

Swansea Bay City Deal Gateway Assurance Framework



Llywodraeth Cymru
Welsh Government

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Contents

- 1. Purpose.....1
- 2. Background 1
- 3. SBCD Assurance Model 7
- 4. Management of Reviews 12
- 5. Governance and Oversight..... 18
- 6. Development and Review 19
- Appendices.....19

1. Purpose

The purpose of this document is to provide a framework for the management, resourcing and governance of Gateway assurance 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 assurance arrangements that will apply to the SBCD Portfolio.

The establishment and application of independent assurance arrangements are an essential and integral part of ensuring successful delivery of portfolios, programmes and projects, and the realisation of their benefits. Due to the high value, risk rating, complexity and the significant number of discrete project elements within the SBCD Portfolio, it is essential that the assurance arrangements are effective and practical, particularly with respect to cost, resource and timing. It is also important that clarity is provided to all stakeholders on assurance requirements, the process involved and their respective roles and responsibilities to ensure the effectiveness of the assurance arrangements.

The framework supports the Portfolio Integrated Assurance and Approval Plan (IAAP) which leads the assurance activity associated with the development, delivery and operational phases of the programmes and projects.

This framework has been produced jointly by the SBCD Portfolio Management Office (PoMO) and Welsh Government Integrated Assurance Hub (IAH) and describes the arrangements for the SBCD Portfolio which are aligned to best practice, and are proportionate, practicable and fit for purpose.

2. Background

2.1 Assurance and Gateway Reviews

The HM Treasury Guidance for Better Business Cases highlights the importance of integrating effective assurance arrangements in the development, delivery and evaluation of projects and programmes. Assurance provides independent and impartial confirmation that a programme / project and its various activities are on track and that the spending objectives can be delivered successfully. It also improves the prospects of achieving the intended outcomes and benefits.

The Better Business Case guidance for developing programme and project business cases aligns with the Cabinet Office Gateway Review assurance process and the Welsh Government Assurance Process. This process examines projects at key decision points in their lifecycle and looks ahead to provide assurance that they can progress successfully to the next stage. OGC Gateway Reviews are regarded as best practice in central civil government throughout the UK and are applicable to a wide

range of programmes and project. The Gateway Reviews deliver a 'peer review', in which independent practitioners from outside the programme/project use their experience and expertise to examine the progress and likelihood of successful delivery of the programme or project. They are used to provide a valuable additional perspective on the issues facing the project team, and an external challenge to the robustness of plans and processes.

It is designed to provide independent guidance to SROs, programme and project teams and to the departments who commission their work, on how best to ensure that their programmes and projects are successful. Essentially, the Gateway Process provides support to SROs in the discharge of their responsibilities for the delivery of the programme or project and to achieve their business aims, by helping the SRO to ensure:

- the best available skills and experience are deployed on the programme/project
- all the stakeholders covered by the programme/project fully understand the programme/project status and the issues involved
- there is assurance that the programme/project can progress to the next stage of development or implementation and that any procurement is well managed in order to provide value for money on a whole life basis achievement of more realistic time and cost targets for programmes and projects
- improvement of knowledge and skills among government staff through participation in Reviews
- Provision of advice and guidance to programme and project teams by fellow practitioners.

Portfolio and Programme Reviews are carried out under OGC Gateway™ Review 0: Strategic assessment.

Project Reviews are carried out under OGC Gateway Reviews 1 - 5; and can undergo up to five Reviews during its lifecycle – three before commitment to invest, and two looking at service implementation and confirmation of the operational benefits. Project Reviews may be repeated as necessary depending on the size, scope and complexity of the project.

The Gateway process identifies the following key stage decision points:

- Gateway 0 – Strategic Assessment for Programmes
- Gateway 1 – Business Justification
- Gateway 2 – Delivery Strategy
- Gateway 3 – Investment Decision
- Gateway 4 – Readiness for Service
- Gateway 5 – Operations Review and Benefits

Additional 'products' available for SROs include Project Validation Reviews (PVR), Project Assessment Reviews (PAR) and Critical Friend Review (CFR). In addition, in circumstances where a Review returns a Delivery Confidence Assessment (DCA) of either Amber/Red or Red, an Assurance of Action Plan (AAP) Review is invoked. PARs tailored to specific terms of reference have made been made use of by a number of City Deal projects.

The standard format for a Gateway Review involves the formation of a Review Team consisting of a paid independent consultant as the Review Team Leader (RTL) and two supporting Review Team Members (RTMs) from the public sector. This Team undertakes a series of interviews with selected stakeholders over a 2-day period and produce a report to the SRO on the third day which includes a Delivery Confidence Assessment (Green / Amber Green / Amber / Amber Red / Red) together with recommendations to support the delivery of the programme or project going forward. For more complex projects and programmes with many stakeholders, a 5-day review can be undertaken.

2.2 SBCD Portfolio, Programmes and Projects

The SBCD has a current portfolio investment of £1.3bn, funded by the UK Government, the Welsh Government, public sector bodies and the private sector. This investment will improve regional infrastructure in high value sectors, attract inward investment from businesses and create good job opportunities. It is a partnership of eight regional organisations made up of local authorities, universities and health boards.

The portfolio is to be delivered over a 15-year period 2017-2033 and with the following investment objectives:

1. **Jobs** - To create over 9,000 skilled jobs aligned to economic acceleration, energy, life sciences and smart manufacturing across the region within 15 years (2017-33).
2. **GVA** - To contribute £1.8-2.4 billion GVA to the Swansea Bay City Region by 2033 and contribute to the region achieving 90% of UK productivity levels by 2033.
3. **Investment** - To deliver a total investment in the region of £1.15-1.3 billion in the South West Wales Regional economy by 2033.

These investment objectives will be realised through the successful delivery of 9 headline programmes and projects each of which has developed a programme or project business case aligned to the Better Business Case guidance.

Responsibility for the delivery of the programmes and projects lies with the identified lead authority / lead delivery organisation.

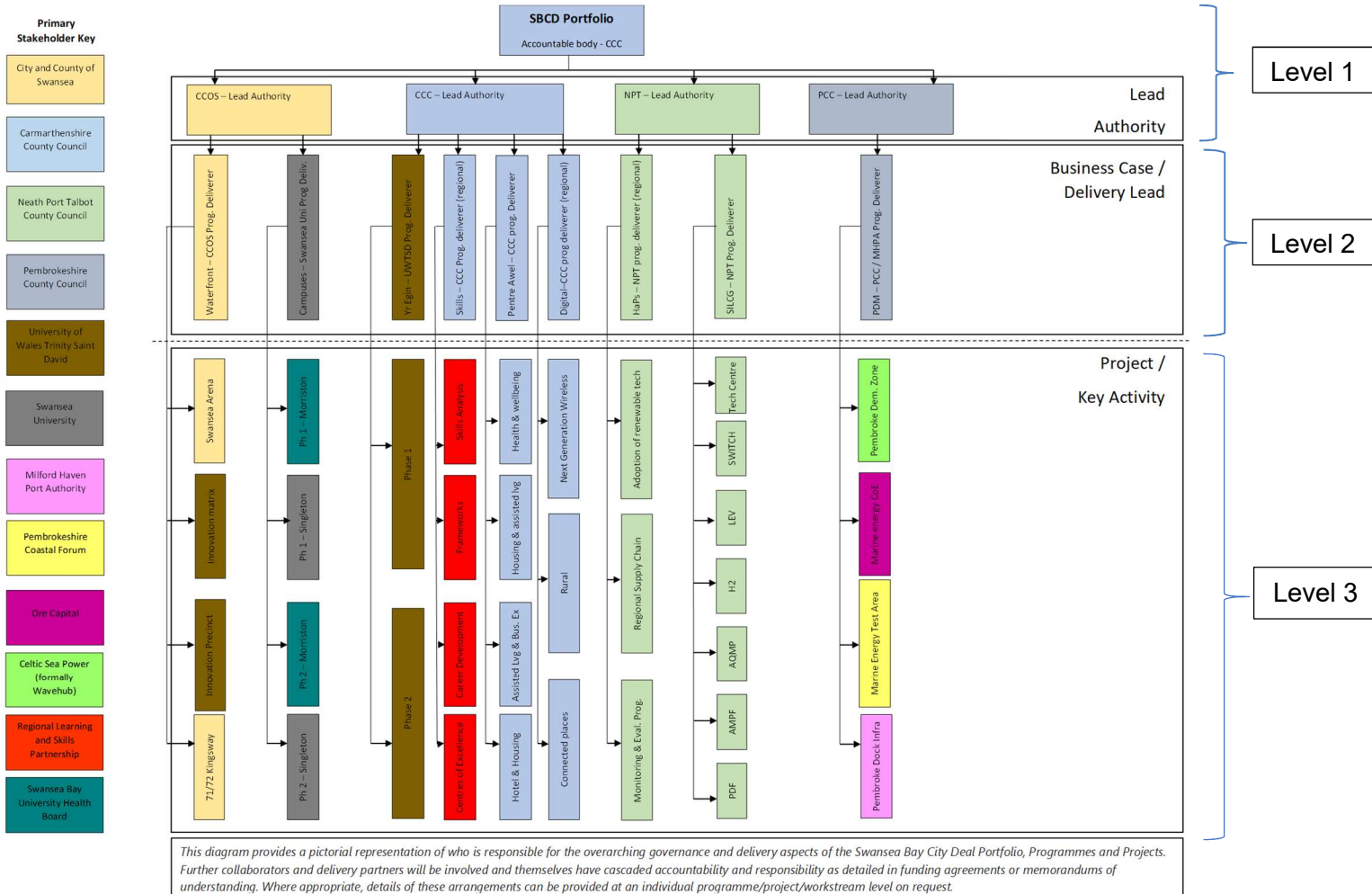
The SBCD structural diagram below shows the organisational responsibility for the delivery of each element of the portfolio and demonstrates the complexity and magnitude of projects and workstreams incorporated within the headline programmes and projects. All nine of the programmes and projects have received regional and Government approval and the SBCD Portfolio is now in full delivery.

The following diagram illustrates that the component activities of the SBCD fall within one of the following levels:

Level 1 - SBCD Portfolio (1).

Level 2 – Headline Programmes and Projects (9). Led by a SBCD local authority and delivered by a lead authority and SBCD partner organisations.

Level 3 – Projects and Workstreams (35). Delivered by a SBCD local authority and partner organisations



2.3 Current Assurance Arrangements

The Gateway Assurance Framework is complementary to the assurance arrangements that already exist and are operational for the SBCD Portfolio. It is acknowledged that the Gateway review process supports a rigorous governance framework to manage key processes including business planning, investment appraisal and business case management (including benefits management), programme and project portfolio management, risk management, procurement/acquisition, and service and contract management. It is also recognised that partner delivery organisations will have individual assurance arrangements and obligations that will be fulfilled in programme and project delivery.

Working closely with the Welsh Government’s Integrated Assurance Hub, the SBCD

Portfolio Management Office (PoMO) has established a Portfolio Integrated Assurance and Approval Plan (IAAP), to ensure that the planning, coordination and provision of assurance activities and approval points throughout the City Deal portfolio are proportionate to levels of cost and risk. An IAAP has been established for all SBCD Programmes / Projects, which are live documents and are regularly updated and shared with the appropriate governance structures at programme / project and portfolio levels. Portfolio and programme / project level IAAPs are updated by programme / project teams and reported through the SBCD governance on a quarterly basis. The IAAPs provide details on the nature and timing of assurance arrangements at all levels including:

- Governance groups reporting
- Key documentation review and approvals
- Internal functional assurance
- Independent assurance (inc. Gateway Reviews)
- Internal and external audit

Currently, Gateway Reviews are required and undertaken at both a Portfolio level and at the 9 headline Programme or Project level as shown in the table below. Reviews are administered by the Welsh Government Assurance Hub, under accreditation by the Infrastructure and Projects Authority (IPA), to coincide with key decision points in the delivery of a programme / project at the request of the SRO. There is a 10-12 week lead in time for a review and a cost of approximately £6,500 to the commissioning organisation for a typical 3-day review. The SBCD PoMO facilitate the process and support the SRO and project team through the scoping, interview and feedback sessions. The PoMO also track the scheduling of Reviews through the project IAAPs.

Within the headline programmes and projects there are many discrete projects and workstreams. Some of these are of a high value and risk rating and are crucial to the success of the headline programme / project and consequently to the success of the Portfolio overall. Currently, there are no systematic Gateway assurance arrangements at this level across the SBCD Portfolio. It is acknowledged however that evaluations / reviews, such as WEFO related projects, may be required by other funding sponsors. Any proposed arrangements would seek to supplement these existing arrangements and not to replace or duplicate.

Level	Assurance Arrangements
Level 1: Portfolio (1)	Gateway 0 - annual
Level 2: Headline Programmes and Projects (9)	Gateway 0 / Gateways 1-5 / PARs – periodic reviews with the option of undertaking Gateway 1-5 to incorporate key decision points of component projects and workstreams
Level 3: Projects and Workstreams (35)	No current systematic Gateway assurance arrangements across the SBCD Portfolio.

2.4 Rationale for Change

HM Treasury advice on Better Business Cases Guidance assurance arrangements indicates that there should be independent assurance throughout the lower level of SBCD projects and workstreams (Level 3) that currently have no independent Gateway assurance arrangements. Some of these projects are high value / high risk projects that could have significant consequences for the success of their headline programme / project and the overarching SBCD portfolio. It is acknowledged by SBCD, its partner organisations and Welsh and UK Government sponsors that comprehensive assurance arrangements need to be in place across the whole of the portfolio.

It is recognised that appropriate and effective assurance is required at all levels within the SBCD Portfolio. It is also acknowledged that there would be considerable practical issues with undertaking the full suite of Gateway reviews at Level 3 solely through the defined Gateway Review process using external Review teams. With the portfolio now being in full delivery there will be a requirement for rigorous, effective and frequent assurance activity to ensure that the portfolio remains on track to deliver its defined benefits to the region.

The main challenge is the number of reviews that would need to be undertaken which would lead to issues for delivery organisations relating to:

Cost

Each Gateway review costs approximately £6.5k plus expenses for a typical 3-day review, which is funded by the lead organisation for a programme or project.

Programme / Project resource

There is already pressure on some programme and project teams to provide resource to undertake Reviews in terms of organisation, administration and providing support to the review team. These pressures are likely to become more significant as an increased number of projects and workstreams progress through delivery.

Stakeholder commitment

The programmes and projects have many common stakeholder organisations / individuals that would be involved in a Review. To follow the prescribed arrangements at all levels of the Portfolio would lead to unmanageable time pressures on senior officers in the partner organisations in attending and managing reviews.

Management

The need for a 10-12 week lead-in time for Gateway reviews is acknowledged and are scheduled in the IAAP to coincide with key decision points. However, as programmes and projects are proceeding at pace through delivery, it will become difficult to manage and capture all key decision points for the component projects and workstreams and avoid delays to delivery. Under the current arrangements there have been instances where project reviews have not been undertaken at the most opportune time

Assurance community resource

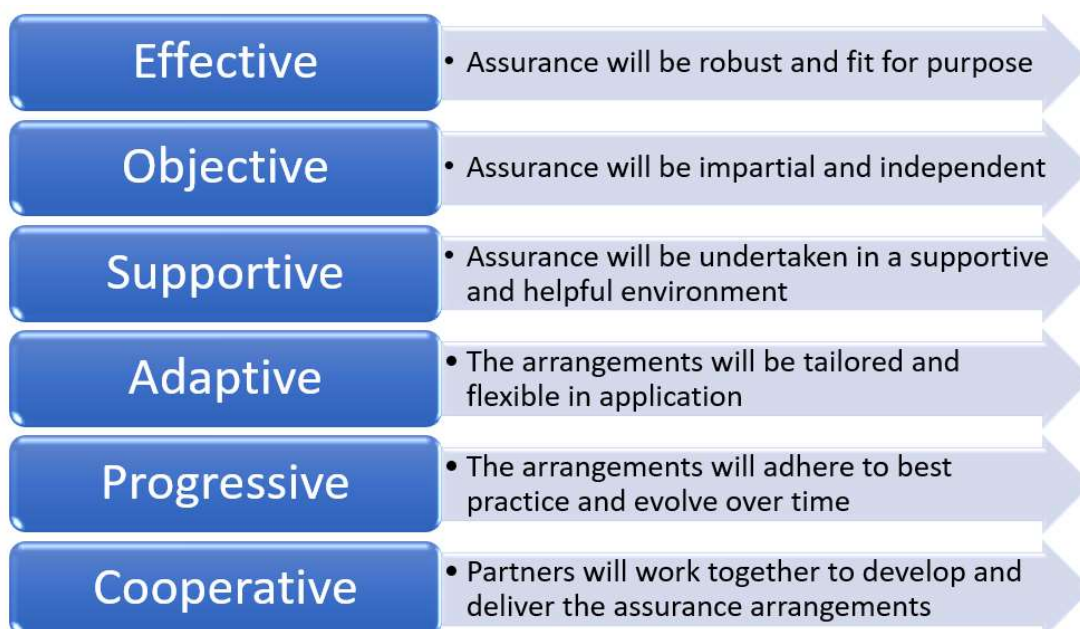
Potential for excessive resource demands on the existing Welsh Government assurance community for RTLs / RTMs.

In consideration of the above, there is an identified need to establish Gateway assurance arrangements which address these challenges whilst ensuring that assurance is comprehensive, practical, proportional, fit for purpose and robust.

3. SBCD Assurance Model

3.1 Principles and Approach

The management and delivery of this Framework and the undertaking of reviews will align to the following guiding principles:



The Gateway assurance arrangements for the SBCD have been developed jointly between the SBCD PoMO and the Welsh Government Integrated Assurance Hub (IAH). A series of meetings and workshops have been held to discuss the most appropriate response to the challenges identified in implementing an effective Gateway assurance process throughout all Levels of the portfolio. An options appraisal has also been undertaken and is provided in Appendix 1 for information.

The table below summarises the agreed approach to assurance arrangements for each level of the Portfolio.

Level	Assurance Arrangements
Level 1: Portfolio (1)	Gateway 0 – annual review
Level 2: Headline Programmes and Projects (9)	Gateway 0 / Gateways 1-5 / PARs – periodic reviews with the option of undertaking Gateway 1-5 to incorporate key decision points of component projects and workstreams
Level 3: Projects and Workstreams (35)	Primarily internal (regional) independent reviews managed and resourced through a SBCD Assurance Sub-Hub. Provision for some high risk / value projects to be undertaken through the formal Gateway Review process

The following agreed approach will also apply in the establishment of the assurance arrangements for Level 3 of the portfolio:

- The SBCD Gateway assurance arrangements will replicate the OGC Gateway Review process e.g., format, documentation, process
- Level 3 reviews will be aligned to best practice for OGC Gateway Review process but adapted to undertake lighter touch reviews
- The management and delivery of reviews will be overseen by a joint SBCD/WG/UKG assurance panel
- A SBCD assurance sub-hub will be established to undertake the planning, organisation and resourcing of reviews under accreditation of WG IAH
- WG IAH will ensure that assurance standards are being applied throughout the process and will manage the process by way of quality assurance checks and regular updates/meetings
- Reviews will be led by an independent RTL, trained by the WG IAH, to ensure integrity and transparency in the review process
- Projects and workstreams will have assurance reviews by exception based on the Risk Potential Assessment (RPA) rating for criteria such as value, risk, and complexity

The approach outlined will address the main challenges faced under the existing arrangements and result in benefits to the delivery of the SBCD Portfolio as outlined in the table below.

Challenges	Current Arrangements	Proposed Arrangements
Cost	<ul style="list-style-type: none"> • Each Gateway review costs approximately £6.5k plus expenses for a typical 3-day review, which is funded by the lead organisation for a programme or project. 	<ul style="list-style-type: none"> • Cost savings for partner organisations in undertaking Gateway reviews at Level 3

<p>Programme / Project Resource</p>	<ul style="list-style-type: none"> • Pressure on some programme and project teams to provide resource to undertake reviews in terms of organisation, administration and providing support to the review team. • Pressures are likely to become more significant as projects and workstreams progress through delivery 	<ul style="list-style-type: none"> • Less resource will be required from programme / project teams in arranging and attending Gateway reviews for Level 3 projects
<p>Stakeholder Commitment</p>	<ul style="list-style-type: none"> • Programmes and projects have many common stakeholder organisations / individuals that would be involved in a Review. To follow the prescribed arrangements at all levels of the Portfolio would lead to unmanageable time pressures on senior officers in the partner organisations in attending and managing reviews. 	<ul style="list-style-type: none"> • Less demand on stakeholder organisations / individuals that involved in the Gateway review process
<p>Management</p>	<ul style="list-style-type: none"> • As programmes and projects are proceeding at pace through delivery, it will become difficult to manage and capture all key decision points for the component projects and workstreams and avoid delays to delivery • Under the current arrangements there have been instances where project reviews have not been undertaken at the most opportune time 	<ul style="list-style-type: none"> • Increased coordination and robustness of assurance arrangements at all levels of the SBCD Portfolio • Effective management of the assessment and scheduling of assurance reviews thereby providing clarity to SROs and preventing delays at key decision points • Increased likelihood of successful delivery and benefit realisation across the Portfolio
<p>Assurance Community Capacity</p>	<ul style="list-style-type: none"> • Potential for excessive resource demands on the existing Welsh Government assurance community for RTLs / RTMs 	<ul style="list-style-type: none"> • Enhanced regional assurance capability through the establishment of SBCD Assurance Sub-hub

		<ul style="list-style-type: none"> Upskilling within the region and within the WG IAH assurance community
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3.2 SBCD Assurance Sub-Hub

Essential to the establishment of the Gateway assurance arrangements is the creation and operation of a formal assurance capability within the SBCD. This will be in the form an Assurance Sub-hub which would manage the organisation, resourcing, delivery and monitoring of the majority of Level 3 reviews. The Sub-Hub would also ensure that the independent external reviews at Levels 1 and 2 are assessed and scheduled appropriately through the WG IAH.

Level 1 reviews will be held annually during the delivery period of the SBCD Portfolio.

Level 2 reviews will be scheduled to coincide with significant decision points in the component Level 3 projects and workstreams wherever possible. This will take the form of a blended review e.g. A PAR for a headline programme / project blended with a Gateway 3 review of a key component project or workstream.

Level 3 reviews will then be scheduled and undertaken to assure other key points for the component projects and workstreams based on a Risk Potential Assessment as agreed through the Assurance Panel in consultation with the programme / project SRO. Whilst it is envisaged that the majority of Level 3 reviews will be led by the SBCD Assurance Sub-hub, provision will remain for those with a high risk / value profile to be led by the WG IAH where appropriate.

The SBCD Assurance Sub-hub will be established under the umbrella and accreditation of the WG Integrated Assurance Hub with the approach, process, format, standards and documentation replicated to ensure the consistency and robustness of reviews.

The establishment and management of the SBCD Assurance Sub-hub will be undertaken by the SBCD PoMO under the direction of the SBCD Portfolio Director and WG IAH and on behalf of the SBCD Portfolio SRO.

The Sub-hub will be resourced by independent public sector RTLs from the established WG IAH community of reviewers. RTMs will be identified from the partner organisations of the SBCD. All RTLs and RTMs will receive appropriate training by the WG IAH to fulfill their respective roles.

3.3 Roles and Responsibilities

The table below details the key individuals and groups involved in the operation of the SBCD Assurance Framework and their main roles and responsibilities in relation to the operation of an assurance Sub-hub.

<p>Joint SBCD/WG/UKG Assurance Panel</p>	<ul style="list-style-type: none"> • Oversight of SBCD Gateway assurance arrangements and the operation of the SBCD Assurance Sub-hub • Review and development of the assurance process • Initiation of reviews for Levels 1-3 • Evaluation of review appraisals
<p>WG Integrated Assurance Hub</p>	<ul style="list-style-type: none"> • Management of the WG IAH assurance community • Management of OGC Gateway Process for SBCD Portfolio and headline Programmes / Projects (Levels 1 and 2) • Provision of training and accreditation for SROs, RTLs, RTMs • Identification and provision of RTLs • Specialist advice on the management of reviews • Accreditation of the Sub Hub and responsible for ensuring standards and quality are attained • Responsibility for the Gateway products and how they are administered • Quality assurance of reviews, processes and documentation • Joint SBCD/WG/UKG Assurance Panel representative
<p>SBCD Portfolio SRO</p>	<ul style="list-style-type: none"> • Overall responsibility for the establishment of robust Gateway assurance arrangements for the SBCD following WG IAH standards • Initiation of reviews for Level 1
<p>SBCD Portfolio Director</p>	<ul style="list-style-type: none"> • Direct responsibility for the establishment and c0-management (with WGIAH) of effective assurance arrangements for the SBCD • Responsibility for the establishment and resourcing of the SBCD Assurance Sub-hub • Joint SBCD/WG/UKG Assurance Panel representative
<p>SBCD PoMO</p>	<ul style="list-style-type: none"> • Responsible for the establishment and management of the SBCD assurance database • Management of OGC Gateway Process for SBCD Projects and Workstreams (Level 3) as agreed with WG IAH • Initiation of reviews for Level 3 where appropriate • Identification and provision of RTMs • Advice on the management of reviews

	<ul style="list-style-type: none"> • Implementation of the Portfolio IAAP • Quality assurance • Joint SBCD/WG/UKG Assurance Panel representative
Programme / Project SROs	<ul style="list-style-type: none"> • Responsibility for the establishment of robust Gateway assurance arrangements for programmes / projects and workstreams • Initiation of reviews for Levels 2 and 3 – completion of RPA • Completion of Gateway Review action plan • Implementation of the programme / project IAAP • Financial arrangements for the costs associated with undertaking a review • Potential RTMs to undertake SBCD reviews at Level 3
SBCD Partner Organisations	<ul style="list-style-type: none"> • Provision of RTMs to resource the Assurance Sub-hub • Financing and hosting of reviews • Participation in reviews for Levels 1-3
WG / UKG City Deal Leads	<ul style="list-style-type: none"> • Joint SBCD/WG/UKG Assurance Panel representatives • Conduit to the Welsh City and Growth Deals Implementation Board (WCGIB)

4. Management of Reviews

4.1 Review Process

The organising and undertaking of reviews will follow the agreed process as shown below.

Reviews at Level 1 and Level 2 will be coordinated by the Welsh Government IAH through the established OGC Gateway process. Reviews at Level 3 will be coordinated primarily by the SBCD Assurance Sub-hub although some higher risk / value programme and project reviews may be coordinated by the Welsh Government IAH.

The process for all reviews will involve the following key stages.

Initiation of Review

Reviews can be initiated by the programme / project SRO, SBCD PoMO or WG/UKG. The SRO will be responsible for the completion of the RPA for submission to the WG

IAH (Levels 1 and 2) or the SBCD Assurance Sub-hub (Level 3). A milestone review of the IAAP for programmes and projects will be the main prompt for the initiation of a review.

Assessment Meeting

An Assessment Meeting will be held with the programme / project SRO to determine the appropriate timing, scope and type of review to be undertaken. The SRO will be briefed on the Gateway Review process and provided with the Assurance Planning Pack to assist with the preparation for the review. The Essential Skills Form (ESF1) will need to be completed electronically by the Programme/Project SRO following the Assessment Meeting. The purpose of the form is to capture the essential skills required from a Review Team and the information used to select a Review Team best suited to undertake the review.

Appointment of Review Team

The WG IAH will be responsible for the selection and appointment of the RTL and RTMs for Level 1 and 2 reviews. The WG IAH will also select and appoint the RTL for Level 3 reviews. The SBCD Assurance Sub-hub will be responsible for the selection of the RTMs for Level 3 reviews.

Planning Meeting

A Planning Meeting will be held approximately 2 weeks prior to the review in order for the review team to meet with the programme / project SRO and team members. The SRO will brief the review team on the current status of the programme / project and any specific issues or terms of reference for the team to consider. The SRO will present the interview schedule for key stakeholders to be agreed / amended with the review team. The review team will also be provided with the key documentation required prior to undertaken the review.

Gateway Review

The review team will undertake the review and feedback to the SRO at the Emerging Finding meeting at the end of each day. A draft review report including a Delivery Confidence Assessment (DCA) and review recommendations will be provided to the SRO at the Review Draft Report Feedback Meeting at the end of the review. The SRO will have the opportunity to correct any factual inaccuracies in the report prior to final report being issued.

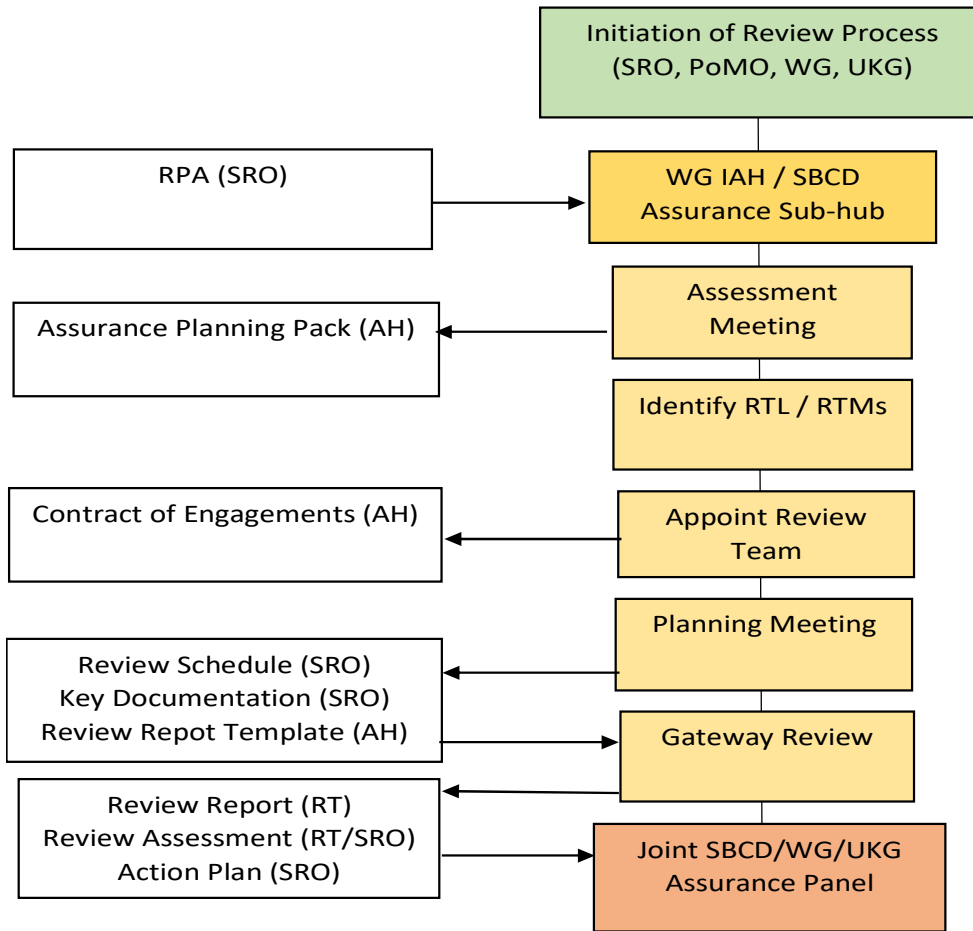
Post Review

Following the review, a 360-degree assessment will be undertaken for the RTL and RTMs and feedback sought from the SRO. The SRO will produce an action plan for completing the review recommendations. These will be presented the Joint SBCD / WG / UKG Assurance Panel.

The timescale from the Assessment Meeting to the Gateway Review current undertaken through the Welsh Government IAH is commonly 10-12 weeks. It is anticipated that Level 3 reviews could be undertaken within a shortened timescale of around 6-8 weeks from the initial Assessment Meeting.

DOCUMENTATION

REVIEW PROCESS



4.2 Format and Scope of Reviews

The Welsh Government IAH Gateway Assurance Guidance document provides guidance on the structure of each OGC Gateway Review ‘product’, and the areas of investigation to be addressed by the Review Team, together with examples of the evidence which would demonstrate to the Review Team the satisfactory nature of responses to the various topics.

These topics and the examples of evidence are indicative and not prescriptive; within the overall objectives of each Review stage. The Review Team will consider whether additional or different topics need to be addressed, and the evidence to be sought. Approaches may vary according to the context of the programme or project – for example, IT-enabled business change, property/construction, or policy development/implementation.

All reviews will be undertaken according to the format and scope described by this guidance and tailored to the specific needs of each programme / project. Central to the process is the undertaking of ‘conversations’ with key stakeholders around the specified / agreed areas of investigation. These will be undertaken according to the

establish OGC Gateway Review Code of Conduct and will include the following key principles:

- 'conversations' are conducted in an impartial and constructive manner
- 'conversations' are confidential and non-attributable
- the Review Team will seek to triangulate any themes/comments or evidence heard across several interviews to ensure that they have a solid basis for any observations/recommendations that are contained in the review report
- documentation supplied to the Review Team will be treated with the strictest confidentiality and destroyed at the end of the review.

Level 1 and 2 reviews will normally be undertaken over a three-day period with two days dedicated to conversations with key stakeholders and third day for report writing and reporting back on the findings to the SRO. The timeframes for a review can be extended for complex programmes / projects with many stakeholders.

Level 3 reviews will deliver a lighter touch review with a more focused selection of stakeholders and areas of investigation to be addressed. An individual assessment will be made by the SBCD Assurance Sub-hub for the timeframe for Level 3 reviews with the intention that the majority of these reviews can be undertaken over a two-day period. Specific terms of reference may also be agreed for inclusion in the review that align to the strategic objectives of the SBCD. Where possible, a Level 2 review will be timed to incorporate a key decision point for a Level 3 project or workstream.

4.4 Review Team Arrangements

The Welsh Government IAH will be responsible for the selection and appointment of RTLs and RTMs for Level 1 and 2 reviews from within the established assurance community and through their existing arrangements.

For Level 3 reviews the Welsh Government IAH will be responsible for the selection and appointment of RTLs from within their established assurance community of trained and accredited reviewers from within the public sector. This will ensure the integrity and independence of the review. The SBCD Assurance Sub-Hub will select and appoint RTMs from the regional assurance community that is currently being established. The RTMs will be independent of the organisation hosting the review.

RTL and RTM selection will be informed by the specific nature and scope of review and the essential skills identified for review team members in the assessment stage of the review. All potential RTLs and RTMs will complete a Gateway Reviewer Application to identify an individual's skill sets and experience.

The Welsh Government IAH will provide the appropriate training and accreditation for all RTLs and RTMs through their existing training modules and specified accreditation requirements.

RTMs will require authorisation for release to undertake reviews by their line manager. RTLs and RTMs will need to sign the Contract of Engagement prior to undertaking the review.

4.5 Standards and Quality

Reviews at all Levels will be undertaken according to the 14 Gateway Assurance Principles set by OGC™

Communications & Leadership

1. The Senior Executive is committed to the OGC Gateway process & brand
2. The SRO is the client for the OGC Gateway Review and is responsible for the effective implementation of recommendations
3. OGC Gateway is part of a planned and integrated assurance regime for supporting the effective delivery of programmes and projects

Delivery and Best Practice

4. OGC Gateway Reviews are prioritised and resourced commensurate with inherent risk, complexity and priority
5. OGC Gateway Reviews are carried out at appropriate points throughout the entire lifecycle of programmes and projects
6. The OGC Gateway process is applied to preparing and undertaking Reviews
7. Lessons learned from OGC Gateway Reviews are to be shared across the PPM community at national, strategic and local levels
8. The OGC Gateway Review Team must be independent of the programme/project, its management and associated support activities and is responsible for the content of the final report
9. OGC Gateway Reviews are undertaken by a team of accredited peers, with the requisite skills, knowledge and experience, that are drawn from an effectively managed reviewer pool
10. The Review will be short, focused and forward looking, delivering a report to the SRO on the final day of the review
11. OGC Gateway recommendations will be candid & practical, based on best practice & evidence and prioritised for urgency of implementation

Style

12. The process will be open with access to all stakeholders & documentation
13. The OGC Gateway Review process will be undertaken in a confidential manner, with a non-attributable report
14. A 'peer to peer' coaching style will be adopted, with a no 'no surprises' approach

The Welsh Government IAH, whilst adhering to the OGC Gateway Assurance Principles, have its own set of standards and quality that the Team and Reviewer community adhere to. These will be applied to all Levels of review for the SBCD Portfolio.

Flexible – The IAH will, where possible, will take a flexible approach to Gateway Assurance Reviews, managing the SRO's requirements and expectations.

Honesty and integrity – The IAH maintains an honest approach to Gateway Assurance Reviews and will provide recommendations for Gateway Reviews if they are applicable at the time. We maintain an open and honest approach with our Reviewer Community and will provide feedback when required

Helpful not a Hindrance – The IAH will support Programmes and Projects through the Gateway Assurance Process, and will provide advice and guidance, ensuring that the Assurance Process is a helpful one and not a hindrance to the Programme/Project.

Feedback – The Hub provides feedback to both the SRO and Reviewer Community, where required, the Hub in return will also gather feedback on the IAH team performance to support and maintain the standards of delivery

Trend Analysis – The Hub provides Trend Analysis that supports future Programmes and Projects, supports learning and development and supports the Organisation development.

Quality – The Hub expects and maintains a high quality of delivery and will provide the highest quality of Reviewers to each review. We conduct 360-degree feedback to help develop all our reviewer community. We provide open and honest feedback within the Team to maintain a high level of delivery.

4.6 Financial Arrangements

The programme / project SRO will be responsible for financing the costs incurred in undertaking the Gateway Review through their organisational or project budgets.

For Level 1 and 2 reviews this will include the consultant fee for the RTL and the travel and subsistence expenses incurred by the RTL and RTMs. The WG IAH expenses form will be used to claim back expenses relating to the review.

For Level 3 reviews coordinated by the SBCD Assurance Sub-hub, there will be no fee for the RTL or RTMs. Travel and subsistence costs incurred by the RTL and RTMs will need to be re-imbursed by the host organisation. The host organisation will provide the relevant documentation for claiming this expenditure.

Any accommodation and hospitality costs will also be borne by the programme / project SRO.

4.7 Documentation

The following documentation will be utilised by the WG IAH and the SBCD Assurance Sub-hub in the management and delivery of assurance reviews.

Assessment and Planning

Risk Potential Assessment Form (IAH-RPA)

Assurance Planning Pack

- Welsh Government Gateway Assurance Guidance

- Essential Skills Form (ESF1)
- SRO Briefing Note (IBN002)
- Assurance Process Checklist
- Assurance Review Schedule
- Interviewee Briefing Note (IBN001)
- Welsh Government Assurance Reviews – Customer ‘tips’

Review and Review Team

RTL / RTM Reviewer Contract of Engagement

- Travel and Subsistence Policy
- Expenses and claims forms

OGC Gateway Review Report Templates

Post Review

360-degree assessment form

Action plan template

5. Governance and Oversight

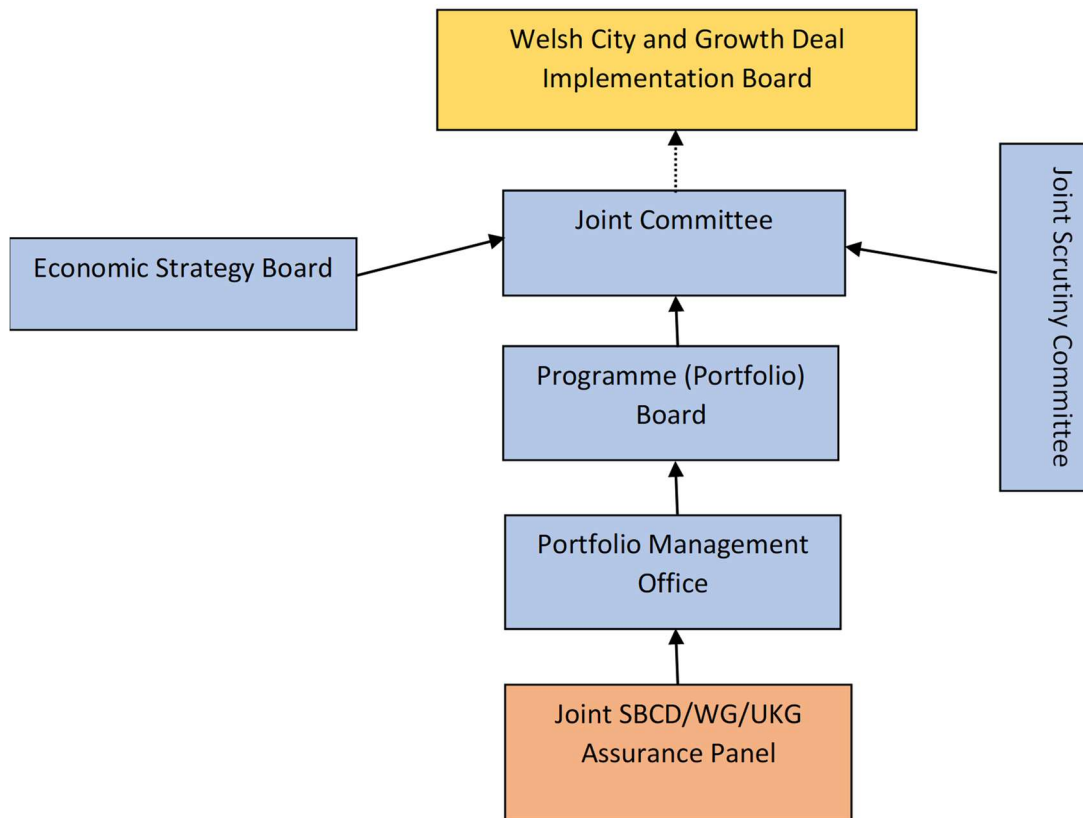
5.1 Joint SBCD/WG/UKG Assurance Panel

Oversight of the development and implementation of the SBCD Assurance Framework will be undertaken by the Joint SBCDWG/UKG Assurance Panel. The Panel will be chaired by Welsh Government Head of Integrated Assurance with representation from the SBCD PoMO, the Welsh Government and UK Governments leads for City and Growth Deals.

Draft terms of reference are attached at Appendix 2. Main duties and responsibilities of the Assurance Panel will be:

- Ensure that appropriate assurance arrangements are in place for the delivery of the SBCD portfolio of programmes, projects and workstreams
- Identify of the appropriate level of reviews to be undertaken for programmes and projects
- Ensure the specified standards are met in management and delivery of reviews
- Ensure that the quality of the OGC Gateway process and products are maintained in the delivery of reviews
- Oversee the assessment, scheduling and delivery of reviews
- Monitor and assess the progress of programme / project action plans in relation to review recommendations
- Assessment and identification of training needs to ensure the successful operation of the SBCD Assurance Framework
- Ongoing review and development of the SBCD Assurance Framework
- Provide reports to SBCD governance groups on the delivery of the independent assurance arrangements for the portfolio

The Panel will report on a quarterly basis via the Portfolio Management Office into the formal governance arrangements for the SBCD as shown below:



6. Development and Review

The SBCD assurance arrangements as described in this Framework will be further developed as the process is implemented.

The Framework will also be formally reviewed by the Joint Assurance Panel on a six-monthly basis.

It is acknowledged that the OGC Gateway Review process will be revised in 2022 with the introduction of the Get to Green proposals. Further advice will be provided by the WG Assurance Hub on the implications for Gateway Reviews in Wales and the process described in this Framework.

Appendices

1. Options Appraisal
2. SBCD Assurance Panel – Draft Terms of Reference