

6. MANAGEMENT CASE

INTRODUCTION

This section describes how the scheme will be managed and delivered. The methodology used to define the process and procedures necessary to manage this project are based on the PRINCE2 methodology promoted by the Office of Government Commerce (OGC).

The key points from the Management Case are as follows:

- The South Yorkshire Local Authorities and SYPTE have collective experience in delivering a diverse range of similar projects and have a strong track record in the procurement and delivery of such schemes on time and to the agreed budget.
- Effective governance structures have already been established through a TCF Project Board and it is intended to retain the fundamental elements of this structure for the implementation of the programme, underpinned by effective delivery mechanisms already in place across the SCR.
- An outline phasing plan for the implementation of the TCF programme has been developed.
- Beyond the approval of this bid, further approval of the interventions within the TCF programme will be made in accordance with the SCR's agreed Assurance Framework.
- A stakeholder management plan has been developed to ensure clear and consistent communications about the TCF programme.
- A risk register has been developed and is maintained by the Project Board, with the key programme-level risks scored and their impacts quantified.
- The TCF programme will be subject to a programme of before and after monitoring and evaluation, in line with the SCR's Assurance Framework and the framework for the overall TCF programme evaluation that is being developed by the DfT.

The scope of the individual schemes included within the preferred TCF programme has been tailored to ensure that it is entirely deliverable within the timescales within which funding is available.

During the development of the programme, challenges around risk, costs and deliverability have all been undertaken, as well as a value for money assessment, to ensure as far as practicable that the TCF programme is deliverable and robust.

EVIDENCE OF SIMILAR PROJECTS

The South Yorkshire Local Authorities and SYPTE have collective experience in delivering a diverse range of similar projects, and have a strong track record in the procurement and

delivery of such schemes, with some examples of recent projects delivered on time and to the agreed budget including:

- Barnsley Quality Bus Corridor Improvements (A61 Phase 3 Burton Road - £7 million)
- A61 Birdwell Highway Improvements (£9.7 million)
- Dearne Towns Link Road (£30 million)
- Cudworth & West Green Bypass (£23 million)
- M1 Junction 37 signalisation (DfT pinch point scheme – £1.567 million)
- Dodworth Bypass (£5.7 million)
- A638 Quality Bus Corridor (£12 million)
- Great Yorkshire Way Phases 1 and 2 (£66 million combined)
- Doncaster Southern Gateway White Rose Way (£32 million)
- DN7 Unity Link Road (£15.8 million)
- Doncaster Station improvements (£7 million)
- Rotherham Sheffield BRT North (£29.8 million)
- Tram-Train Trial (in conjunction with DfT, Network Rail and South Yorkshire Supertram - £75 million)
- Rotherham Central Station improvements (£8.5 million)
- Rotherham Interchange improvements (£12 million)
- A61 Penistone Road Pinch Point / Better Buses scheme (£5 million, including a £1 million contribution to a major junction improvement from a large retailer)
- Sustainable Transport Access Fund in Sheffield and Rotherham (including Cycleboost, Independent Travel Training, Busboost and EcoStars – £7.5 million)
- Clean Bus Technology Fund (covering 117 buses in Sheffield).

Collectively, the SCR has successfully delivered various DfT-funded programmes (including Local Sustainable Transport Fund (LSTF) and BBA). The BBA programme probably represents the most directly applicable example of delivery for the TCF programme and has provided a number of 'lessons learnt' for other programmes across the SCR.

In 2013 SYPTE, SCC and local bus operators worked with DfT on the development of the BBA grant proposals. These involved the use of Bus Service Operator Grants (BSOG) to fund capital and revenue investment in bus service improvements. The result of this for Sheffield was the award of £18.3 million grant over the period 2013 to 2018 – this funding and local match was used to successfully deliver a variety of public transport schemes across the City.

Many of the BBA schemes and the environment in which they were delivered are similar to the public transport schemes included in this TCF bid including:

- Working closely with bus operators to ensure their requirements are met
- Working with the Local Highway Authority and other local stakeholders
- Managing change and risk over a five year programme.

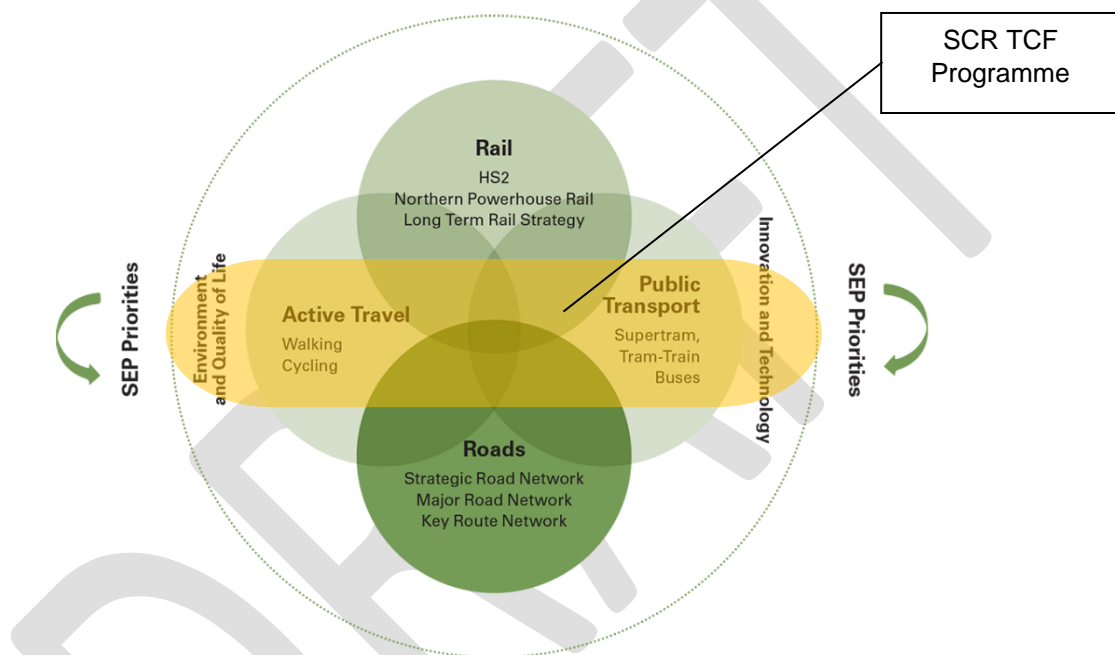
The longer term impact of the BBA programme is being reported to the DfT as part of the agreed Monitoring Plan, but highlights to date include the following.

- The Penistone Road bus lane opened in March 2015 – early findings since implementation showed a 32% reduction in average bus journey times along this key section of route
- The Chesterfield Road bus priority improvements were completed in the Autumn 2018 and are now fully operational, with the final scheme enhanced by the completion of core highway maintenance works by SCC prior to completion – the scheme has delivered a more consistent and reliable inbound journey time by bus

- (particularly in the morning peak) and a total journey time over the new section of bus lane of approximately 3 minutes compared to a baseline of approximately 4 minutes
- The co-location of bus operator and SCC staff at the Urban Traffic Control centre has been rewarded with many positive outcomes, and the sharing of information is benefitting all parties, both in terms of minimising the disruption when incidents occur and reducing the time taken to return services to normal following an incident.

PROGRAMME DEPENDENCIES

The TCF programme forms a key element of the implementation of the SCR Transport Strategy, but cuts across the implementation plans being developed to underpin the strategy as shown by the diagram below.



The Active Travel elements of the TCF programme will form the first four years of the Active Travel Implementation Plan and set the benchmark for the standards and delivery of the remainder of the ambitious active travel interventions that the SCR is progressing. Some of the active travel interventions within the TCF programme are focused on improving access to the South Yorkshire rail network and others will involve works on the Key Route Network (KRN) that has been defined within the emerging Roads Implementation Plan.

There is also a significant overlap between the Public Transport elements of the TCF programme and both the Roads and Public Transport Implementation Plans, although the latter will be developed in detail following the conclusion of the Bus Review described in the Strategic Case. All of the planned bus priority interventions within the TCF programme lie on the defined KRN and are aimed at improving journey times and reliability for buses along these routes, one of the key objectives of the Roads Implementation Plan.

The planned improvements to rail station facilities are entirely in accord with the recently published Integrated Rail Plan and are aligned to the minimum standards envisaged for all of the North's rail stations within the TfN Long Term Rail Strategy.

GOVERNANCE

Effective governance structures have already been established and it is intended to retain the fundamental elements of this structure for the implementation of the programme. The governance arrangements are illustrated in the diagram overleaf.

The Senior Responsible Owner (SRO) for the package is Mark Lynam, Director of Transport, Housing and Infrastructure at the SCR. The SRO is responsible to the Transport Executive Board (TEB), the Transport Thematic Board and ultimately the SCR Mayoral Combined Authority (MCA). The SRO and/or their nominated Officer(s) are also responsible for reporting progress to the DfT.

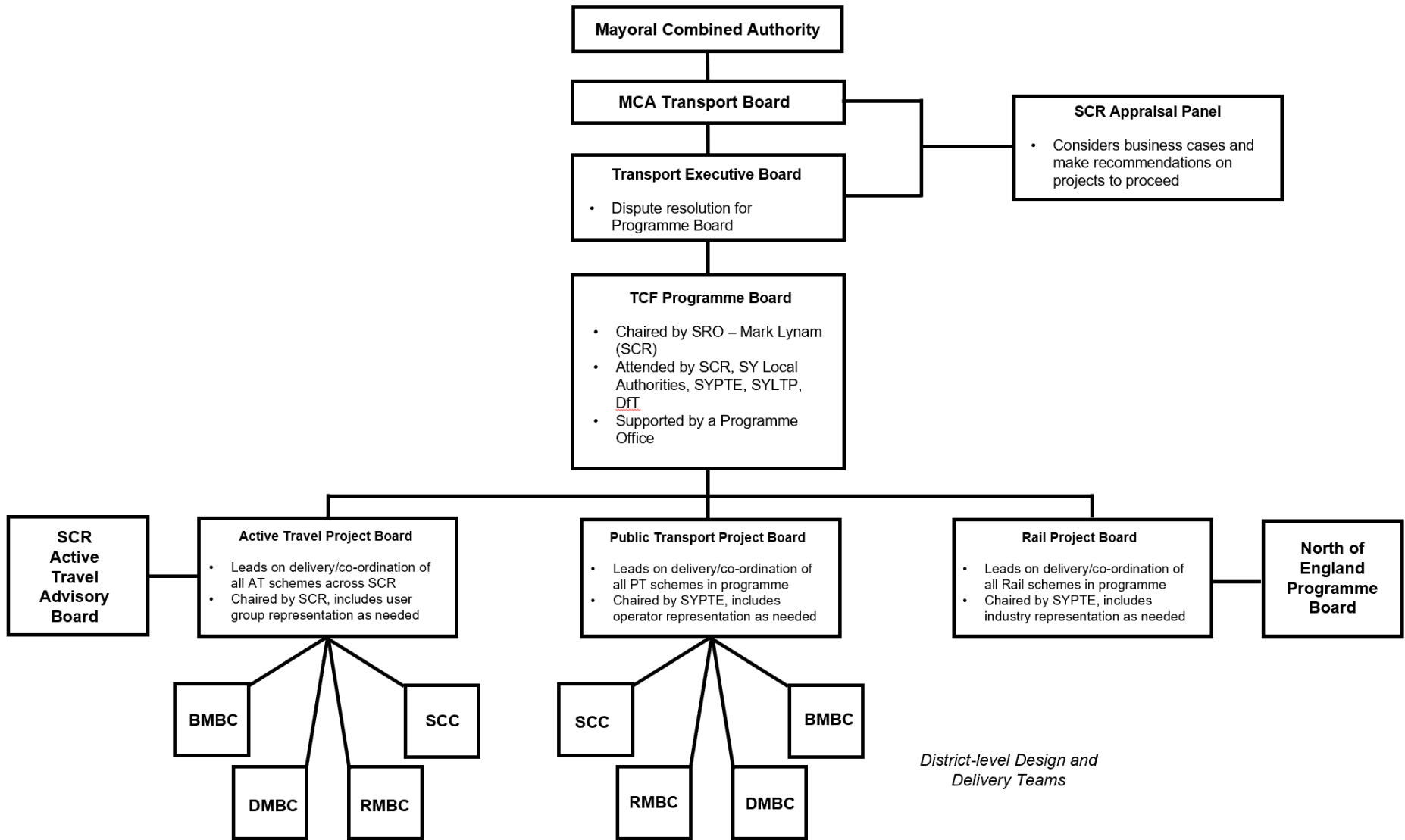
Ultimate financial accountability for the TCF programme lies with the MCA, who have approved the content of the TCF programme and this TCF bid.

A TCF Project Board, chaired by the SRO and with representatives of all key partners, has been established since January 2019, and it is intended to retain the essence of the structure for the implementation of the TCF programme, although with a recognition that it should now become a TCF Programme Board. DfT has been represented at the (current) Project Board meetings that have overseen the development of the SOBC and it is intended that this arrangement will continue into the delivery phase as part of the Programme Board.

The Programme Board meets on a monthly basis and its principal responsibilities are as follows:

- Agree and own the SOBC
- Confirm projects and resources within the TCF programme
- Accountable for the success of the TCF programme in terms of user and supplier requirements
- Receive TCF programme updates and take decisions on issues raised by the Project Boards by exception, with escalation points clearly agreed at the start of the programme
- Provide leadership, direction and challenge to the Project Boards, Project Teams and the Project Manager
- Approve (either into or continuation within) of schemes into (and through) the capital programme gateways
- Agree tolerances for time, quality and cost – this will include reviewing delegations and meeting frequency within SCR to facilitate programme delivery
- Monitor spend on the programme and delivery of outcomes
- Agree the purpose and content of project reports to be escalated through the governance structure, including both scheduled and ad hoc reports
- Maintain an overview of the programme-level risk register and own the programme-level risk pot
- Ensure effective communication with stakeholders, owning the Stakeholder Management Plan and Communications Plan
- Set up and oversee the implementation of the Monitoring and Evaluation Plan.

The SRO is supported by a Project Manager and a Bid Manager. The nominated Project Manager at this time is Peter Elliott, Principal Programme Delivery Manager at SYPT. Peter has been responsible for the option assessment work done to date. The nominated Bid Manager is David Whitley, Senior Programme Manager (Transport) in the SCR Executive Team. It is anticipated that the TCF programme once approved will be managed by a Programme Manager supported by a Programme Office function, most likely to be serviced using internal SCR resources.



Below the TCF Programme Board is a series of individual Project Boards, covering the three key elements of the TCF programme. Given the relationship between the active travel elements of the TCF programme and the overall SCR Active Travel Implementation Plan, the Active Travel Project Board leads on delivery/co-ordination of all active travel schemes across SCR, not just those within the TCF programme (and so has a wider remit). This Project Board is also related to the SCR Active Travel Advisory Board, ensuring a strong link to the Mayor's Active Travel Commissioner.

The Public Transport and Rail Project Boards are more autonomous and have a dedicated focus (at this point) on the interventions within the TCF programme, although it is recognised that there will be some relationship between the proposed improvements to rail stations and the North of England Programme Board established by the DfT. These Project Boards will also deal with the interface with other the active travel schemes and other public transport programmes across the SCR. Both Boards are chaired by SYPTE and include operator and industry representation as required. The format and chairing of these meetings will be designed to ensure the interests of operators are dealt with in line with SYPTE's duties regarding the unbiased treatment of all operators and the resolution of conflicts of interest.

The key responsibilities of the three Project Boards are as follows:

- Recommend the approval of schemes in capital programmes (either into or continuation within) – this would include ensuring that schemes met any minima quality criteria
- Receive monthly reports from Project Teams (and/or programme management office) and make clear recommendations to address delivery issues when they occur
- Settle any matters that may arise within workstreams across Local Authorities – matters to be brought could include:
 - How under/overspends are managed within the relevant programme;
 - Change control processes within programmes;
 - Matters relating to project priorities;
 - Matters relating to the use of resources, both internal and external; and
 - Escalation of risks
- Escalation point for decisions relating to the programme where consensus cannot be reached at a Project Team level
- Agree, as appropriate, what goes forward as recommendations/advice to the Programme Board for advice or approval (for example, priorities or use of the risk pot)
- Refer issues to the Programme Board when matters of conflict cannot be resolved within the Project Board.

Thereafter, there is a series of design and delivery teams that align to the preferred procurement strategy outlined in the Commercial Case, broadly arranged on a South Yorkshire Local Authority basis. The roles of these Project Teams include:

- Delivery of the agreed project and its outputs
- Working with users to establish and meet business needs
- Advising the Project and/or Programme Board of any risks that may arise that are likely to affect delivery of programme objectives and to be part of the risk reduction process
- Providing information for project documentation
- Producing project reports as planned to the required level of quality and to agreed timescales
- Delivery of the project specific elements of the Stakeholder Management Plan and Communications Plan

- Management of the project-level risk register – escalating issues that may require a draw down on the programme level risk pot
- Providing monthly update reports to the Project Board (and/or programme management office), requesting decisions based on clear recommendations to address issues when they occur
- Responsible for seeing a project through local political processes.

These teams, although receiving direction from the TCF Programme Board, already have their own effective delivery mechanisms in place for the types of intervention within the TCF programme.

PROGRAMME IMPLEMENTATION PLAN

An outline plan for the implementation of the TCF programme has been developed to inform the Financial Case, but more detailed delivery plans for each of the interventions will be developed in due course. The outline plan developed is shown in the table below.

Delivery Stage	Key Dates
Preliminary Design	May 2019 – December 2020
Consultation	October 2019 – April 2021
Detailed Design	April 2020 – April 2022
Start on Site	April 2020
Completion on Site	March 2023

The outline phasing plan has the design and development of the interventions front-loaded within the timeframe so as to minimise risk in terms of cost and deliverability and identify any issues at an early stage – this includes any necessary consultation.

A small number of schemes require land and/or statutory approvals, but again the early and properly planned design and development of all of the interventions within the TCF programme is intended to minimise any risk associated with these schemes.

ASSURANCE AND APPROVALS

As noted previously, beyond the approval of this SOBC, further approval of the interventions within the TCF programme will be made in accordance with the SCR's agreed Assurance Framework.

All schemes and projects seeking investment in the SCR undergo a proportionate appraisal to assess the merits of the application, its strategic fit and value for money. The first stage in the process is the production of a Strategic Business Case (SBC), which provides a first view of the 'how, what and when' the project will deliver and its strategic fit with the SEP.

An SBC is assessed in line with the five-case model in the HM Treasury Green Book guidance, and so this SOBC will address this requirement of the SCR's Assurance Framework, once approved by the DfT, given that it has also been approved by the MCA prior to submission.

Beyond the SBC stage, a project applicant or scheme promoter is required to develop the business case further. The requirements at this stage are dependent on the nature, scale, risk and complexity of the project, but would generally require an Outline Business Case (OBC) and thereafter a Full Business Case (FBC).

As set out in the Commercial Case, the individual interventions within preferred TCF programme have been grouped into a series of packages on a theme and geographic basis, and it is intended that the following OBCs (and the FBCs) will be progressed through these packages.

The required OBCs and FBCs build on the foundations of this SOBC in that they will provide more detail on each of the five cases outlined in the HM Treasury Green Book guidance but particularly that all impacts of a scheme (monetised and non-monetised) are presented in the OBC and FBC for consideration.

Once an OBC and FBC is fully developed it is then submitted to the SCR Appraisal Panel for review. An independent assessment is undertaken of all OBCs and FBCs to quality assure and scrutinise the project as well as undertaking all necessary due diligence checks. Transport projects are subjected to a WebTAG compliant appraisal at this stage, and an Appraisal Scoping Report template is used to assess such schemes.

The SCR Assurance Team completes a Value for Money (VfM) Statement and submits the appraisal report and VfM Statement to the SCR Appraisal Panel for their assessment. The Panel reviews the technical analysis undertaken by the SCR Executive Team, along with the VfM Statement. The Appraisal Panel then agrees what recommendation they will make to the relevant SCR Thematic Board – either to fully approve the project or defer the project for further work. In this case of the TCF programme, the Panel's recommendation will be made to the MCA Transport Board.

The Appraisal Panel does have delegated authority to approve projects with a grant value of £100,000 or less directly, however, it is not expected that this will be relevant for any of the packages within the TCF programme.

The MCA Transport Board can then approve a package if it is within their delegated limit (currently those with a grant value of less than £2 million), with a Delegated Decisions paper then presented to the MCA.

Packages which exceed the delegation limit would be endorsed by the MCA Transport Board and submitted to the MCA for approval.

Once packages are approved, the SCR Executive Team drafts a Grant Agreement which is based on the details in the FBC and includes any required conditions. If the package is not approved, promoters are provided with written feedback on the reasons why and invited to re-submit the application in the future.

If a significant change is required post-FBC, the promoter would submit a Change Request Form with supporting documentation to the SCR Contract Lead, who would then complete a review and submit the request to the Appraisal Panel for consideration. Depending on the impact of the change request, and the value of the initial grant, the changes would then

require the approval of either the Appraisal Panel, the MCA Transport Board or, ultimately, the MCA.

COMMUNICATIONS AND STAKEHOLDER MANAGEMENT

A Stakeholder Management Plan has been prepared to seek views, communicate progress and create consensus during the further development of the TCF programme, based on an initial mapping of the relevant stakeholders and their categorisation into the following three groups to allow a more focussed approach to each:

- Informed: those stakeholders who are kept up to date on progress or outcomes
- Consulted: those stakeholders whose opinions and solutions are sought throughout or at particular points
- Actively Involved: those stakeholders who will be responsible or accountable for achieving the outcome.

The stakeholder management plan is designed to ensure existing communication processes are captured, rather than just adding new ones. This includes the integration of the four bus partnerships and Countywide governance into the TCF plan, thereby allowing for feedback on both the TCF development and the input of the wider environment in which the bus companies operate.

The current stakeholder management plan is shown on the following pages and this plan has already started to be implemented.

To supplement the stakeholder management plan, a wider Communications Plan is being developed across the SCR. The aim of the Communication Plan is to ensure the consistent and structured delivery of messages to all key stakeholders throughout the lifecycle of the TCF programme. This is to ensure that:

- Customers and stakeholders feel informed about the scheme and how it may impact them
- Customers and stakeholders feel they have had the opportunity to share their views about the scheme
- Customers are informed of the benefits the scheme will have on the local area.

This communications plan will be aligned with the communications around the overall TCF programme being developed by the DfT and also with the agreed TCF programmes of neighbouring authorities, particularly West Yorkshire.

Both the stakeholder management plan and the communications plan are to be updated at key points during the programme delivery stage, being treated as a 'live' document and additional information added when applicable.

The Project Boards are responsible for ensuring the agreed plans are implemented.

Grouping (Actively Involved/ Consulted/ Informed)	Sub-Group	Stakeholder	Key Needs	Interest (H/M/L)	Influence (H/M/L)	Key Actions/Activity
Actively Involved	Funder	DfT	Delivery of the projects in TCF will contribute towards Government objectives for increasing the number of cyclists and easing congestion. Bid is being co-developed with DfT to meet fund objectives.	H	H	Will continue to communicate with DfT on development of the bid to ensure alignment with the fund objectives. DfT to continue to sit on TCF Programme Board.
Actively Involved	Approver/ Funder	Local Authorities	New infrastructure will increase the capacity on the existing network and will help to ease congestion and help deliver quality of life improvements	H	H	Work with Local Authority Officers to ensure that proposals meet the needs of the authorities. Co-ordinate through TCF Programme Board, Strategic Transport Group and Network Managers Group.
Actively Involved	Bus Operators	South Yorkshire Bus Operators	Journey time savings will reduce costs which can be reinvested in the network to improve customer offer and increase patronage	H	H	Involve operators in design and development work. Will manage through existing Bus Partnerships.
Actively Involved	Operator	South Yorkshire Supertram Limited (SYSL)	Increased patronage on the tram will support investment in the network. Congestion will also be eased further downstream from the use of the P&R.	H	H	Involve SYSL in design work of relevant elements.
Actively Involved	Operator	Northern Rail	Improved station access will lead to increased patronage and greater revenue returns that can be reinvested in the network.	H	H	Work with Northern to progress the detail design for schemes, then their implementation.

Grouping (Actively Involved/ Consulted/ Informed)	Sub-Group	Stakeholder	Key Needs	Interest (H/M/L)	Influence (H/M/L)	Key Actions/Activity
Actively Involved	Owner	Network Rail	Improved access to rail stations will increase customer satisfaction with the Network Rail owned facilities.	H	H	Network Rail to be involved through discussions Northern Rail.
Actively involved	Deliverer	Amey	TCF projects in Sheffield that impact on the highway will impact on the existing Amey PFI contract.	H	H	Work with Amey on the design of TCF interventions in Sheffield to ensure they are delivered in a coordinated manner within their existing programme and to understand the cost implications for the PFI contract.
Consulted	User Group	Sustrans	Increase in cycling will potential shift some shorter journeys from car, improve health and have a positive impact on air quality. Could lead to increased use of the NCN.	H	M	Contact Sustrans and consider their involvement in the design stage. Identify whether there are overlaps with the NCN.
Consulted	Landowner	Verdian and Harworth (iPort Bridge scheme)	Sustainable site access will be improved to enable mode shift from car to active travel modes.	M	H	Work with landowners to ensure site access issues are addressed collaboratively.
Consulted	Landowner	Magna	Provision of a new tram-train facility at Magna will increase the available labour market and improve sustainable access to the site for employees and visitors.	M	H	Involve Magna in the design stage of the project. Encourage supporting measures to promote use of the new tram-train stop and park and ride facilities.
Consulted	Landowner	Parkgate Retail	Delivery of the link road scheme will improve site access, ease congestion and unlock land for development enabling the delivery of a park and ride site.	M	H	Work with landowners on scheme design.

Grouping (Actively Involved/ Consulted/ Informed)	Sub-Group	Stakeholder	Key Needs	Interest (H/M/L)	Influence (H/M/L)	Key Actions/Activity
Consulted	Government Agency	Highways England	Some elements of the TCF programme will ease congestion and improve traffic circulation assisting smooth running of the strategic road network.	M	M	Highways England to be involved in the design work of relevant elements.
Consulted	Government Agency	Canals and Rivers Trust	Construction of infrastructure will contribute to enhanced public realm.	M	M	Include CRT in design phase to ensure compliance with regulations.
Consulted	Government Agency	Environment Agency	Construction of infrastructure will contribute to enhanced public realm including improved biodiversity.	M	M	Include EA in design phase to ensure compliance with regulations.
Consulted	Employer	DSA	Improved connectivity will widen the labour pool available to DSA and ease the flow of people and goods to the Airport.	M	L	Align with refreshed Surface Access Strategy being developed by DSA.
Consulted	Employer	AMID/AMRC	Improving reliability of existing transport links to the AMID and AMRC will help employers to access a wider labour pool as public transport becomes a viable travel choice. By improving sustainable travel access alongside PT reliability, congestion around the site could be eased as people travel to AMID using sustainable modes.	M	M	Work with AMID and AMRC to identify how connectivity is restricting access to labour markets and to encourage supporting measures to increase active travel.
Consulted	Employer	AWRC/OLP	Providing active travel links between the City Centre and OLP will increase the presence of OLP.	M	M	Involve AWRC and OLP in scheme design. Encourage provision of supporting measures to ensure infrastructure is promoted.

Grouping (Actively Involved/ Consulted/ Informed)	Sub-Group	Stakeholder	Key Needs	Interest (H/M/L)	Influence (H/M/L)	Key Actions/Activity
			Enabling sustainable access to the site will help to manage congestion from car traffic as the site develops.			
Consulted	Businesses	Frontages within XXm	The benefits delivered by TCF will help to ease congestion which will enable employees to access employment and speed up the delivery of goods across the network.	M	M	Work with the Chamber of Commerce to communicate the benefits of this project.
Consulted	Residents	Residents within XXm	TCF will improve the active travel infrastructure available across the region and ease congestion on the network.	M	M	Work with our communications team to promote the benefits of the TCF bid through our communications channels.
Consulted	Safety	Police/ community safety teams	The creation of improved waiting facilities, improved station access and introduction of new active travel infrastructure, will promote feelings of safety.	M	L	Inform police / community safety teams of the station access improvement works and consider sharing designs to ensure they incorporate best practice.
Consulted	Utility Provider	National Grid	New waiting facilities and station infrastructure will create a safe and comfortable waiting environment. The low emissions bus project will lead to the reduction of emissions from diesel buses.	M	H	Installation of infrastructure both on street and at stop requires connection to/accommodation on National Grid asset register. Work with National Grid and DNO to ascertain capabilities to support introduction of EV charging at various locations.
Informed	Utility Provider	Telecomms provider	Provision of real time information at stops will improve the customer experience by increasing the confidence	L	H	Inform of TCF plans for real time information provision and the affected locations.

Grouping (Actively Involved/ Consulted/ Informed)	Sub-Group	Stakeholder	Key Needs	Interest (H/M/L)	Influence (H/M/L)	Key Actions/Activity
			in public transport and lead to increased patronage.			
Informed	User Group	Rail passengers	At the stations that are subject to accessibility improvements, commuters/passengers will experience the benefits to the station environment however there will possibly be disruption during construction.	M	L	Work with Northern to develop communication materials to inform passengers
Informed	User Group	Public transport passengers	Delivery of the TCF programme will see improvements to journey time reliability that will benefit end users. Station access improvements will improve the customer experience of using regional rail services.	H	M	Contact user groups to test facility designs to ensure they are fully accessible and meet customer needs. Co-ordinate through SYPTE.
Informed	User Group	Cycle Sheffield (and any equivalent for other Districts)	Improving cycling infrastructure provision across the region will enable more people to travel sustainably – this could lead to higher numbers of people cycling and could encourage more people to switch from car to cycle for short journeys.	H	L	Inform of plans for provision of cycle infrastructure on TCF routes in the groups' areas of interest. Invite input at the design stage to overcome known local issues.
Informed	Landowner	Universities	Improving reliability of transport links to the AMID and AMRC will help students to connect with employment and training opportunities.	H	M	Work with university to identify how connectivity is restricting access to opportunities.
Informed	Government Agency	Public Health England	Increasing the provision of cycling and walking infrastructure will enable the uptake of active travel modes and increase the number of people achieving	H	L	Inform directors of public health of the improvements to active travel infrastructure.

Grouping (Actively Involved/ Consulted/ Informed)	Sub-Group	Stakeholder	Key Needs	Interest (H/M/L)	Influence (H/M/L)	Key Actions/Activity
			the recommended levels of daily exercise – this will improve the health of residents and visitors to the City Region and reduce the call on future resources.			

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RISK IDENTIFICATION AND MANAGEMENT

A programme-level Risk Register has been developed and is maintained by the Programme Board. This is the primary means of recording risk information and monitoring risk exposure throughout the life of the programme. It not only records all identified risks, but also includes suggested mitigation measures and responsibilities.

This risk register focuses on programme-level risks and the key risks have been scored and their impacts quantified. This has been used to provide the QRA value that has been included within the Economic and Financial Cases.

The most immediate risks at this time are summarised in the following table. Reporting of key risks is undertaken at Programme Board meetings each month as necessary.

Risk Type	Description of Risk / Planned Mitigation	Owner
Strategic	<p>A collection of smaller schemes is not transformational where these are not aligned to other corridor interventions/packages of works, and the Draft SOBC is rejected or significantly reduced in scope.</p> <p><i>Mitigations:</i></p> <ol style="list-style-type: none"> 1) Co-development of the bid with the DfT 2) Sifting process designed to help mitigate this 3) Overall programme to be discussed/reviewed at Programme Board. 	SRO
Management/ Resources	<p>Resources insufficient to deliver a large scale bid, and a lack of resources may impact on the quality of the bid and/or delivery of the programme post-submission.</p> <p><i>Mitigations:</i></p> <ol style="list-style-type: none"> 1) Resources to be standing item at Programme Board 2) Programme to be monitored by SRO, Programme Board and Project Boards 3) Effective resource planning to be implemented 4) Making use of frameworks – early engagement 5) Other 2019/20 funding being used to progress schemes before the outcome of the bid is known. 	Programme Board
Economic/ Appraisal	<p>Forecast outcomes are not correct, or some schemes cannot progress as planned leading to reduced outcomes and a lower BCR/VfM.</p> <p><i>Mitigations:</i></p> <ol style="list-style-type: none"> 1) Sifting process to test robustness of scheme VfM/BCR 2) Appraisal process to be scoped and agreed with DfT 3) Business case(s) to be tested with appropriate level of optimism bias 4) Outcome delivery (forecast and actual) to be managed by Programme Board 5) Contingency plan to be prepared to make up any shortfall in outcomes 6) Appraisal workshop by SCR TCF Task & Finish Group to ensure consistent approach by partners with standard approach and consistent assumptions. 	SRO

Risk Type	Description of Risk / Planned Mitigation	Owner
Financial	<p>Clarity of level of Local Contributions required, both the source and whether it is sufficient, particularly in the latter years of the programme, which would undermine strength of SOBC.</p> <p><i>Mitigations:</i></p> <p>1) Discussion with DfT and Partners at Programme Board 2) Indicative provision to be agreed by all partners prior to submission.</p>	Programme Board
Economic/ Appraisal	<p>New SCR multi-modal model not validated in time for use in preparation of SOBC, with an inability to model some larger scale TCF schemes, particularly in Barnsley and Doncaster.</p> <p><i>Mitigations:</i></p> <p>1) SCR Modelling team to include provision in Modelling Programme 2) Ongoing discussions with DfT regarding approach to appraisal.</p>	SRO
Financial	<p>Inability to deliver within the allocated annual funding profiles means that some schemes may have to be curtailed or removed from programme.</p> <p><i>Mitigations:</i></p> <p>1) Project Teams to be realistic about delivery of schemes in preparation of SOBC 2) Programme management processes to maintain some flexibility in funding years 3) Flexibility of profile to be discussed with DfT.</p>	Project Manager (s)
Financial	<p>Some schemes being designed at risk before confirmation of funding – if TCF bid is not successful, costs may need to be covered by revenue funding, with a lack of capacity within existing funding streams eg Integrated Transport block.</p> <p><i>Mitigations:</i></p> <p>1) Discussion with DfT regarding early confirmation of some funding post-submission. 2) Confirmation that costs incurred after SOBC submission can be included in cost estimates.</p>	SRO
Inflation	<p>(In)accuracy of inflation forecasts may lead to final outturn costs being higher than agreed programme budget</p> <p><i>Mitigations:</i></p> <p>1) Provision to be made in QRA/risk adjusted price 2) To be monitored/managed by Programme Board.</p>	Programme Board

One of the key risks relating to the delivery phase of the programme identified within the risk register is that regarding the need to secure the necessary powers/consents for individual schemes. It is clear that most of the interventions will require some form of consent, but it is difficult to understand at this stage the level or likelihood of this risk as schemes are at an early stage of development.

The front-loading of the preliminary design of all of the interventions within the TCF programme described previously is intended to minimise this risk. As well as this approach, the risk register also includes the mitigation measure of developing some alternative and/or replacement schemes that can address this issue in the delivery phase.

A further risk identified is that around communications, particularly as consultation on a small some interventions is intended in Autumn 2019 to ensure delivery in early 2020. Inconsistent messages can undermine scheme development and/or delivery, and this is particularly important given the alignment of SCR's TCF programme with the work of the Active Travel Commissioner. To address this, the stakeholder management plan and communications plan described previously have been developed and the former is being implemented.

Project-level risks have been identified and are owned by individual Project Teams, with separate risk registers being developed at the appropriate time.

BENEFITS, MONITORING AND EVALUATION

The TCF programme will be subject to a programme of before and after monitoring and evaluation, in line with the SCR's agreed Assurance Framework and the framework for the overall TCF programme evaluation that is being developed by the DfT. The latter is expected in Autumn 2019, but some guidance on evaluation has been provided for this SOBC. This guidance suggests a general outline for monitoring and evaluation based around five elements:

- Establish a 'theory of change' for interventions
- Develop a counterfactual (usually a before and after study)
- Collect baseline data
- Plan what monitoring is needed
- Plan for data.

The SCR and its partners are committed to the monitoring and evaluation of the TCF programme to ensure the benefits of the investment are fully realised and the programmes value for money in terms of delivering economic growth and quality of life outcomes for the SCR can be demonstrated.

Any programme of monitoring and evaluation needs to demonstrate the extent to which the TCF objectives were met, monitor performance of the individual elements of the programme and ensure that any potential issues post implementation are identified and addressed.

The proposed programme of monitoring and evaluation for the TCF programme needs to support this SOBC, but also to provide a framework for development of more detailed monitoring and evaluation plans for each of the packages of interventions. It should therefore seek to enable to assessment of the entire TCF programme whilst providing flexibility to define more bespoke monitoring and evaluation plans for the individual packages that will be delivered.

As a starting point, and to pick up on the 'theory of change' approach advocated, an outline Benefits Realisation Plan (BRP) has been to identify, track and compare the various benefits expected to be delivered. In this case, a "benefit" is an outcome of change that is measurably positive and "benefits realisation" is the process for the identification, definition, measurement and realisation of benefits from a project.

The TCF objectives have been used to develop the initial 'desired outputs, outcomes and impacts' for the programme and the individual elements. These desired outputs, outcomes and impacts are the actual benefits that are expected to be derived from the programme:

- Desired outputs – tangible effects that are funded and result from the programme
- Desired outcomes – what happens as a result of the outputs
- Desired impacts – the final impacts brought about by the scheme in the short, medium and long term as a result of the outputs and outcomes.

The suggested 'desired outputs, outcomes and impacts' for the TCF programme are summarised overleaf and provide the basis for the outline BRP that will be developed further as the TCF programme progresses.

Based on the outline BRP, an outline Monitoring and Evaluation Plan (MEP) has also been developed for the TCF programme. It is intended that the outline MEP is refined in collaboration with the contractor commissioned by the DfT to undertake the national evaluation of the overall TCF programme. The updated MEP will be used during the implementation period to manage delivery, and post-implementation of the TCF programme, to evaluate its impact.

Through the monitoring and evaluation of the TCF programme, the SCR, alongside the national evaluation contractor will seek to:

- Understand whether and how the programmes main objectives have been achieved, exceeded or not reached
- Provide transferable evidence that may be used to inform future decision making on similar investment programmes
- Improve the efficiency and effectiveness in the delivery of future investment programmes based on the lessons learnt from the programme.

As well as the specific TCF evaluation guidance issued, the suggested draws upon the guidance set out in the document "Monitoring and Evaluation Framework for Local Authority Major Schemes" (2012) as well as MEPs used for recent similar programmes, for example BBA and LSTF.

TCF Programme Objective	Desired Outputs	Desired Outcomes	Desired Impacts
<p>To better connect the areas of transport poverty with areas of opportunity in a safe and sustainable way</p> <p>To affect a mode shift away from the private car on those corridors where new opportunities are likely to see an increase in demand or where growth could be stifled</p> <p>To create a cultural shift towards making cycling and walking the natural choice for shorter journeys</p> <p>To achieve the above in ways that address current health issues and improve air quality across the SCR</p>	<p>XXkm of improved walking and cycling infrastructure</p> <p>XXkm of new walking and cycling infrastructure</p> <p>XXkm of new infrastructure to benefit buses</p> <p>XXkm of new bus lanes</p> <p>XX junction improvements to benefit non-car modes</p> <p>Improvements to the facilities at 13 local rail stations</p> <p>Deployment of XX low emission buses for the period of the TCF programme</p>	<p>More walking and cycling journeys across the SCR</p> <p>Reduced bus journey times</p> <p>Improved bus journey time reliability</p> <p>Increased bus patronage</p> <p>Increased tram patronage</p> <p>Increased rail patronage</p> <p>Reduced car commuting</p> <p>Improved air quality</p>	<p>Support inclusive growth</p> <p>Enhanced opportunities to access new employment sites</p> <p>Create healthy streets where people feel safe</p> <p>Improve the quality of our outdoors</p>

It is initially proposed that the monitoring and evaluation will be undertaken at the level of the packages of interventions that have been defined as part of the proposed governance and assurance arrangements within this SOBC.

Once a particular intervention is completed and open, the expected benefits should be realised, however, as with many large scale transport schemes, the full realisation of the benefits (particularly the intended impacts) will take place over an extended period of time, and so this has been recognised in the development of the MEP.

Assessing the impact of the packages as a whole (whether it achieved its objectives; how well it was planned and delivered; whether it represented value for money etc) will mean a focus on accountability based research questions, seeking to assess the overall level and direction of change in defined metrics, and less on issues of attribution (mechanisms through which change occurred). However, this proposed approach will be reviewed in collaboration with the national evaluator at the appropriate point to ensure it is reflective of the needs of both the local and national evaluation programmes.

Indicators for measuring the outputs, outcomes and impacts of the programme are defined in the outline MEP so as to identify whether or not the objectives of the scheme have been achieved. The MEP also identifies when and how the indicators will be tracked. Where benefits are difficult to measure, directly proxy indicators have been defined. They way in which the indicators are defined should also allow for the extent of benefits realisation to be understood and inform the change management process.

Monitoring of the outputs are to be at both a programme and a project level and will focus on evidencing outputs are successfully delivered and cost targets and programme milestones met. The monitoring of these metrics will be a requirement of the governance and assurance processes detailed previously for the individual packages of interventions. The metrics set out in the table below are therefore proposed.

Outputs	Measure	Data to be used
Project/Programme	Programme/project plan assessment Risk management effectiveness	Programme/ project management reporting
Cost	Outturn investment costs Identification of cost savings Analysis of cost overruns	Financial monitoring of project/programme

Based on the outcomes and impacts in the outline BRP, the metrics set out in the following two tables are currently proposed for the TCF programme across the SCR. In accordance with the guidance issued to date, a predominantly counterfactual approach will be adopted so as to understand the outcomes and impacts by comparing what has happened with what would have happened in the absence of any intervention.

Outcome	Measure	Data to be used
To better connect the areas of transport poverty with areas of opportunity in a safe and sustainable way	% of people living in the most deprived areas brought within a 30 minute journey time by public transport of an urban centre, SCR growth area or university	DfT methodology of assessing accessibility using the Accession software
	Walking and cycling accessibility assessment to an urban centre, SCR growth area or university	Local Transport Plan and DfT methodology of assessing accessibility using the Accession software
To affect a mode shift away from the private car on those corridors where new opportunities are likely to see an increase in demand or where growth could be stifled	Total bus patronage	Bus operator statistics
	Total rail patronage	SYLTE surveys
	Total tram patronage	Stagecoach Supertram statistics
	Morning peak traffic flow (car miles) along key corridors	Trafficmaster data
	Mode split of peak flows along key corridors	Traffic surveys
Satisfaction with public transport	(i) Bus 'user' from SYLTE household survey ii) Bus 'user' from Passenger Focus onboard survey iii) Rail 'user' from Passenger Focus onboard survey iv) Tram 'user' from Passenger Focus onboard survey	
To create a cultural shift towards making cycling and walking the natural choice for shorter journeys	Morning peak cycle flows along the key corridors	Cycle surveys
	Attitudes to cycling	User/Non-user surveys
	Attitudes to walking	
Address current health issues and improve air quality across the SCR	Total carbon emissions from the transport system (kT CO ₂)	Latest data from UK local authority and regional carbon dioxide emissions national statistics
	Nitrogen dioxide (NO _x) and particulate matter (PM10) levels in AQMAs	Days where threshold exceeded in AQMAs (NO _x /PM10)
	KSI accidents (5 year average)	STATS19 data

Desired Impacts	Measure	Data to be used
Support inclusive growth	Increase in jobs - employment levels (% employed 16-64) Skills attained (NVQ4+ or equivalent) Increase in GVA (South Yorkshire)	TBC
Enhanced opportunities to access new employment sites	TBC	TBC
Create healthy streets where people feel safe	Life expectancy (M/F)	TBC
	Perceptions of safety	TBC
Improve the quality of our outdoors	TBC	TBC

The SCR will work with the national evaluators to ensure there is consistency in data collection processes and absence of bias in the data collected as required for the needs of both the local and national evaluation programme.

Although the suggested metrics apply to the overall TCF programme across the SCR, they are also considered suitable for evaluating the individual packages of interventions that sit within it. Each package will develop their own MEP and define the metrics in more detail in accordance with the objectives of the package and its geographical scope.

As a starting point, it is considered that the following metrics should be considered by the Project Teams for inclusion within the package-specific MEP as the OBCs are prepared. This approach uses existing data sources as well as some programme-specific sources. SCR will aim to ensure that a consistent approach to measurement is adopted across different packages where similar metrics are proposed across a range of work packages.

- Active Travel Interventions
 - Number of people using new and improved walking and cycle facilities
 - Attitudes to walking and cycling
- Public Transport Interventions
 - Bus Punctuality (% of services 'on time') and Reliability (standard deviation of wait times mins/trip) by route
 - Average Bus Journey Times (by service)
 - Bus Patronage (by service)
 - Passenger Satisfaction (with infrastructure and services)
 - Number of people using park and ride facilities
 - Tram Patronage (on services using new and improved park and ride facilities)
- Rail Interventions
 - Rail Patronage (on services using stations with improved facilities)
 - Passenger Satisfaction (with infrastructure and services)
- All Interventions
 - Accessibility to Workplace and Jobs

SCR recognises the importance of setting specific indicators and targets and accepts that this outline MEP does not yet include these. The MEP will be updated with targets following collaboration with the national evaluator and in relation to the Measures for Success included within the SCR Transport Strategy.

Costs associated with monitoring and evaluation are included within the overall TCF programme cost estimates but will need to be confirmed once further collaboration has been undertaken with the national evaluation contractor. Monitoring and evaluation will be coordinated by the SCR, who will also oversee the monitoring and evaluation of the overall TCF programme whilst the Project Boards and Project Teams for the individual packages of interventions will be required to manage the monitoring and evaluation of their projects in accordance with the agreed governance and assurance processes (for example, in line with agreed MEPs produced as part of the OBCs and FBCs required for the progression of the individual packages).

Under these arrangements, the collection and analysis of the monitoring and evaluation data will be the responsibility of the Project Teams and will be reported to the relevant Project Board. The Programme Board will set up systems to monitor the effectiveness of the TCF programme, be responsible for ensuring the agreed measures have been monitored and will consider the results of the evaluation. This approach builds upon and is in line with, the agreed SCR Assurance Framework, and means that the Programme Board can work with the Project Boards/Teams to agree corrective action if required and as a final resort secure the desired outcomes via alternative measures if necessary.

In terms of reporting on monitoring and evaluation, the following timescales are considered appropriate at this time:

- Baseline data collection will take place between September 2019 and the beginning of implementation of specific work packages
- Regular monitoring reports from individual work packages will be provided to the Project Boards and Programme Board on a monthly basis
- Individual work packages will deliver monitoring and evaluation reports as stipulated in their agreed MEPs
- An annual monitoring summary for the overall TCF programme will be produced by SCR
- On completion of the TCF programme a '1 year after' and '5 year after' evaluation report will be produced which contains the results of a meta-analysis of all evaluations carried out, although recognising that the preferred TCF programme of interventions is such that some benefits (particularly impacts) will only occur over a much longer timescale.

The findings from proposed monitoring and evaluation process will be communicated to key stakeholders and all reports publicised via the SCR website. However, as with the remainder of the outline MEP, this proposal is subject to revision following consultation with the national evaluation contractor.