

Appendix 5.2 – Appointment of SRO – Joint Committee Report



Swansea Bay City Region Joint Committee – 11 June, 2020

Appointment of Senior Responsible Owner (SRO)

Purpose:	To appoint a Senior Responsible Owner (SRO) who is accountable to the Swansea Bay City Region Joint Committee for ensuring the Swansea Bay City Deal (SBCD) programme has appropriate governance in place
Policy Framework:	Swansea Bay City Deal (SBCD) Joint Committee Agreement (JCA)
Consultation:	Programme Board
Recommendation(s):	It is recommended that Joint Committee: 1) Approves that the Chair of the SBCD Programme Board is appointed as the Senior Responsible Owner (SRO) for the SBCD Programme
Report Author:	Jonathan Burnes, SBCD Programme Director
Finance Officer:	Chris Moore, Section 151 Officer, SBCD
Legal Officer:	Tracey Meredith, Monitoring Officer, SBCD

1. Introduction

1.1 The Joint Committee is ultimately accountable for the delivery of the Swansea Bay City Deal objectives, delivering the projected outcomes and realising the required benefits. The Senior Responsible Owner (SRO) will work with the Joint Committee to ensure that the governance and assurance arrangements are in a place to meet these accountabilities.

1.2 Appointing a Swansea Bay City Deal SRO is a requirement of both the UK Government and Welsh Government. Although the City Deal's Programme Director is responsible for the day-to-day management of the City Deal's Programme Management Office, the SRO will provide the PMO with leadership and direction.

1.3 The SRO will ensure solutions are delivered to meet the needs of the City Deal programme, while engaging key stakeholders and assuring on-going viability and escalations to the Joint Committee. The SRO will also be the owner of the City Deal's Programme Business Case.

1.4 More detail on the need for, the role and the responsibilities of the SRO is included in appendix one of this report.

2. Financial Implications

2.1. There is no financial cost to the programme in respect of the appointment of the SRO.

3. Legal Implications

3.1. The SRO is accountable for ensuring that the programme has in place a governance and assurance regime that is effective, proportionate and appropriate. This will enable the programme to deliver successfully.

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

As a programme which provides an opportunity to address persistent challenges such as climate change, poverty, inequality, jobs and skills in a transformational and preventative way, the City Deal is in keeping with the approach and ambitions of the Well-being of Future Generations (Wales) Act 2015. Given the breadth of the Swansea Bay City Deal programme, it also has a significant impact across the seven well-being goals for Wales.

Background Papers: None

Appendices: Appendix 1 - SRO Letter of appointment, roles and responsibilities

Appendix 1 - SRO Letter of appointment, roles and responsibilities

Swansea Bay City Deal Senior Responsible Owner (SRO) Letter of Appointment

The Swansea Bay City Deal is seeking to appoint a regional SRO to be directly accountable for the independent assurance and to mediate initial opportunities and challenges proposed by key stakeholders. This position will be in addition to the post holder's substantive role and responsibilities and therefore requires dedicated time to fulfil the responsibilities set out below.

The tenure of position is ongoing from appointment with a periodic review by Joint Committee taking place regarding the post holder and associated roles and responsibilities.

The SRO will have accountability for ensuring that the Swansea Bay City Deal programme is governed appropriately with transparent progress updates in an environment that enables stakeholders to constructively challenge and escalate issues to achieve regional ambitions and City Deal targets.

The Joint Committee is ultimately accountable for the delivery of the Swansea Bay City Deal objectives, delivering the projected outcomes and realising the required benefits. The Senior Responsible Owner (SRO) will work with the Joint Committee to ensure that arrangements, governance and assurances are in a place to meet these accountabilities. In doing so the SRO will ensure that key decisions and communications are appropriate and timely with all regional stakeholders and Welsh and UK government officials and Ministers.

The necessity to escalate risks and issues will be through the Joint Committee Chair.

There is a mandatory requirement for the post holder to attend an SRO training course irrespective of whether this is their first SRO role. Opportunities will be identified and supported by the Regional Programme Management Office (PMO).

The Swansea Bay City Deal and its associated projects are required to complete a Risk Potential Assessment (RPA) form and submit it to the WG Integrated Assurance Hub via the Regional PMO. The SRO is required to adhere to this requirement and provide the necessary information.

The SRO is also responsible for change control of the Swansea Bay City Deal. Proposed changes to the scope that could impact on the vision, objectives or benefits realisation of the programme must be authorised by the Swansea Bay City Deal Joint Committee and may be subject to further levels of approval at Welsh and UK Government. This responsibility would also include the potential for recommending, in a timely manner, to the Joint Committee, the need to either pause or terminate the Programme or specific projects where necessary.

SRO Role and Responsibilities

The Role of the Senior Responsible Owner (SRO)

The SRO is responsible for securing the resources necessary for the success of the Programme. In doing so, the SRO must ensure that individuals are appointed with both suitable skills and experience for undertaking the roles identified – particularly when recruiting the Programme Management Office (PMO) staff, as this office could become a single point of programme failure.

The SRO is responsible for ensuring that the related implementation and transition activities realise the agreed objectives and benefits.

The SRO will be expected to account for and explain the decisions and actions they have taken. This could include where a Minister has intervened to change the Programme during the implementation phase in a way which has implications for the cost or timescales – in which case disclosure of any advice regarding such changes may be required.

The SRO must ensure the effectiveness of the governance, assurance and programme management arrangements and maintain them throughout the life of the programme.

The SRO should adopt best practice approaches and be prepared to justify any deviation from the same.

An SRO will:

- Be a visible, engaged and active project leader, not a figurehead;
- Deliver the agreed outcomes and benefits;
- Create an open, honest and positive culture committed to delivering at pace;
- Challenge senior officials and Ministers when appropriate and escalate quickly;
- Provide appropriate support, steer and strategic focus to the Programme Director and ensure that they have a clear and current letter of appointment; and
- Have sufficient time, experience and the right skills to carry the full responsibilities of the role.

Specific SRO accountabilities

The SRO is accountable for setting the Programme up for success. In particular, the SRO is expected to:

- Ensure that the project is set-up to make an unambiguous and demonstrable link to strategic policy;
- Translate policy intent into clear deliverables which are established and agreed with senior stakeholders;
- Carry out a robust and commercially viable options appraisal, which balances risk with opportunity, as part of the Programme Business Case feasibility;
- Establish a firm Programme Business Case during the initiation phase and ensure that any planned change continues to be aligned with the Programme;
- Identify and secure the necessary investment for the Programme Business Case, including budget and operational resource;
- Design and implement robust, appropriate and transparent governance;
- Build strong and effective relationships with key stakeholders, justifying their trust and retaining their confidence, and obtain their commitment to benefits realisation.

The Joint Committee is ultimately accountable for the delivery of the Swansea Bay City Deal objectives, delivering the projected outcomes and realising the required benefits. The Senior Responsible Owner (SRO) will work with the Joint Committee to ensure that arrangements, governance and assurances are in a place to meet these accountabilities. In doing so, the SRO must:

- Gain agreement to the Programme objectives and benefits amongst stakeholders, including Ministers where appropriate;
- Understand the broader government perspective and its impact on the Programme;
- Ensure the strategic fit of the Programme objectives and benefits;
- Agree a clear and simple approach to performance management and monitor delivery of the objectives and benefits, taking appropriate action where necessary to ensure their successful delivery.

The SRO must oversee the development of the Programme Management Office and Implementation Plan with the Programme Director. As part of this activity, the SRO must:

- Ensure that there is a coherent organisation structure and appropriately detailed Programme Implementation Plan;
- Build the right team, securing necessary resources and skills and providing clear lines of accountability;
- Provide appropriate support, steer and strategic focus to the Programme Director;
- Provide appropriate authority to the Programme Director to allow them to undertake the duties of their role, including decision-making within defined tolerances.

In conjunction with the Programme Director, the SRO must monitor and take control of progress. In so doing, the SRO must:

- Monitor and control the progress of the Programme at a strategic level, being honest and frank about Programme progress, decisions, actions, risks and issues;
- Ensure that any changes to agreed Programme benefits are flagged appropriately within Programme governance and that the Programme Business Case is updated accordingly throughout project lifecycle;
- Ensure that the integrity of the Programme is maintained, especially when asked to account for decisions;
- Communicate effectively with senior stakeholders regarding Programme progress;
- Provide clear, appropriate and delivery-focused decisions and advice to the Programme Director.
- Ensure that the Programme Director has the appropriate authority to manage the Programme on a day-to-day basis;
- Monitor the progress of the business change at a strategic level. The Programme Director and the PMO is responsible for this at an operational level, who are responsible for providing regular reports to the SRO, Programme Board and Joint Committee on progress.

The SRO must ensure problem resolution and referral processes are appropriate and effective. In particular, the SRO must:

- Identify, understand and drive the successful mitigation of Programme risks;
- Escalate serious issues quickly and with confidence to Programme Board and Joint Committee and/or Welsh/UK Government officers and Ministers;
- Develop strong and effective engagement between the Programme team and its stakeholders and sponsors;
- Ensure that communication processes are effective;
- Ensure that the Programme objectives and deliverables continue to be consistent with the regional strategic direction.

The SRO must ensure that the Programme is subject to assurance at appropriate stages. In particular, the SRO must:

- Work with the PMO to complete the Risk Potential Assessment (RPA) form and return it to the Integrated Assurance Hub via the Regional PMO at the earliest opportunity (N.B. completion of this form is mandatory on all WG programmes and projects);
- Recognise the value of robust Programme assurance and ensure it occurs at key points in the Programme lifecycle, particularly at the start-up (feasibility) and initiation stages;
- Ensure that an Integrated Assurance and Approval Plan (IAAP) is produced as part of the overall planning for the Programme and Project level;
- Ensure that where assurance is identified in the Programme Implementation Plan, appropriate finance is available to pay for the same;
- Undertake assurance that is proportionate to the needs of the Programme;
- Ensure that administrative requirements for assurance reviews are properly resourced;
- Ensure their availability during assurance reviews;
- Make certain that any recommendations or concerns from reviews are met or addressed in a timely manner;
- In the event of a “red” or “amber-red” gateway review outcome, ensure that key stakeholders are made aware of the situation and briefed accordingly.

The SRO must manage formal Programme closure. In so doing, the SRO must:

- Ensure that the Programme Director oversees the day-to-day management of formal closure activities;
- Hold a ‘lessons learned’ workshop with key stakeholders;
- Formally close the Programme and ensure that the lessons learned are documented within the final evaluation report and disseminated to key stakeholders;
- Ensure that the post implementation review takes place and that the output is communicated to the appropriate stakeholders;
- Ensure a plan for both long-term benefits realisation and on-going sustainability is agreed, and properly handed over to the appropriate benefits owners within the business.