

13th NOVEMBER 2019 CCRTA MEETING

ITEM 5 - METRO PLUS - COMMON ASSESSMENT FRAMEWORK (CAF)

REPORT OF CARDIFF CAPITAL REGION DIRECTOR KELLIE BEIRNE

AGENDA ITEM

REASON FOR REPORT

- 1) A draft Common Assessment Framework (CAF) was presented to Members of the RTA on 1st August 2019 with a recommendation that a report be submitted to a future meeting of the Regional Cabinet to seek approval to adopt a CAF including the addition of a scoring mechanism for assessing future proposals. This report therefore seeks to:-
 - a) Update Members on the final draft CAF, underpinned by the WelTAG and Cardiff Capital Region (CCR) City Deal Investment & Intervention Framework (IIF) and aligned with Welsh Government's (WG) draft Metro Enhancement Framework (MEF), to secure funding and deliver Phase 1 of the Metro Plus Programme, as agreed by Joint Cabinet on 18th February 2019;
 - b) Update Members that a report was taken to the Regional Cabinet on 12th September 2019 to (amongst other things) update Regional Cabinet on the work undertaken on the draft CAF. At this meeting, Regional Cabinet supported the need for the Regional Transport Authority (RTA) to finalise and approve (if it so wishes) the CAF at its November meeting in order to establish the framework against which the delegations can apply.
 - c) Request that a report be submitted to a future Regional Cabinet meeting to update provide an update on the draft final CAF as outlined in this report and attached as Appendix 1.

COMMON ASSESSMENT FRAMEWORK (CAF) UPDATE

- 2) Following collaborative work carried out between Welsh Government (WG), Transport for Wales (TfW) and the Cardiff Capital Region (CCR) to prepare a Metro Enhancement Framework (MEF) (subject of separate report of this meeting), the draft CAF has been restructured to align with the MEF. This takes into account criteria and assessment methods used within the MEF. Therefore, the draft CAF as attached at Appendix 1 sets out criteria to achieve the mission and vision of the CCRC Metro Plus aspirations and wider programme objectives and takes into account all four of the questions as identified below:-

Question 1: What contribution will the proposed scheme make towards the City Deal KPIs of (i) 25,000 jobs, (ii) £4BN Private Sector Leverage and (iii) Uplift in GVA (either direct or indirect)?

Question 2: How will the proposed scheme help deliver the vision and objectives of the 'Regional Industrial and Economic Plan'?

Question 3: Please outline how the scheme has considered wider City Deal objectives e.g. Digital, Skills, Energy etc. what 'value added features / 'additionality' have been incorporated, which may not otherwise have been included within the proposed scheme design?

Question 4: (Wellbeing) How has the scheme been designed to ensure it encapsulates and or maximises 'Economic Inclusion' within the region?

- 3) The draft CAF is considered a Scheme Development Framework which will be a live document through the delivery of each project. Whilst a scoring has been attributed to each scheme upfront to consider how the intervention will add value in regards to the vision and objectives of the City Deal, the scoring will change throughout the process. Therefore, the draft CAF will not be used to prioritise future projects (as the Investment and Infrastructure Framework is set up to do this), and it isn't meant to be a requirement that ALL criteria will need to be delivered in order to warrant City Deal funding, but it will be used to ensure schemes delivered **consider** the added value items and **justify** through the WeITAG process why something has or has not been included, acting as a tool to ensure 'additionality' is included, evaluated and evidenced throughout the programme.
- 4) A number of schemes are currently using the draft CAF assessment form to see how they compare with the vision and objectives of City Deal, but as the CAF is intended to be a living document throughout the project, it is envisaged that the scores will change on a regular basis as 'additionality' is delivered or ruled out. The draft CAF process will be a requirement on all transport schemes requesting City Deal investment and it is intended that the

requirements identified within the draft CAF are incorporated into WelTAG briefs, so they become core assessment criteria moving forward.

- 5) City Deal officers are currently working with the individual Local Authorities to support and monitor the progress of all of the current Phase 1 Metro Plus schemes, and leading on programme aspects with key partners such as Transport for Wales around digital strategy and data capture, branding and multi-modal ticketing, as well as all of the other identified criteria within the draft CAF to ensure compliance with the draft CAF.
- 6) The CCRTA officer group will perform the function of a Programme Management Group that peer reviews transport schemes, with assistance from the City Deal office in regards all 'additionality' and added value – in line with the draft CAF. This will ensure that schemes comply with the City Deal IIF and will allow a suitable reporting mechanism to Members to be achievable by capturing all updates on scheme progression and compliance through quarterly, comprehensive update reports to the CCRTA and then on to Regional Cabinet for noting. The draft CAF will be used as a working document throughout the WelTAG Stages to completion of the scheme.

Local Member consultation (where appropriate)

- 7) This report is one of a series of updates on programme activity, whereby regional engagement will take place.

Reason for Recommendations

- 8) To provide Members with an update on the work done to date.
- 9) To recommend Members approve the draft CAF to ensure that the Metro Plus programme complies with the IIF and encourages 'additionality' in terms of the vision and objectives of the City Deal and also aligns with the National priorities.

Financial Implications

This report seeks the approval of the draft Common Assessment Framework which will support the Investment & Intervention Framework's requirement for the alignment of approved projects' vision and objectives with those of the City Deal. This is also in accordance with the funding requirements set out by HMT and Welsh Government. The report does not have any direct financial implications.

Legal Implications (including Equality Impact Assessment where appropriate)

As Members will be aware, the Councils established the Cardiff Capital Region City Deal ("City Deal") and entered into the joint working agreement on 01 March 2017 ("JWA") to formalise their respective roles and responsibilities in relation to the City Deal. The JWA includes an Assurance Framework, which amongst other matters

sets out detail as to how potential projects (referred to in the JWA as Candidate schemes) will be appraised.

This has further been developed and reference is made to the Overarching Funding Agreement and Investment framework approved by Regional Cabinet in June 2019. (The Overarching Funding Agreement importantly sets out the investment criteria, which will be used to initially assess applications at the initial SIFT stage. Applications taken forward for consideration will be the subject of detailed due diligence undertaken in accordance with the Assurance Framework and the Investment Framework, which framework is predicated on a 'Proportionate Business Case Development Process, which is in turn a due diligence process based on the HM Treasury Green Book (using the Five case Model) as amended, on a proportionate basis to reflect the scale, nature and complexity of the relevant application). This point is raised because:-

- (1) it is important that all schemes considered by the RTA follow the aforementioned process. To this end, Legal Services are instructed that the draft CAF, which forms the subject of the report to RTA, is not intended to replace the aforementioned process but rather to sit alongside and compliment the same.
- (2) the Welsh Government funding conditions require that schemes must be selected in accordance with the arrangements set out in the JWA and Assurance framework.

Pursuant to a delegated authorised granted by Regional Cabinet on 12 September 2019, Regional Cabinet noted and supported the need for the Regional Transport Authority to finalise and approve the CAF at its November meeting in order to establish the framework against which the requested delegations can apply. Further, it was noted RTA would provide a further update to Regional Cabinet following its November meeting.

Wellbeing of Future Generations (Wales) Act 2015

- 10) The Well-Being of Future Generations (Wales) Act 2015 ('the Act') is about improving the social, economic, environmental and cultural well-being of Wales. The Act places a 'well-being duty' on public bodies aimed at achieving 7 national well-being goals for Wales - a Wales that is prosperous, resilient, healthier, more equal, has cohesive communities, a vibrant culture and thriving Welsh language, and is globally responsible. In discharging their respective duties under the Act, each public body listed in the Act (which includes the Councils comprising the CCRC) must set and published well-being objectives. These objectives will show how each public body will work to achieve the vision for Wales set out in the national well-being goals. When exercising its functions, the Regional Transport Authority should consider how the proposed decision will contribute towards meeting the 'well-being duty' and in so doing assist to achieve the national well-being goals.

- 11) The well-being duty also requires Councils to act in accordance with a 'sustainable development principle'. This principle requires Councils to act in a way which seeks to ensure that the needs of the present are met without compromising the ability of future generations to meet their own needs. Put simply, this means that the Regional Transport Authority must take account of the impact of their decisions on people living their lives in Wales in the future. In doing so, the Regional Transport Authority must:
- Look to the long term
 - Focus on prevention by understanding the root causes of problems
 - Deliver an integrated approach to achieving the 7 national well-being goals
 - Work in collaboration with others to find shared sustainable solutions
 - Involve people from all sections of the community in the decisions which affect them.
- 12) The Regional Transport Authority must be satisfied that the proposed decision accords with the principles above.
- 13) To assist the Regional Transport Authority Cabinet to consider the duties under the Act in respect of the decision sought an assessment has been undertaken, which is attached as an Appendix to this report (Wellbeing of Future Generations Assessment) for Member's consideration (Appendix 2).
- 14) In preparing reports due regard must be given to the Statutory Guidance on the Act issued by the Welsh Ministers, which is accessible using the link below:

<http://gov.wales/topics/people-and-communities/people/future-generations-act/statutory-guidance/?lang=en>

Equality Act 2010

- 15) In considering this matter, regard should be had, amongst other matters, to the Councils' duties under the Equality Act 2010. Pursuant to these legal duties the Regional Transport Authority must in making decisions have due regard to the need to (1) eliminate unlawful discrimination (2) advance equality of opportunity and (3) foster good relations on the basis of protected characteristics. Protected characteristics are:
- Age
 - Gender reassignment
 - Sex
 - Race – including ethnic or national origin, colour or nationality
 - Disability
 - Pregnancy and maternity
 - Marriage and civil partnership
 - Sexual orientation
 - Religion or belief – including lack of belief

RECOMMENDATIONS

The Cardiff Capital Region Transport Authority is recommended to:

- 1) Approve the draft Common Assessment Framework at Appendix 1.
- 2) Note that a report will be submitted to a future meeting of the Regional Cabinet for information.

KELLIE BEIRNE
CARDIFF CAPITAL REGION DIRECTOR
30th October 2019

The following Appendices are attached:-

Appendix 1 – Draft Common Assessment Framework
Appendix 2 – Wellbeing of Future Generations Assessment

The following background paper has been taken into account:-

Cardiff Capital Region Report – “Strategic Outline Programme for Metro Plus – Phase 1 – Programme of Local ‘Future Mobility’ Schemes” – 18th February 2019