   a) Ensure a simplistic approach to the process and completion of the evaluation.
   b) Ensure the evaluation is designed, conducted and reported with a clear purpose so that it is understood, not complicated and there is no margin to interpretation.

3. **Timely**
   a) Ensure timely individual programme / project and Portfolio level evaluations take place at key milestones with realistic timescales. With consideration given to required resources and dependencies within the project/programme and across the Portfolio.

4. **Impartiality**
   a) Ensure impartiality and fairness, the evaluation will be undertaken by an independent external expert where there are no declarations of interest.

5. **Transferability**
   a) Share Best Practice by creating a simplistic framework and methodology so that other organisations and projects can adopt.

6. **Robustness**
   a) Robust approach to evaluation which involves the appropriate and rigorous application of different methods not just to find out what happened but to understand the why and how and have confidence in what the findings / evidence shows.

4. Roles and Responsibilities

The following key roles and responsibilities have been identified in the ensuring that robust and effective evaluation arrangements are in place.

SBCD Portfolio SRO	• Overall responsibility to ensure that robust monitoring and evaluation arrangements are in place for the SBCD • Initiation of evaluations for overall SBCD Portfolio • Ownership of Portfolio business case investment objectives, benefits register and monitoring and evaluation plan • Ownership of Portfolio evaluation reports • Ensure resources are available to undertake Portfolio level evaluations
SBCD Portfolio Director	• Direct responsibility for the establishment and management of effective monitoring and evaluation arrangements for the SBCD • Direct responsibility for the coordination of the Monitoring and Evaluation Plan, aligned to Portfolio business case investment objectives and benefits register • Procuring Portfolio evaluations • Oversight and coordination of evaluations for constituent programmes and projects • Deployment of appropriate resources to undertake Portfolio level evaluations • Review and development of the monitoring and evaluation framework
SBCD PoMO	• Management of the SBCD monitoring and evaluation arrangements across the Portfolio • Advice and support on the management and delivery of agreed monitoring and evaluation arrangements

	• Implementation of the Portfolio monitoring and evaluation plan • Reporting and communication of monitoring and evaluation findings at Portfolio level • Review and development of the monitoring and evaluation framework
Programme / Project SROs	• Responsibility to ensure that robust monitoring and evaluation arrangements are in place for the project / programme • Initiation of evaluations for projects / programmes • Ownership of project / programme business case investment objectives, benefits register and monitoring and evaluation arrangements • Identifying what will be evaluated at project / programme level, when evaluations will be undertaken and agree baselines / evidence to support measuring success • Ownership of project / programme evaluation reports • Ensure resources are available to undertake project / programme evaluations
Programme / Project Teams and Leads	• Management of the monitoring and evaluation arrangements for projects / programmes • Implementation of the project / programme monitoring and evaluation plan and business case commitments • Reporting and communication of monitoring and evaluation findings at project / programme level • Gathering evidence for monitoring and evaluation purposes • Establishment of baselines to measure successful delivery • Present relevant and timely M&E information in a user-friendly formats to key stakeholders and senior management • Review and development of the monitoring and evaluation framework
WG / UKG City Deal Leads	• Endorsement that SBCD monitoring and evaluation arrangements are robust and acceptable • Sharing of relevant plans and reports with relevant Ministers and government officers

Financial arrangements

Projects and programmes - It is the responsibility of the Lead deliver(s) to monitor and evaluate the successful delivery of the project or programme, which is aligned to the investment objectives and benefits outlined in the Business Case. The cost of undertaking an evaluation will be dependent on the scope of each specific commission.

Evaluation costs could vary significantly, depending on the scope and volume of evidence required against a set number of benefits in a project or programme. Costs can be minimised by internally capturing evidence by the Project team that will only require qualifying and being used to assess wider impacts.

Portfolio – the PoMO will utilise part of the Joint Committee agreed budget to undertake milestone evaluations. These will consider the component project and programme evidence and evaluations, along with other data to evaluate the success of the Portfolio, based against the Portfolio Business Case investment objectives.

5. Methodology

There are various methods and techniques that can be used to measure the performance, effectiveness, quality, or impact of the SBCD programmes and projects. An effective evaluation will assess the performance of the programme / projects against the stated investment objectives in the business can and the deliverables defined in the funding agreements and benefits plan / register.

The choice of evaluation methodology depends on the specific goals of the evaluation, the type and level of data required, and the resources available for conducting the evaluation.

The importance of evaluation methodologies lies in their ability to provide evidence-based insights into performance and impact. By using appropriate evaluation methodologies, stakeholders can assess the effectiveness of their operations and make decisions to improve their likelihood of achieving successful outcomes.

The main types of evaluation methodologies and their requirements are shown in the table below. Each methodology has its strengths and limitations, and a combination of both approaches is often the most effective in providing a comprehensive understanding of outcomes and impact.

Methodology	Features	Design / Methods	Requirements
Theory-Based	• A theory of change explains how an intervention is expected to produce its results • How interventions lead to desired results, by considering underlying theories that inform the portfolio, programmes or projects	• Set of assumptions • Logic models • Proven methodologies • Use of monitoring data • BC economic appraisal e.g. GVA, QALYS	• Specialist input • Data availability • Proven sector-recognised techniques
Quantitative	• Provide precise, measurable, numerical data that can be compared and analysed statistically	• Surveys • Performance Indicators • Statistical Analysis	• Data availability • Performance monitoring • Specialist statistical analysis

	• Focus on measuring specific variables and relationships between them • Objectivity of the data, minimising bias and variability	• Cost – Benefit Analysis	• Proven sector-recognised techniques
Qualitative	• Subjective, non-numerical nature of the data and interpretation / analysis • Focus on exploring complex phenomena, such as attitudes, perceptions, and behaviours, and understanding the meaning and context behind them • Provides insights into people's experiences and perspectives	• Interviews • Observations • Document review • Focus group discussions • Case studies	• Resource intensive • Documentary evidence • Bespoke interview / survey design
Mixed	• Combination of the above approaches	• Combination of above methodologies	• Dependant on the balance between the above approaches

The approach to evaluation for the SBCD portfolio, programmes and projects will consist of a combination of these methods to achieve a thorough understanding of the outcomes and impacts of the various interventions. This approach will enable a robust evaluation to be designed and undertaken that can embrace the complexity of the SBCD Portfolio and the associated key deliverables.

Benefit Tracking and Reporting
To apply an accurate and effective evaluation framework, it is essential to undertake appropriate data collection across the SBCD portfolio with a robust evidence base to support the evaluations.

Project Leads and SROs are required to ensure that all requirements to gather key data and information is in place through monitoring and reporting processes to enable evaluations.

Each project and programme are required to establish, maintain and report the following documents associated with benefits realisation which will provide a comprehensive assessment of main benefits across the SBCD portfolio.

Benefits Register – a single document that identifies each benefit, a short description, the objective the benefit links/contributes to, the benefit owner, the beneficiaries, the baseline, target and measurement methodology.

Benefits Profiles – describing each specific benefit in more detail, defining the uplift, articulating how the project/program will measure and report on its progress with an assessment of main risks and dependencies associated with achieving the benefit

Benefits Map - diagrammatic format which captures and communicates the relationship between stated project outputs, outcomes and impacts

It is crucial that these documents are continually developed and maintained as projects and programmes progress to track the outputs, outcomes and impacts.

Individual project and programme benefits maps are attached at Appendix 1.

It is recognised that some information will be derived from other sources such as published data sources that will supplement the benefit information being tracked and reported through the Portfolio. Where qualitative evidence is required, this may be sourced from bespoke, surveys, interviews, case studies, etc.

At a portfolio level, there are overarching benefits common to all projects and programmes. These are jobs, investment induced and wider economic impact. Consistent definitions and the method of management will be developed across the portfolio. There will be more specific and varied benefits at a programme and project level that will capture a range of data that is aligned to the benefit register. The diagram below provides examples of some of the key benefits being tracked across the programmes and projects:
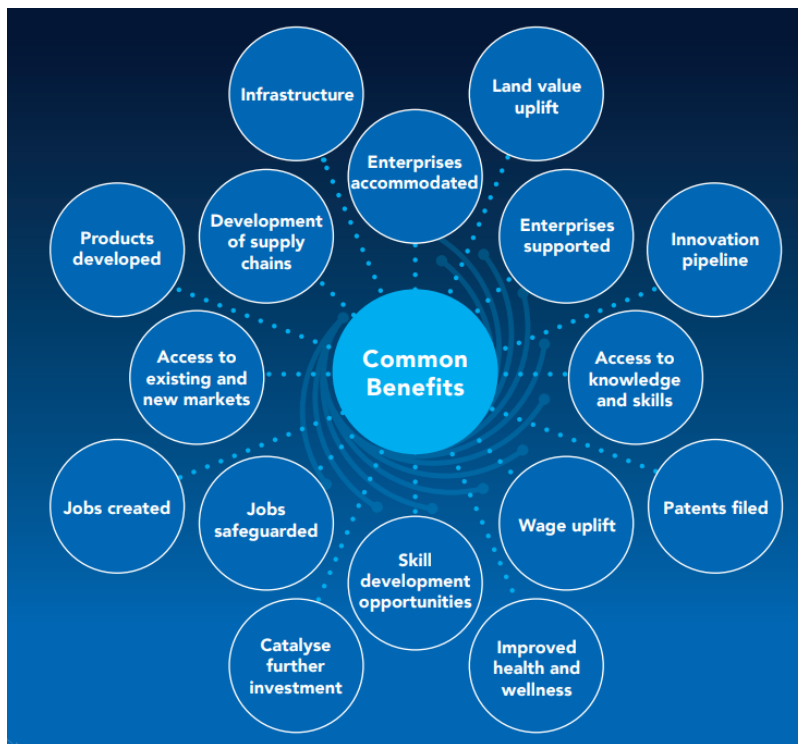

Diagram 5.1 Examples of Project / Programme Benefits

Projects and programmes will report on both delivery and operational benefits, as identified and committed to in their approved outline business cases. Delivery benefits will include the outputs and outcomes of the construction phase of the project. These will be incorporated in each of the project level benefit registers and will include the target, timescale, ownership and measurement of each benefit. The project benefit profiles will also provide further definition of the benefit and how it will be measured. The monitoring and evaluation information will then be used in the project evaluations and will also be used in the mid-term and final evaluations of the overall SBCD Portfolio. The evaluation assessment will need to consider the achievement and impact of benefits at a local, regional (South West Wales), and national basis.

Benefits will be defined in terms of outputs, outcomes and impacts and are defined and identified in each project / programme funding agreement.

Outputs (Delivery Benefits)

Outputs are the direct and tangible delivery phase benefits of a project or programme i.e. the build of a building or delivery of a skills pilot programme.

The funding agreements define outputs as:

the first level of direct immediate term results associated with a project. These outputs are defined within the Project Business Case and are the defined achievements as a direct result of investment into the Project.

These will be tracked and reported during and following completion of the project as part of the regular reporting arrangements. This data will then be used in the scheduled project and portfolio evaluations.

Outcomes (short term Operational Benefits)

Outcomes usually occur because of delivering outputs and often in the operational phase of a project or programme. However, outcomes can also occur during the delivery i.e. Construction jobs

The funding agreements define outcomes as:

the second level of results associated with a project and the medium-term consequences of the Project. Outcomes relate to the project goal or aim. These are consequential outcomes as a result of the achievement of the Project Agreed Outputs.

Project Impacts (longer term Operational Benefits)

Impacts usually occurs after a longer period once delivery is complete and operations are near to capacity.

The funding agreements define outcomes as:

the third level of project results and the long-term consequence of a project. Project Impacts are the macro-economic benefits of successful project delivery to the Swansea Bay City Region. These are positive purposes that meet local and national aims and objectives as a result of project completion.

it is recommended that evaluating project outcomes and impact to be undertaken between 1-3 years post completion, depending on the availability of evidence and data to support the scope of the intended evaluation. This will include an evaluation of the impact of construction phase activities. Projects will be required to identify and plan what will be evaluated, when and how for each of their distinct project elements.

Outputs, outcomes and impact will be:

1. Evidenced, monitored and measured by the Lead Delivery Project Team, and;
2. Evaluated:
   a. Internally by the Lead Delivery Project Team; or
   b. Externally by an appointed person or organisation via a procurement process (if required)

Examples of outputs, outcomes and impacts:

Outputs
Buildings constructed
Floorspace created
Training courses established
No. of homes with energy efficient technologies
Outcomes
Jobs created
Business start ups
Investment levered
Training and apprenticeship opportunities
Impact
Additional regional GVA (or equivalent)
Increased QALYs
Reduced carbon emissions
Retention of skilled labour force

Baselines

The effectiveness of evaluations will be largely dependent on the established baselines and data collected by projects and programmes during their delivery and operational phases. Key documents in identifying the relevant benefits will include the business cases (notably the stated Investment Objectives and deliverables), which are reflected in the project and programme funding agreements.

Each programme and project should provide a baseline status against which the impact of the specific interventions can be attributed and assessed through and evaluation process. Programmes and projects will need to demonstrate how the intervention has been effective through progression in the baseline indicators. For projects that have been completed, it is envisaged that much of the baseline information will be derived from the original business cases. Projects will not be expected to undertake work to retrofit the baseline position where this information is not readily available.

It is also recognised that some project elements will have been subject to separate evaluations and appraisals through other mechanisms e.g. externally funded projects such as WEFO. The information from these evaluations will be valuable in building the overall picture of the outcomes and impacts achieved across the whole Portfolio.

Change Control

Changes to the defined deliverables (outputs, outcomes and impacts), and agreed targets will need to be reported via the SBCD Change Management Process. All key

changes will need a change notification, and depending on the level of impact, a change request may be required with evidence to support an approval at either a local, regional or governmental level.

Specialist Advisors

To ensure the objectivity and robustness of the evaluation process, it may be necessary to commission specialist advisors to review and evaluate the available data, design the evaluation, undertake any bespoke evidence collection and produce an evaluation report. The specialist input will be required to ensure that recognised, sector-based methodology and evidence is used throughout the evaluation process to enhance its robustness and credibility.

The SRO, supported by the PM, is responsible for commissioning this specialist input and for ensuring that the evaluation undertaken is specifically designed to respond to the investment objectives and key deliverables of their business case.

Coordination across the programmes and projects will be required to ensure that format, methods of evaluation and metrics used can be readily combined to give an overall picture at the Portfolio level.

6. Evaluation Schedule

Co-ordination at the portfolio, programme and project levels will be required to ensure that the timing and reporting of evaluation on elements of the SBCD can be planned, tracked appropriately and consistently.

The estimated timeframes for Portfolio evaluation are show below. The evaluation arrangements consist of two mid-term evaluations, assessing the progressive impact of the Portfolio interventions, together with a final evaluation at the end of the SBCD portfolio timeframe. The first mid-term evaluation will be undertaken in Q1 of 2025/26 and will incorporate the impact of Years 1-7 (to end of 24/25) of the SBCD.

Timeframe	Financial Years	Portfolio Evaluation
Year 1-7	2017/18 to 2024/25	Mid-term evaluation 1
Year 8-12	2025/26 to 2029/30	Mid-term evaluation 2
Year 13-15	2030/31 to 2032/33	Final evaluation

An Evaluation Schedule has been developed for the projects and programmes of the SBCD. This schedule identifies the evaluation timeframes for each element of the headline projects and programmes and how these will feed into the scheduled Portfolio evaluations.

The table below shows the planned schedule for evaluations for each of the headline projects and programmes and their constituent elements. It is recognised that this schedule is subject to change as project delivery dates are confirmed. Evaluation dates will be included on the project level IAAPs and reported as part of the regular quarterly

reporting process.

Project / Programme	Evaluation Timeframes	Project Element	Project Evaluation	Portfolio Evaluation
Pentre Awel	Q1 2022 – Q2 2025	Zone 1 construction and Community Benefits	Checkpoint	Mid Term 1
	Q1 2025- Q1 2027	Zone 1 - Operation	Checkpoint	Mid Term 2
	2024/25-2028/29	Zone 1 - Operation Zone 2 – Construction and operation Zone 4 – Construction and operation	Mid Term	Mid Term 2
	2023/24-2032/33	Zone 1 - Operation Zone 2 – Operation Zone 3 – Construction and operation Zone 4 – Operation	Final	Final
Digital Infrastructure	Annual	Programme wide – Investment (Public and Private)	Annual Mid Term	Mid Term 1 Mid Term 2 Final
	TBC	Programme wide – Economic Impact	Final	Mid Term 2
Skills and Talent	2021/22-2026/27	Programme wide	End of Programme	Mid Term 2
	2021/22-2031/32	Programme wide	Final	Final
HAPS	TBC	TBC	TBC	TBC
SILCG	From 2022	Bay Technology Centre – Construction and operation AQMP	Mid Term	Mid Term 1

	Other Evaluation timeframes to be agreed by SILCG Board	SWITCH – Construction and operation AMPF – Construction and operation	Mid Term	Mid Term 2
PDM	2018-2026	PDI PDZ MEECE META	Mid Term	Mid Term 2
	2018-32	PDI PDZ MEECE META	Final	Final
Swansea Waterfront	2020/21-2024/25	Arena – Construction and operation	Final	Mid Term 1
	2022/23-2026/27	71-72 Kingsway – Construction and operation	Final	Mid Term 2
		Other project elements TBC		Final
Campuses	2024/25-2028/29	Singleton Phase 1 – Construction and operation Morriston Phase 1 – Construction and operation Singleton Phase 2 (part) – Construction and operation	Mid Term	Mid Term 2
	2024/25-2032/33	All phases – Construction and operation	Final	Final
Egin	2018/19-2023/24	Egin Ph1 – Economic impact	Final	Mid Term 1
		Other project elements TBC		

Flexibility exists for projects and programmes to evaluate at appropriate timeframes and intervals, with the accepted approach to extrapolate forecasted economic impact between the evaluation and end of Portfolio lifecycle i.e. 2033. This will need to be qualified by an external evaluator and assumptions made and tested during the evaluation and at future points.

For example, the results of the project level evaluations will be used to forecast future impacts of these interventions to the end of the portfolio period i.e. unless there are significant changes to the operation of a specific project, the benefits identified will assume to accumulate year on year to the end of the portfolio timeframe.

The results of the evaluation for Year 1-7 will then be taken forward and included within the evaluation for Year 8-12 together with the regular benefits reporting data across the portfolio. A schedule of project level evaluations will be developed for this second mid-term portfolio evaluation.

The final portfolio evaluation will capture the results of both mid-term evaluations together with any outstanding projects that have become operational during this period and supplemented with the latest benefits reporting data to give an overall picture of the impact of the SBCD portfolio.

7. Governance and Oversight

Monitoring of portfolio, programme and project benefits will continue to be developed and undertaken on a quarterly basis and reported to programme / project boards and through the SBCD governance process.

Evaluation reports and a summary of the main findings will also be reported for information to programme / project boards and through the SBCD governance process for information. The report will include a commentary by the SRO, detailing any actions that are required to further promote the successful delivery of the portfolio, programme or project.

SBCD Programme (Portfolio) Board will be responsible for signing off the Framework.

The arrangements as described in this Framework will be further developed as the portfolio progresses. Oversight of the development and implementation of the SBCD Evaluation Framework will be undertaken by the Portfolio Director in collaboration with the programme / project SROs and teams.

The Framework will be formally reviewed on an annual basis.

Appendices

1. Project / Programme Benefit Maps
2. Project / Programme Evaluation Profile Template