

**REPORT TO: WEST OF ENGLAND COMBINED AUTHORITY
AUDIT COMMITTEE**

DATE: 28 APRIL 2022

**REPORT TITLE: MONITORING & EVALUATION AND RISK
MANAGEMENT FRAMEWORKS**

DIRECTOR: PATRICIA GREER, CHIEF EXECUTIVE

**AUTHOR: MARK WAKEFIELD, CORPORATE PERFORMANCE
PROGRAMME MANAGER**

Purpose of Report

- 1 To report on the annual review and update of the West of England Combined Authority Monitoring & Evaluation Framework and the Risk Management Framework

Impact of Covid-19 pandemic

The Combined Authority has continued to operate flexibly, amending plans to support people, organisations, communities and partners across the region. New packages of support have been identified and provided, including the Recovery & Adaptions Fund and the Green Recovery Fund.

Our monitoring and evaluation framework sets out our overall approach to the Monitoring & Evaluation of activities across Combined Authority and the Local Enterprise Partnership. It sits alongside our annual business plan which is refreshed each year.

We fully recognise that in these uncertain times we need to ensure we remain flexible to ensure that we can continue to support our residents and businesses. We will be monitoring delivery of our business plan as we move through 2022.

Our quarterly reporting cycle covering the business plan and risk register was paused during the pandemic and will restart in 2022. We have taken the opportunity to strengthen our processes to ensure that internal and external reporting is aligned and this is set out in our updated Monitoring & Evaluation Framework.

Recommendation

- Audit Committee are asked to endorse the Monitoring & Evaluation and Risk Management Frameworks for 2022.

Background / Issues for Consideration

- 2 The monitoring and evaluation framework brings together the West of England Combined Authority's reporting requirements into one single document. This includes the requirements for risk reporting and for this reason the two frameworks have been brought to Audit Committee together.
- 2.1 We have reviewed our monitoring and evaluation framework and risk management frameworks and drafts for 2022 are included as an annex to this report. Our fundamental approach to reporting remains unchanged but we have taken the opportunity to strengthen both frameworks as follows:
- To make a clearer link between the organisation governance model and the Combined Authority reporting framework, to demonstrate how delivery is managed and monitored through reporting to Regional Business Boards, Steering Groups, Directors and CEOs, with an increasing focus at Committee level on financial performance, and strategic outcomes.
 - To clarify which annual and quarterly reports are brought to Committee
 - To clearly define the roles and responsibilities of the Combined Authority Directorate Management Teams, Operational Management Team (Heads of Service) and Senior Management Team in both performance reporting and risk management.
- 2.2 Our Business Plan for 2022-23 builds on the achievements the Combined Authority has made since its establishment. It also sets a new direction to reflect new political leadership, with a focus on delivering five core objectives:
- Creating West of England Transport
 - Tackling the climate and ecological emergency
 - Securing decent jobs and training
 - Increasing the availability of affordable places to call home
 - Putting the West of England on the map for national and global success
- 2.4 We have refreshed our strategic outcome measures to estimate the impact of the projects and programmes in this business plan and will be developing a set of scorecards to monitor progress which will be shared with Audit and Scrutiny members.
- 2.5 All Combined Authorities are currently subject to five-yearly Gateway Reviews as part of the national gateway review process. These provide an independent evaluation of the impact of their Investment Funds.
- 2.6 The West of England Combined Authority Gateway Review was carried out during 2020 and it was confirmed in July 2021 that the Combined Authority has successfully passed the first of these scheduled Reviews, successfully unlocking the next 5-year tranche of Investment Funds. As already set out in the devolution deal document, this amounts to funding of £150 million from Government over the next five years, starting in 2021-22. The final report was shared with members of Audit and Scrutiny Committees and is included with this report as background.

Consultation

- 3 The monitoring and evaluation framework is updated annually and is shared with Government. We will share our final draft following feedback and discussion with Audit Committee Members.

Other Options Considered

- 4 None. A monitoring and evaluation framework is a requirement from Government and is also good practice in ensuring consistency and efficiency of approach.

Risk Management/Assessment

5. Without a rigorous and consistent approach to monitoring and evaluation we will be unable to meet our statutory reporting requirements.
 - 5.1 Without a formal risk management framework and processes we will be unable to anticipate and take preventative action to avoid risk and will instead incur time and additional cost in managing the consequences of unplanned events..
 - 5.2 We have provided a copy of our Corporate Risk Register as an appendix to this report.

Public Sector Equality Duties

- 6 The public sector equality duty created under the Equality Act 2010 means that public authorities must have due regard to the need to:
 - Eliminate unlawful discrimination, harassment and victimization and other conduct prohibited by the Act.
 - Advance equality of opportunity between people who share a protected characteristic and those who do not.
 - Foster good relations between people who share a protected characteristic and those who do not.
- 6.1 The Act explains that having due regard for advancing equality involves:
 - Removing or minimising disadvantages suffered by people due to their protected characteristics.
 - Taking steps to meet the needs of people from protected groups where these are different from the needs of other people.
 - Encouraging people from protected groups to participate in public life or in other activities where their participation is disproportionately low.
- 6.2 The general equality duty therefore requires organisations to consider how they could positively contribute to the advancement of equality and good relations. It requires equality considerations to be reflected in the design of policies and the delivery of services, including policies, and for these issues to be kept under review.
- 6.3 There are no equality implications arising directly from this report. All projects are required to complete an equality impact assessment.

Finance Implications, including economic impact assessment where appropriate:

- 7 The monitoring and evaluation framework provides assurance that limited resources will be utilised to their best effect to ensure activity is appropriate and proportionate.

Advice given by: Richard Ennis, Interim Director of Investment and Corporate Services

Legal Implications:

- 8 Monitoring and evaluation is an essential part of the Combined Authority's governance. This report sets out the approach to be taken to evaluate the outcomes of our interventions.

The Accounts and Audit (England) Regulations 2015 state that "A relevant authority (the Council) must ensure that it has a sound system of internal control which includes effective arrangements for the management of risk". The risk management framework meets this requirement and is an essential part of good governance for the Combined Authority.

Advice given by: Stephen Gerrard, Interim Director of Legal and Democratic Services

Climate Change Implications

- 9 On 19 July 2019, the West of England Combined Authority declared a climate emergency, recognising the huge significance of climate change and its impact on the health, safety and wellbeing of the region's residents. The Combined Authority is committed to taking climate change considerations fully into account as an integral part of its governance and decision making process.

Each report/proposal submitted for Combined Authority / Joint Committee approval is assessed in terms of the following:

Will the proposal impact positively or negatively on:

- * The emission of climate changing gases?
- * The region's resilience to the effects of climate change?
- * Consumption of non-renewable resources?
- * Pollution to land, water or air?

Particular projects will also be subject to more detailed environmental assessment/consideration as necessary as part of their detailed project-specific management arrangements

- 9.1 An updated Climate and Ecological Action Plan is being developed and once agreed a monitoring and evaluation plan will be developed.

Land/property Implications

- 10 *n/a*

Human Resources Implications:

- 11 None arising from this report. Monitoring and evaluation activity should be included in project resource and budget plans. If specific workforce risks are identified they will be

managed in line with policy and best practice in consultation with the Human Resources Team.

Advice given by: Alex Holly, Head of People and Assets

Appendices:

Appendix 1 – West of England Combined Authority Draft Monitoring & Evaluation Framework 2022

Appendix 2 – West of England Combined Authority Draft Risk Management Framework 2022

Appendix 3 – West of England Combined Authority Corporate Risk Register

Appendix 4 – West of England Combined Authority Independent Gateway Review, Final Report

Background papers: n/a

West of England Combined Authority Contact:

Any person seeking background information relating to this item should seek the assistance of the contact officer for the meeting who is Tim Milgate on 0117 332 1486; or by writing to West of England Combined Authority, 3 Rivergate, Temple Quay, Bristol BS1 6EW; email: democratic.services@westofengland-ca.gov.uk