



City and County of Swansea

Notice of Meeting

You are invited to attend a Meeting of the

Swansea Bay City Region Joint Committee

At: Remotely via Microsoft Teams
On: Thursday, 11 February 2021
Time: 10.30 am
Chair: Councillor Rob Stewart (Swansea Council)

Watch Online: http://bit.ly/3iHj4RI

Membership:

Councillors:
Emlyn Dole Carmarthenshire Council
Rob Jones Neath Port Talbot Council
David Simpson Pembrokeshire Council

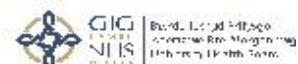
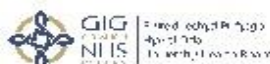
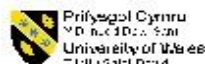
Co-opted Non-Voting Representatives:

Maria Battle Hywel Dda University Health Board
Chris Foxall Interim Chair of Swansea Economic Strategy Board
Professor Medwin Hughes University of Wales Trinity Saint David
Ray Selby University of Wales Trinity Saint David
Steve Wilks Swansea University
Emma Woollett Swansea Bay University Health Board

Agenda

Page No.

- 1 Apologies for Absence.
2 Disclosures of Personal and Prejudicial Interests. www.swansea.gov.uk/disclosuresofinterests
3 Minutes. 1 - 4
To approve & sign the Minutes of the previous meeting(s) as a correct record.
4 Announcement(s) of the Chair.



**5 Public Questions**

Questions must be submitted in writing, no later than noon on the working day prior to the meeting. Questions must relate to items on the agenda. Questions will be dealt with in a 10 minute period.

- |   |                |
|---|----------------|
| <b>6 Internal Audit Terms of Reference.</b>                     | <b>5 - 8</b>   |
| <b>7 Swansea Bay City Deal Quarterly Monitoring Report.</b>     | <b>9 - 47</b>  |
| <b>8 Swansea Bay City Deal Change Control Procedure.</b>        | <b>48 - 61</b> |
| <b>9 Swansea Bay City Deal Portfolio Governance Evaluation.</b> | <b>62 - 69</b> |

**Next Meeting:** Thursday, 11 March 2021 at 10.30 am



**Huw Evans**  
**Head of Democratic Services**  
**Friday, 5 February 2021**

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**Contact: Democratic Services - 01792 636923**

# Agenda Item 3

City and County of Swansea



Minutes of the **Swansea Bay City Region Joint Committee**

Remotely via Microsoft Teams

Thursday, 14 January 2021 at 10.30 am

**Present:** Councillor Rob Stewart (Swansea Council) Presided

**Councillors:**

Emlyn Dole	Carmarthenshire Council
Rob Jones	Neath Port Talbot Council
David Simpson	Pembrokeshire Council

**Co-opted Non-Voting Representatives:**

Chris Foxall	Interim Chair of Swansea Economic Strategy Board
Medwin Hughes	University of Wales Trinity Saint David
Steve Wilks	Swansea University
Emma Woollett	Swansea Bay University Health Board

**Officers:**

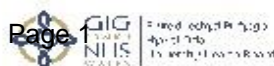
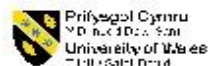
Richard Arnold	Finance Manager (Swansea Bay City Region)
Jonathan Burnes	Director (Swansea Bay City Region)
Huw Evans	Head of Democratic Services (Swansea Council)
Greg Jones	Communications & Marketing Officer - City Region (Carmarthenshire Council)
Karen Jones	Chief Executive (Neath Port Talbot Council)
Tracey Meredith	Joint Committee Monitoring Officer (Swansea Council)
Chris Moore	Joint S151 Officer (Carmarthenshire Council)
Phil Roberts	Chief Executive (Swansea Council)
Phil Ryder	Swansea Bay City Region
Debbie Smith	Deputy Monitoring Officer (Swansea Council)
Wendy Walters	Chief Executive (Carmarthenshire Council)

**Apologies for Absence: - Nil**

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## 22 Disclosures of Personal and Prejudicial Interests.

In accordance with the Code of Conduct adopted by the City & County of Swansea, no interest(s) were declared.



**23 Minutes.**

**Resolved** that the following Minutes of the Swansea Bay City Region Joint Committee be signed and approved as a correct record:

- 1) 7 December 2020.

**24 Announcement(s) of the Chair.**

The Chair made no announcements.

**25 Public Questions**

There were no public questions.

**26 Swansea Bay City Deal Funding Award.**

The Joint Committee Section 151 Officer (Chris Moore) submitted a report which sought approval of the UK and Welsh Government Funding Award Letter and associated Terms and Conditions.

**Resolved** that the UK and Welsh Government Funding Award Letter and associated Terms and Conditions as attached at Appendix A of the report be approved subject to the approval of the four constituent Authorities.

**27 Accounting Officer Review (AOR) Action Plan.**

The Swansea Bay City Region Programme Director (Jonathan Burnes) submitted a report which provided an update on the progress made on the Action Plan in response to the Accounting Officer Review (AOR) and Gateway 0 Review recommendations.

**Resolved** that the update be noted.

**28 Swansea Bay City Deal Programme / Project(s) Update. (Verbal)**

The Swansea Bay City Region Programme Director (Jonathan Burnes) provided an update on the Swansea Bay City Deal Programmes / Projects:

**Digital Infrastructure**

- i) Business Case has been submitted for Ministerial approval 18 December 2020 with all supporting documentation. Awaiting feedback.
- ii) Looking to recruit resource for the Digital Infrastructure Programme and professional services for some of the work streams. Funding bids to be submitted to compliment / supplement what is being delivered.

**Skills and Talent**

- i) Changes to Business Case following external reviews will be presented at Portfolio Board on 26 January 2021.
- ii) Lessons Learnt workshop will be held in January 2021.

- iii) Meeting held with a private sector developer who are looking to build houses with the Homes as Power Stations (HAPS) model to share the HAPS knowledge hub.
- iv) Commence recruitment of Project Manager (PM) support early February 2021

### **Swansea City & Waterfront Digital District**

- i) Arena construction is progressing.
- ii) Bidders have asked for an extension to submit construction tender responses for 71/72 Kingsway which is expected to close in the next couple of weeks. Still looking at reporting date of March 2021.
- iii) Ongoing discussions around lettings for 71/72 Kingsway. Positive interest from Businesses. Cabinet decision expected in March 2021 to take the scheme forward.
- iv) Planning application is progressing for Box Village and is due for submission February 2021.

### **Pentre Awel**

- i) Business Case submitted for Ministerial approval 13 November 2020.
- ii) Awaiting approval from Welsh / UK Government.
- iii) We will receive some initial feedback next week so that we can start progressing into delivery ahead of formal approval.

### **Pembroke Dock Marine (PDM)**

- i) Discussions ongoing between Milford Haven Port Authority (MHPA) and Pembrokeshire Council regarding the funding agreement and changes to the project activity due to project delivery delays.
- ii) We are hopeful for agreement/signing in the coming days and that the intention is Pembrokeshire Council to approve the outputs, outcomes and impacts locally in line with the funding award agreement as there is no detrimental impact to the portfolio benefits.

### **Supporting Innovation & Low Carbon Growth**

- i) Business Case informally submitted to Portfolio Management Office (PoMO) for comment December 2020. Formal submission for review expected 1 February 2021.
- ii) Working with an economist to revise the Economic Case in line with the revised Green Book.
- iii) Expecting to attend Economic Strategy Board (ESB) in February 2021 to provide a progress update.

### **Life Sciences & Wellbeing Campuses**

- i) Outline Business Case submitted informally to Portfolio Management Office (PoMO) for feedback December 2020.
- ii) Continued engagement with consultants that have been appointed (Grant Thornton)
- iii) Video content produced for supporting engagement and communications
- iv) Due to attend Economic Strategy Board (ESB) in February 2021.

### **Yr Egin**

- i) Completion of the funding agreement is imminent for Phase 1.

- ii) Planning to award Creative sector analysis week commencing 18 January 2021 to inform Phase 2.
- iii) The programme team are considering the suitability of the Phase 2 delivery solution that has been proposed and whether this solution provides maximum benefit to meet current requirements, it is possible the delivery solution will change however the outcomes and benefits highlighted within the business case will remain unchanged.

The meeting ended at 11.00 am

**Chair**

# Agenda Item 6



Swansea Bay City Region Joint Committee - 11 February 2021

## Internal Audit Terms of Reference

<b>Purpose:</b>	To consider and note the Internal Audit Terms of Reference
<b>Policy Framework:</b>	Internal Audit Governance Arrangements Internal Audit Charter
<b>Recommendation(s):</b>	That Swansea Bay City Region Joint Committee: 1) Approves the Internal Audit Terms of Reference 2020-21
<b>Report Author:</b>	Jo Hendy (Internal Audit)
<b>Finance Officer:</b>	Chris Moore, Section 151 Officer, SB CD
<b>Legal Officer:</b>	Tracey Meredith, Monitoring Officer, SB CD

### 1. Introduction

- 1.1 The Internal Audit Terms of Reference 2020-21 sets out the arrangements for the 2020-21 Internal Audit review of the Swansea Bay City Deal.

### 2. Main Body of Report

- 2.1 See attached Internal Audit Terms of Reference 2020-21.

### 3. Financial Implications

- 3.1 Consideration and approval of the Internal Audit work programme for 2020-21, namely the financial issues included.

### 4. Legal Implications

- 4.1 The Joint Committee Agreement provides that the Accountable Body will ensure that the finances and discharge of functions relating to the Swansea Bay City Deal are audited.

## **5. Alignment to the Well-being of Future Generations (Wales) Act 2015**

- 5.1 The SBCD Portfolio and its constituent projects are closely aligned to the Well-being of Future Generations (Wales) Act 2015 and the seven well-being goals for Wales. These alignments are outlined in a Portfolio Business Case for the SBCD, as well as in individual project business cases.

**Background Papers:** None

**Appendices:**

Appendix A - Internal Audit Terms of Reference 2020-21



## **AUDIT TERMS OF REFERENCE (Appendix A)**

### **Swansea Bay City Deal**

#### **1. Introduction**

As part of the annual internal audit plan, a review of the Swansea Bay City Deal will be undertaken.

#### **2. Objectives**

To provide assurance that the Swansea Bay City Deal has adequate governance, internal control, risk management and financial management arrangements in place, which are operating effectively and assisting it to achieve its objectives.

#### **3. Scope**

The review will cover the following key areas:

##### **Governance**

- Follow Up of Previous Recommendations
- Organisation Structure
- Monitoring & Reporting Arrangements
- Risk Management

##### **Project Management & Monitoring**

- Business Plan Creation & Approval
- Project Management
- Performance Monitoring & Delivery of Outcomes

##### **Financial Management**

- Budgetary Control
- Accounting Procedure

#### **4. Audit Approach**

The auditor undertaking this review will be Justin Blewitt, Senior Internal Auditor and will involve:

- Interviews with the relevant officers
- Examining relevant documents
- Recording the system in operation
- Evaluation of the adequacy of internal controls
- Compliance and substantive testing
- Reporting to management and making recommendations where appropriate

#### **5. Reporting Arrangements**

The draft report will be issued to the Swansea Bay City Deal Section 151 Officer, Portfolio Director, Finance Manager, and Monitoring Officer. Discussions will then take place to approve the report and agree action in

respect of any recommendations for improvement that may be made. Upon approval of the draft report, the final report will be issued to the Swansea Bay City Deal Section 151 Officer, Portfolio Director, Finance Manager, and Monitoring Officer (and will be reported to Programme Board and the Joint Committee).

**J Hendy**

**Head of Internal Audit**

**Date: 20<sup>th</sup> January 2021**

# Agenda Item 7



Swansea Bay City Region Joint Committee - 11 February 2021

## Swansea Bay City Deal Quarterly Monitoring Report

<b>Purpose:</b>	To inform Joint Committee of the Quarterly Monitoring Report for both the SBCD Portfolio and its constituent programmes / projects
<b>Policy Framework:</b>	Swansea Bay City Deal (SBCD) Joint Committee Agreement (JCA)
<b>Report Author:</b>	Amanda Burns (Senior Portfolio Support Officer)
<b>Finance Officer:</b>	Chris Moore (SBCD S151 Officer)
<b>Legal Officer:</b>	Tracey Meredith (SBCD Monitoring Officer)
<b>FOR INFORMATION</b>	

### 1. Introduction

SBCD Quarterly Monitoring Report for the SBCD Portfolio and its constituent projects provides the Joint Committee with a summary of key activity for the last 3 months and current quarter planned activity.

### 2. Background

**Annex A: The SBCD Quarterly Monitoring Report is made up of 2 levels with several components**

- Portfolio
  - Communications and Marketing
- Programmes / Project
  - Scorecard with status summary
  - Previous quarter achievements and current quarter planned activities
  - Outputs

- The following Annexes will accompany the report:

### **Annex B: Integrated Assurance and Approval Plan**

The Integrated Assurance and Approval Plan (IAAP) is a tool to plan assurance and approval points from discovery to the final stage of delivery of the Programme/Project lifecycle.

The IAAP has been developed in line with the WG Integrated Assurance Strategy, is a living document and reviewed and updated on a quarterly basis.

### **Annex C: Portfolio Risk Register**

The Swansea Bay City Deal portfolio risk register captures and monitors key portfolio level risks to the delivery of the City Deal and achievement of its aims and objectives.

### **Annex D: Covid-19 Impact Assessment**

The Covid-19 impact assessment is the method used by the Swansea Bay City Deal to assess the potential impact that the Covid-19 crisis has on each of nine programmes / projects and overarching City Deal portfolio.

The assessment will assure the viability and successful delivery of the City Deal programmes / projects during the crisis and recovery stages of the Covid-19 pandemic

### **Annex E: Accounting Officer Review (AOR) Portfolio Action Plan**

The SBCD Portfolio Action Plan available in Appendix A has been developed in response to the recommendations made in the Accounting Officer Review (AOR) in August 2020 and the Gateway 0 review undertaken in July 2020

The Action Plan is a 'live' document, updated and reported on a monthly basis with the potential to expand the scope of the plan to incorporate other work areas of the PoMO. As such it will be the Portfolio Action Plan and a key operational document for overseeing the timely and effective delivery of the forward work programme of the SBCD PoMO.

Considerable progress has been made on the actions identified in response to the AOR Recommendations. Whilst two of the actions have been completed, the majority of the other actions are well underway and are due to be closed off with the submission of the updated Portfolio Business Case by the end of March 2021

## **3. Financial Implications**

There are no financial implications associated with this report

## **4. Legal Implications**

There are no legal implications associated with this report.

## **5. Alignment to the Well-being of Future Generations (Wales) Act 2015**

The SBCD Portfolio and its constituent projects are closely aligned to the Well-being of Future Generations (Wales) Act 2015 and the seven well-being goals for Wales. These alignments are outlined in a Portfolio Business Case for the SBCD, as well as in individual project business cases.

**Background Papers:** None

### **Appendices:**

Appendix A: SBCD Quarterly Monitoring Report

Appendix B: IAAP Portfolio Level

Appendix C: Portfolio Risk Register

Appendix D: Covid-19 Impact Assessment

Appendix E: AOR Action Plan

# Swansea Bay City Deal Portfolio Quarterly Monitoring Report January 2021

Programme / Project Scorecard

Prog / Proj	Status Update	Delivery	Scope	Staffing Resource	Finance	Stakeholder Engagement	Overall
<b>Digital Infrastructure</b>	The programme has been assessed as Amber / Green via a very recently conducted and thorough external peer stage gate review. Scorecard remains Amber whilst the recommendations from the review are considered and implemented.						
<b>Pembroke Dock Marine</b>	Overall status Red due to awaiting sign off of revised scope and funding agreements. These are impacting all other elements of the programme and the ability to secure and deploy resources to meeting the requirements of the programme						
<b>Pentre Awel</b>	<u>Delivery</u> - Commencement of procurement exercise for zone 1 subject to timely approval of Business Case. Business Case submitted to UK and WG November 2020 following all CCC and City Deal approvals. MoUs signed with academic institutions HoT under development – aligned with business case outputs. <u>Staffing</u> - resources are drawn in from CCC departments/partner organisations as appropriate <u>Finance</u> - City Deal investment decision awaited; institutional investors and funding model to be finalised (n.b. institutional investment not required for Zone 1						
<b>Homes As Power Stations</b>	Project not yet approved. OBC submitted to PoMO December 2020. Project Team revising OBC. Limited formal activity PAR review - June 2020. Project Board established, stakeholder mapping ongoing.						
<b>Supporting Innovation &amp; Low Carbon Growth</b>	OBC in development - due to be formally submitted end January 2021. Project governance in place (SILCG Programme Board) PAR June 2020. CFR Oct 2020 - recommendations being addressed. 2 projects in delivery. Programme Manager to be appointed						
<b>Yr Egin</b>	Economic uncertainty and increasing Covid implications impacting on levels of demand and investment interest. Following Phase 1 Lessons Learned exercise, currently undertaking analysis of future scope and type of facilities required to maintain delivery of project outcomes in development of Phase 2 Strategic Outline Case. Creative Sector demand study commissioned January 2021.						
<b>Swansea City &amp; Waterfront Digital District</b>	Funding agreement discussions are on-going between Swansea Council & UWTSD about the delivery of the box village element of the project. Further City Deal funding drawdown is needed as soon as possible, given spend at risk on the indoor arena element of the project, in particular. The impact of Covid-19 on delivery timeframes, construction costs and tenancy interest in 71/72 The Kingsway (Digital Village) is being continuously monitored. Covid 19 could impact on outputs on the project which is being continually monitored.						
<b>Skills &amp; Talent</b>	Delay in implementing the Skills and Talent programme could impact on the delivery of the skills required by the approved projects. This could lead to projects implementing their own skills plans, which could affect the Skills and Talent initiative, while creating duplication. The project will also not be fully staffed until it has been approved, which is currently a resource challenge						
<b>Life Science, Wellbeing &amp; Sport Campuses</b>	Conflicting priorities continue, (i.e. COVID) which may impact progress on delivery, although sufficient engagement from stakeholders continue via working group structures. Project teams have limited resource, existing teams continue efforts to progress project. Outline Business Case has now been informally submitted pending review/feedback from SBCD and consultants (Grant Thornton). A review of resource will take place over coming months. Original scope has been successfully maintained in line with the monies available.						

<b>Title</b>	Portfolio Management Office (Communications & Marketing)	<b>Reporting Period</b>	Q3 2020/2021
<b>Officer</b>	Greg Jones (SBCD Communications & Marketing Officer)		

**Summary of last 3 months**

- Continuation of City Deal communications and marketing via press releases, website, social media content, media liaison and e-newsletters to the business community
- Representation on project/programme boards including Homes as Power Stations, Supporting Innovation & Low Carbon Growth, and Life Science & Wellbeing Campuses
- Support for governance documentation and funding agreement discussions between stakeholders
- Video production support for projects
- Content support for regional prospectus

**Key achievements in Q3**

- 51 positive mentions in the local, regional, national and specialist media for the SBCD portfolio and its programmes/projects. This included coverage on Wales Online, the South Wales Evening Post, Wales Business Insider, Business News Wales, Wales 247, Inside Media, the Llanelli Star, the Western Telegraph, and Invest Monitor. Topics covered included the latest £18m funding award, the regional approval of the Pentre Awel and Digital Infrastructure projects, as well as a City Deal update with the Portfolio Director, the start of works at the Swansea Bay Technology Centre, indoor arena progress, a scheme that could inform the detail of the Homes as Power Stations project, and the submission of a planning application for the Pembroke Port infrastructure element of the Pembroke Dock Marine project.
- Distribution of e-newsletter to hundreds of businesses and business representative groups throughout the City Region
- From November 3 to January 15, an average of 512 impressions were achieved from the City Deal’s Twitter account – that’s the number of times a Tweet has been seen. Tweets in this period linking to the City Deal website, news stories, project pages and content from partners generated 169 likes, 77 retweets and 126 link clicks
- From November 3 to January 15, posts on the City Deal’s Facebook page generated a reach of more than 20,000 – that’s the number of Facebook users who saw these posts. These posts also generated 341 likes/shares and 475 links/clicks. Videos on the SBCD Facebook page during this period generated a combined 2,204 views.

**Key Activities planned Q4**

- SBCD website update
- Continuation of City Deal communications via press releases, media liaison and social media content on Facebook and Twitter. These activities will be anchored to SBCD portfolio and programme/project updates
- Strengthening of SBCD LinkedIn account
- Strengthening of internal communications
- Development of e-marketing brochure for the SBCD portfolio and its programmes/projects
- Communications updates to feature in monthly portfolio/projects highlight reports



<b>Programme / Project Title</b>	<b>Digital Infrastructure</b>	<b>RAG Status</b>	<b>A</b>
<b>Local Authority Lead</b>	Carmarthenshire County Council	<b>Programme / Project Lead</b>	Gareth Jones
<b>Prog / Project Delivery Lead</b>	Carmarthenshire County Council	<b>Reporting Period</b>	Jan 21
<b>SRO</b>	Jason Jones		

<b>Budget</b>	
<b>Total Budget</b>	£55m
<b>City Deal</b>	£25m
<b>Public</b>	£16.5m
<b>Private</b>	£13.5m
<b>Description</b>	
<p>To significantly improve digital connectivity throughout the City Region for the benefit of businesses and residents, also helping to attract inward investment. The project is made of up of three themes:</p> <ul style="list-style-type: none"> <li>• Connected Places</li> <li>• Rural connectivity</li> <li>• Next generation wireless (5G and IOT networks)</li> </ul>	

<b>Key achievements</b>
<ul style="list-style-type: none"> <li>• Digital Programme Board expanded and re-established.</li> <li>• External stage gate peer review of the programme conducted by independent experts. Amber/Green status given.</li> <li>• Business Case amended based on local, regional, and national stakeholder feedback and recommendations.</li> <li>• Business Case authorised by Joint Committee, Programme Board, Economic Strategy Board and Local Authorities.</li> <li>• Business Case and supporting Programme documentation submitted to Government for approval.</li> <li>• Regional agreement obtained to partially recruit Programme resource at risk.</li> <li>• Programme risk mitigation ongoing.</li> <li>• Supplier engagement ongoing.</li> </ul>

<b>Key Activities planned</b>
<ul style="list-style-type: none"> <li>• Ongoing implementation of stakeholder feedback and recommendations.</li> <li>• Ongoing implementation of external stage gate review recommendations.</li> <li>• Recruitment of Programme resources.</li> <li>• Recruitment of external expert consultants to advise individual Projects.</li> <li>• Funding bid to Welsh Governments Local Broadband Fund to supplement existing Programme budget.</li> <li>• Preparation and plans for transitioning to delivery.</li> <li>• Support Local Authorities with ongoing Digital Infrastructure activity and investment.</li> <li>• Programme risk mitigation ongoing.</li> <li>• Supplier engagement ongoing.</li> </ul>

<b>Programme / Project Title</b>	<b>Pembroke Dock Marine</b>	<b>RAG Status</b>	<b>R</b>
<b>Local Authority Lead</b>	Pembrokeshire County Council Pembrokeshire County Council	<b>Programme / Project Lead</b>	Tim James Tim James
<b>Prog / Project Delivery Lead</b>	Milford Haven Port Authority	<b>Reporting Period</b>	Jan21
<b>SRO</b>	Steven Jones		

<b>Budget</b>	
<b>Total Budget</b>	£60.47m
<b>City Deal</b>	£28m
<b>Public</b>	£16.35m
<b>Private</b>	£16.12m
<b>Description</b>	
<p>This programme will place Pembrokeshire at the heart of UK and global zero carbon, marine and offshore energy innovation, building on the expertise of a marine energy cluster in Pembroke Dock. Facilities will be provided for marine energy innovators to build, test and commercialise their technologies. Project features include:</p> <ul style="list-style-type: none"> <li>• Pembroke Dock Infrastructure (PDI) improvements</li> <li>• A Marine Energy Engineering Centre of Excellence (MEECE)</li> <li>• Marine Energy Test Area (META) developments</li> <li>• The Pembrokeshire Demonstration Zone (PDZ)</li> </ul>	
<b>Key Achievements (Overall Objective ID shown in brackets)</b>	
<p><b>Pembroke Dock infrastructure</b></p> <ul style="list-style-type: none"> <li>• PDI and TCPA and Marine Licence applications both submitted and registered (IP1).</li> <li>• 2x FTE Project Managers in post focusing on PDI Delivery (IP6a target)</li> </ul> <p><b>Marine Energy and Engineering Centre of Excellence (MEECE)</b></p> <ul style="list-style-type: none"> <li>• MEECE headcount at 6.2 FTE's (IP6b)</li> <li>• ORE Catapult leading on Pan Wales Port and grid Study for Floating Offshore Wind funded by Welsh Government. (OP15)</li> <li>• Supported successful bid for £112k Offshore Wind Growth Partnership (OWGP) grant for Ledwood Mechanical Engineering to diversify into offshore wind. MEECE will provide person for Ledwood's Steering Group. (IP3, OP11, OP14).</li> <li>• Supported successful Expression of Interest by Seawind for OWGP funding and are supporting a full bid for a £500k project to be based in Pembroke Dock. (IP3, OP11, OP14).</li> </ul> <p><b>Marine Energy Test Area (META)</b></p> <ul style="list-style-type: none"> <li>• META Operations Manager role commenced Q1 2021 (IP6c)</li> <li>• META phase 2 Marine Licence has been secured (IP5)</li> <li>• META Phase 2 planning applications have been submitted (IP5b).</li> <li>• PCF partner in South Wales Industrial Cluster Phase 2 project, which secured approval 04.01.21 (IP7)</li> </ul>	

### Pembrokeshire Demonstration Zone (PDZ)

- All third-party approvals and co-funding in place to progress (IP4)

### Collaborative Achievements

- MHPA, MEW and ORE Catapult all presented at Renewable UK's Floating Wind Conference 2020 on 7<sup>th</sup> of October. (OP11/16)
- Partners all submitted supporting evidence to BEIS for CFD support for FLOW and Marine Energy revenue support (OP15)
- MHPA and MEW submitted evidence to BEIS for Offshore Wind Manufacturing Support Scheme (30.10.20 (OP8/15)
- MHPA have engaged with ORE catapult on the Welsh Government's FLOW Port's Study. (OP15)
- MEW & MHPA hosted stand and session at WG Regional roadshow (OP11/12)
- MHPA partner in application under the South Wales Industrial Cluster Deployment project. If successful, the project will leverage £37m of added value work across South Wales (IP3/OP5/6/8)
- MHPA and PCC presented the MH:EK and PDM projects to the Institute of Chartered Engineers 13.01.2021 (OP16)

### Key Activities planned

#### Collaborative Activities

- Funding agreements targeted for exchange end of January 2021 (IP2)
- Establishment of formal project governance to commence post funding agreement with the support of PMO / PCC.
- Collaboration Agreement between partners to be agreed within 3 months of funding agreement execution.

### Annual Conference 2021 | Marine Energy Wales (OP11 & OP166)

- ORE Catapult and MHPA are both sponsoring Marine Energy Wales's 2021 Annual Conference, which PDM will feature in. If interested parties would like to attend, please contact [bethan.simes@marineenergywales.co.uk](mailto:bethan.simes@marineenergywales.co.uk)

#### Pembroke Dock infrastructure

- Procurement of Construction Contract ready pending funding approval (IP1)
- Listed Building and Conservation Area consent applications to be submitted (IP1)
- Consent management ongoing throughout Q1 and Q2 2021 (IP1)
- Grant Compliance role to be advertised (IP6a) post funding award.

#### Marine Energy and Engineering Centre of Excellence (MEECE)

- 1 FTE new Innovation Manager to start January 25<sup>th</sup>. Potential for 1FTE new engineer to start, but held up by post-Brexit ambiguity on employment eligibility. (IP6b)
- £250k project with Swansea University, Natural Power and Siemens Gamesa, to demonstrate and verify the benefits of adding vortex generators to large wind turbine blades. On hold due to uncertainty of City Deal funding which is essential to fund Swansea University activities. There is a risk that the commercial partners will lose interest if we cannot commence this project soon. (IP3, OP11, OP14).
- £75k of procurement imminent to refurbish and deploy our 4m diameter buoy in META, to enable delivery of at least three innovation projects. It is expected that the majority of this will go to local supply chain companies, EU rules permitting. (OP11, OP14).

#### Marine Energy Test Area (META)

- Marine and Town and Country planning act Condition discharge
- Develop operational procedures and documents.
- Agree lease agreements with Crown Estate.
- PCF State of the Sector Report being produced ready for April in collaboration with ORE Catapult. (OP16)
- Highlight report of Marine Energy Wales activity to be issued imminently (OP1, OP2, OP16)

- MEW providing evidence to Welsh Affairs Committee call of evidence on marine energy opportunity for UK plc. (OP1, OP2, OP16).
- Marketing Manager role being advertised currently (IP6c)

**Pembrokeshire Demonstration Zone (PDZ)**

- Taking funding agreement to Wavehub Board end of Jan (IP4)

<b>Project Title</b>	<b>Pentre Awel</b>	<b>RAG Status</b>	<b>A</b>
<b>Local Authority Lead</b>	Carmarthenshire County Council	<b>Programme / Project Lead</b>	Sharon Burford
<b>Project Delivery Lead</b>	Carmarthenshire County Council	<b>Reporting Period</b>	Jan 21
<b>SRO</b>	Chris Moore		

<b>Budget</b>	
<b>Total Budget</b>	£199.19m
<b>City Deal</b>	£40m
<b>Public</b>	£51
<b>Private</b>	£108.19
<b>Description</b>	
<p>Proposed for an 83-acre site at Delta Lakes in Llanelli, Pentre Awel will be the first development of its kind in Wales. The project will include the co-location of academic, public, business and health facilities to boost employment, education, leisure provision, health research and delivery, and skills and training.</p> <p>City Deal will provide the requisite investment for business incubation and acceleration facilities, laboratory space, testbed capabilities, a well-being skills centre, clinical research centre and a clinical delivery centre to deliver multi-disciplinary care closer to home. The design for Zone 1 will create an ‘ecosystem’ by facilitating joint working across traditional boundaries, integrating education and training programmes within a clinical setting and fostering interface between health and leisure for the benefit of population health.</p> <p>Pentre Awel will include state-of-the-art leisure centre funded by Carmarthenshire County Council.</p> <p>A network of integrated care and rehabilitation facilities will also be provided on site to enable the testing and piloting of life science technologies aimed at enhancing independent and assisted living.</p> <p>Assisted living accommodation will also feature, along with a nursing home, a hotel, expansion space for businesses, and elements of both open market and social and affordable housing.</p>	

Key achievements
<p><b>Business Case Development</b></p> <ul style="list-style-type: none"> <li>• Commissioning of external legal consultants to support procurement – October 9, 2020</li> <li>• Business case approval in Full Council at Carmarthenshire County Council – October 22, 2020</li> <li>• Implementation of external Stage Gate review recommendations – October &amp; November 2020</li> <li>• Business case approval at Joint Committee – November 12, 2020</li> <li>• Business case submitted to UKG/WG for approval – November 13, 2020</li> </ul> <p><b>Project development</b></p> <ul style="list-style-type: none"> <li>• MoUs signed with tenants – October, November and December 2020</li> <li>• Rolling programme of Heads of Term Agreements with tenants – From October, ongoing 2020</li> <li>• Early Market Engagement with construction contractors, including presentation and 1:1 feedback sessions with each contractor – November and December 2020</li> <li>• Updated procurement strategy for Zone 1 to ensure responsiveness with market intelligence – December 2020</li> <li>• Procurement documents in preparation to secure a main contractor for Zone One – December 2020</li> <li>• Detailed Community Benefits Requirement documents prepared in partnership with RLSP, Communities for Work – November and December 2020</li> </ul>
Key Activities planned
<ul style="list-style-type: none"> <li>• Place Zone 1 tender via two stage procurement methodology using South West Wales Regional Contractors Framework – January 2021</li> <li>• Feedback on Business Case – January 2021</li> <li>• Secure institutional funding – March 2021</li> <li>• Sign Head of Terms partners – March 2021</li> <li>• Agreement to draw down Hydrotherapy Pool charity funding – March 2021</li> <li>• Assisted living specification – March 2021</li> </ul>

Outputs
Due to the status of the business case approval process, outputs identified are yet to be monitored as construction is not yet underway.

Programme / Project Title	Homes as Power Stations	RAG Status	A
Local Authority Lead	Neath Port Talbot County Borough Council	Programme / Project Lead	Lisa Willis
Prog / Project Delivery Lead	Neath Port Talbot County Borough Council	Reporting Period	Jan 21
SRO	Nicola Pearce		

Budget	
Total Budget	£505.5m
City Deal	£15m
Public	£114.6m
Private	£375.9m

Description
<p>A co-ordinated project across the City Region, Homes as Power Stations will see energy-saving technologies introduced to thousands of homes as part of a smart, low carbon new-build and retrofit programme.</p> <p>The project will:</p> <ul style="list-style-type: none"> <li>• Tackle fuel poverty</li> <li>• Further decarbonise the regional economy</li> <li>• Improve residents’ health and well-being</li> <li>• Reduce burden on regional health and social services</li> <li>• Benefit regional supply chain businesses</li> </ul> <p>Potentially develop a UK-wide industry in the City Region, with global export opportunities</p>

Key achievements
<p><b>Business Case Development</b></p> <ul style="list-style-type: none"> <li>• OBC submitted to PoMO December 2020</li> </ul> <p><b>Project Development</b></p> <ul style="list-style-type: none"> <li>• Established formal governance incl. HAPS project board</li> <li>• Formalised stakeholder engagement plan</li> <li>• Formalised project delivery / implementation plan</li> <li>• Progress PAR action plan</li> </ul>

Key Activities planned
<p><b>Business Case Development</b></p> <ul style="list-style-type: none"> <li>• Formal submission to UKG/WG January 2021</li> </ul> <p><b>Project Development</b></p> <ul style="list-style-type: none"> <li>• Appoint project manager / formalise team – April 2021</li> <li>• Establish Technical Advisory Group – April 2021</li> <li>• Establish lessons learned group – January 2021</li> <li>• Establish knowledge sharing hub – April – June 2021</li> <li>• Establish regional supply chain fund &amp; financial incentives scheme – July 2021</li> <li>• Establish monitoring and evaluation process – July 2021</li> <li>• Progress PAR Action Plan - ongoing</li> </ul>

Outputs
<ul style="list-style-type: none"> <li>• Facilitate the adoption of renewable technologies in 10,300 properties</li> <li>• Develop a regional supply chain of HAPS related renewable technologies</li> <li>• Monitoring and Evaluation - determine the efficacy and impacts of renewable technologies on new build and existing housing stock</li> <li>• Establish knowledge sharing hub for all sectors</li> <li>• Dissemination of key findings via a ‘HAPS design manual’</li> </ul>

<b>Programme / Project Title</b>	<b>Supporting Innovation and Low Carbon Growth</b>	<b>RAG Status</b>	<b>A</b>
<b>Local Authority Lead</b>	Neath Port Talbot County Borough Council	<b>Programme / Project Lead</b>	Lisa Willis
<b>Programme / Project Delivery Lead</b>	Neath Port Talbot County Borough Council	<b>Reporting Period</b>	Jan 21
<b>SRO</b>	Nicola Pearce		

<b>Budget</b>	
<b>Total Budget</b>	£61.5m
<b>City Deal</b>	£47.7m
<b>Public</b>	£7.7m
<b>Private</b>	£6.11m

**Description**

The Supporting Innovation and Low Carbon Growth programme has been developed as a response to a number of key priority areas to deliver sustainable jobs and growth in the Swansea Bay region. It aims to create the right environment for a decarbonised and innovative economy.

The vision of ‘delivering low carbon, sustainable and inclusive growth for the region’ will be achieved through This project will help further decarbonise the Neath Port Talbot economy, while safeguarding the regional steel industry and providing high-quality space for the innovation, ICT and research and development sectors.

Project features include:

- A National Steel Innovation Centre
- Electric vehicle infrastructure and mapping
- Real-time air quality modelling
- Hydrogen production to power hydrogen vehicles
- Cutting-edge business spaces to meet evidenced demand.

**Key achievements**

**Business Case Development**

- Revised OBC development
- Progressed PAR action plan
- Progressed CFR Action Plan

**Project Development**

- Programme Board formalised
- Formalise stakeholder engagement plan – in development
- Project delivery / implementation plan – live document

**Swansea Bay Technology Centre**

- Construction commenced

**National Steel Innovation Centre**

- Working group to develop building specification – February 2021

**Decarbonisation**

- Low emission vehicle regional public sector group established

**Industrial Futures**

- Working group established to develop Advanced Manufacturing Production Facility – including Industry Wales

Key Activities planned
<p><b>Business Case Development</b></p> <ul style="list-style-type: none"> <li>• UKG/WG approval of the release of Government funding to the project</li> <li>• Progress actions plans for PAR and Critical Review recommendations</li> </ul> <p><b>Project Development</b></p> <ul style="list-style-type: none"> <li>• Appoint project manager / formalise team – April 2021</li> </ul> <p><b>Swansea Bay Technology Centre</b></p> <ul style="list-style-type: none"> <li>• Construction ongoing</li> </ul> <p><b>SWITCH</b></p> <ul style="list-style-type: none"> <li>• Commence D&amp;B Process</li> </ul> <p><b>Decarbonisation</b></p> <ul style="list-style-type: none"> <li>• Air Quality Monitoring devices to be installed – April 2021</li> </ul> <p><b>Industrial Futures</b></p> <ul style="list-style-type: none"> <li>• Finalise Advanced Manufacturing Production Facility scope</li> </ul>

Outputs
<ul style="list-style-type: none"> <li>• Being finalised in revised OBC</li> </ul>

Project Title	Yr Egin - Creative Digital Cluster	RAG Status	A
Local Authority Lead	Carmarthenshire County Council	Programme / Project Lead	Geraint Flowers
Programme / Project Delivery Lead	University of Wales Trinity Saint David	Reporting Period	Jan 21
SRO	Ray Selby		

Budget	
Total Budget	£25.17m
City Deal	£5m
Public	£18.67m
Private	£1.5m
Description	
<p>To support and further develop the region’s creative industry sector and Welsh language culture. The two-phased programme, led by University of Wales Trinity Saint David campus in Carmarthen, features:</p> <ul style="list-style-type: none"> <li>• National creative sector anchor tenants</li> <li>• World class office space for local and regional creative sector SMEs, with opportunities for expansion</li> <li>• Facilities for the community and business networking</li> </ul> <p>Facilitating engagement between businesses and students</p>	



<b>Key achievements</b>
<b>Project Development</b> <ul style="list-style-type: none"> <li>Phase 2 – Q4</li> </ul>
<b>Key Activities planned</b>
<ul style="list-style-type: none"> <li>Sector demand study commissioned January 2021. Undertaking fundamental review of industry infrastructure and business support requirements, in light of Covid and economic threats..</li> </ul>

<b>Programme / Project Title</b>	Swansea City & Waterfront Digital District	<b>RAG Status</b>	<b>A</b>
<b>Local Authority Lead</b>	Swansea Council	<b>Programme / Project Lead</b>	Huw Mowbray
<b>Programme / Project Delivery Lead</b>	Swansea Council	<b>Reporting Period</b>	Q3
<b>SRO</b>	Martin Nicholls		

<b>Budget</b>	
<b>Total Budget</b>	£175.35m
<b>City Deal</b>	£50m
<b>Public</b>	£85.38m
<b>Private</b>	£39.97m
<b>Description</b>	
<p>To boost Swansea city centre’s economic well-being at the heart of the City Region’s economy, while retaining local tech, digital and entrepreneurial talent. This project includes:</p> <ul style="list-style-type: none"> <li>A digitally enabled indoor arena in the city centre for concerts, exhibitions, conferences and other events</li> <li>A ‘digital village’ development in the city centre to accommodate the city’s growing tech and digital business sector</li> </ul> <p>A ‘box village’ and innovation precinct development at the University of Wales Trinity Saint David’s new Swansea waterfront campus to enable start-up company support and growth</p>	

<b>Key achievements in</b>
<b>Business Case &amp; Project Development</b> <ul style="list-style-type: none"> <li>Arena structural steelwork and concrete now largely complete.</li> <li>Arena watertight and internal fitting commenced.</li> <li>Bridge construction onsite ready for moving into position in February.</li> <li>Hotel design has commenced through the contractors.</li> <li>71-72 construction tendering commenced and tenant discussions progressing.</li> </ul>
<b>Key Activities planned</b>
<ul style="list-style-type: none"> <li>Lettings discussions on-going for 71/72 The Kingsway – On going</li> <li>Cabinet decision on 71/72 The Kingsway - March 2021</li> <li>Award of construction contract for 71/72 The Kingsway – March 2021</li> </ul>

- Outline planning application for Box Village at UWTSD SA1 Waterfront – February 2021

**Outputs**

Physical delivery of arena (circa 80,000 square feet with a 3,500-capacity), along with digital square and hotel is on track.

Cabinet decision due in March 2021 on 71/72 The Kingsway, which will comprise circa 100,000 square feet of office space.

Discussions on-going with UWTSD about their element of the project (Innovation Matrix).

Caveat: Covid 19 could have an impact on jobs and GVA.

Project Title	Skills and Talent	RAG Status	A
Local Authority Lead	Carmarthenshire County Council	Programme / Project Lead	Jane Lewis
Prog /Project Delivery Lead	South West Wales Regional & Skills Partnership	Reporting Period	Jan 21
SRO	Barry Liles		

Budget	
Total Budget	£30m
City Deal	£10m
Public	£16m
Private	£4m

**Description**

To develop a sustainable pipeline of regional talent to benefit from the high-value jobs City Deal projects will generate in growth sectors for the region. This includes the potential to develop skills through courses and training and apprenticeship opportunities aligned to City Deal projects and regional priorities, as well as a partnership approach involving schools, universities, businesses and training providers across the region to identify need and resolve skills development gaps.

**Key achievements**

- Business Case Development**
- Workshop on long-list options appraisal with stakeholders - September 2020
  - Structural changes to the Team
  - Strategic Case reviewed by PoMO

**Key Activities planned**

- PoMO review of business case -January 2021
- ESB business case review -February 2021
- Programme Board review of business case -February 2021
- Local Authority approval of business plan – March 2021
- External Stage Gate Review of business case – March/April 2021
- Joint Committee approval of business case – April 2021
- Business case submitted to UKG/WG for approval -May 2021
- Workshop to be scheduled with Joe Flanagan, Advisor to Welsh Government to strengthen Economic Case

<b>Key achievements</b>
<ul style="list-style-type: none"> <li>• Outline Business Case defined and submitted to PMO for review in advance of submission - Q4 2020</li> <li>• Feasibility study revised to align with the monies available and original scope agreed – Q4 2020</li> <li>• Procured consultancy to support review of business case, partner development and communication strategy and to support development of commercial plan – Q4 2020</li> <li>• Key letters of support received from partners to evidence commitment – Q4 2020</li> <li>• Development of initial teaser video for private sector engagement – Q4 2020</li> <li>• Positive initial meeting with Welsh &amp; UK Government to introduce the project – Q4 2020</li> </ul>
<b>Key Activities planned</b>
<ul style="list-style-type: none"> <li>• Business case submitted to sponsor local authority, Economic Strategy Board, Programme Board and Joint Committee for approval of the project submission to the UKG/WG – Q1 2021</li> <li>• Structured private sector engagement activities to be undertaken with further more detailed content to be defined to support initial teaser video – Q1 2021</li> <li>• Further letters of to be obtained to evidence engagement/commitment to the project – Q1 2021</li> </ul>

<b>Outputs</b>
Due to the status of the business case development, project outputs are yet to be identified and monitored.

<b>Programme /Project Title</b>	<b>Life Science, Well-being &amp; Sport Campuses</b>	<b>RAG Status</b>	<b>G</b>
<b>Local Authority Lead</b>	City and County of Swansea	<b>Programme / Project Lead</b>	Naomi Joyce
<b>Prog / Project Delivery Lead</b>	Swansea University	<b>Reporting Period</b>	Q2
<b>SRO</b>	Keith Lloyd		

<b>Budget</b>	
<b>Total Budget</b>	£45m
<b>City Deal</b>	£15m
<b>Public</b>	£20m
<b>Private</b>	£10m
<b>Description</b>	
To develop digital health and platform technologies and clinical innovation to help prevent ill-health, develop better treatments and improve patient care. Advanced research and development facilities will be created, building on the success of the Institute of Life Sciences at Swansea University and expanding on regional expertise in sport and exercise science. This project will be located at Morriston Hospital and Swansea University’s Singleton Campus	

**Key achievements**

- Outline Business Case defined and submitted to PMO for review in advance of submission - Q4 2020
- Feasibility study revised to align with the monies available and original scope agreed – Q4 2020
- Procured consultancy to support review of business case, partner development and communication strategy and to support development of commercial plan – Q4 2020
- Key letters of support received from partners to evidence commitment – Q4 2020
- Development of initial teaser video for private sector engagement – Q4 2020
- Positive initial meeting with Welsh & UK Government to introduce the project – Q4 2020


**Key Activities planned**

- Business case submitted to sponsor local authority, Economic Strategy Board, Programme Board and Joint Committee for approval of the project submission to the UKG/WG – Q1 2021
- Structured private sector engagement activities to be undertaken with further more detailed content to be defined to support initial teaser video – Q1 2021
- Further letters of to be obtained to evidence engagement/commitment to the project – Q1 2021

ANNEX 1

RAG Status	
<b>R</b>	<p><i>Major problems identified which mean the programme / project is unlikely to deliver the agreed scope to the required standard on time or on budget, or to deliver the expected benefits.</i></p> <p><i>Remedial plans are not proving effective.</i></p> <p><b>Escalate to programme / project sponsor for support to resolve.</b></p>
<b>A</b>	<p><i>Some problems identified which may put the programme / project's scope, time, cost, and/or benefits at risk. Remedial plans are in place and are being monitored to ensure that risk is mitigated.</i></p> <p><b>Highlight to programme / project sponsor for visibility and awareness.</b></p>
<b>G</b>	<p><i>Programme / Project is proceeding according to plan. Risks/issues are being managed within the programme / project.</i></p> <p><b>No need to escalate to next level.</b></p>

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		<b>Swansea Bay City Region Deal</b> Integrated Assurance and Approval Plan	
Name of Portfolio		Swansea Bay City Region Deal	
Version Number	8	Last Updated	04/01/21
SRO Name	Wendy Walters	Portfolio Manager	Jonathan Burnes
Programme/Project Manager	Jonathan Burnes	IAH Ref	
RPA - date submitted to IAH		RPA - Outcome	
WG Major Programme/Project Portfolio			

**Guidance**

An Integrated Assurance and Approvals Plan is a tool to plan assurance and approval points from discovery to the final stage of delivery of the Programme/Project lifecycle. Each programme and Programme/Project should have an IAAP that covers independent assurance reviews.

An IAAP should be developed using a risk-based approach to ensure that the assurance provision is both proportionate and meets the needs of all those parties requiring an assurance. It should take into account Programme/Project milestones and planned assurance activities. A programme IAAP should take into account the assurance coverage of its constituent Programme/Projects.

1st Line Assurance will be provided by the Programme/Project itself through its governance. The IAAP covers 2nd Line Assurance, which refers to independent assurance provided within the Organisation and 3rd Line Assurance, which refers to assurance or scrutiny provided by external organisations.

This IAAP has been developed in line with the WG Integrated Assurance Strategy and is a living document. It should be periodically reviewed and updated and if appropriate, after each assurance review, change in scope or in the risk potential of the Programme/Project. The IAAP should be maintained until the Programme/Project is closed and delivery responsibility passes to the operational business.

The IAH offer support in the completion of the IAAP tailoring it to suit the specific needs of the Programme/Project.

The Risk Potential Assessment should be completed as soon as possible in consultation with the IAH (assurance@gov.wales) so that they can consider how to advise on the necessary assurance reviews in time to keep the initiative on track.

Glossary	
AAP - Assurance of Action Plan	PoMO - Portfolio Management Office
AB - Accountable Body	Proc - Procurement
CFR - Critical Friend Review	PVR - Programme/Project Validation Review
ESB - Economic Strategy Board	RPA - Risk Potential Assessment
IA - Internal Audit	SRO - Senior Responsible Owner
IAH - Integrated Assurance Hub	AW - Audit Wales
NAO - National Audit Office	BC - Business case
OIGC Gateway (0 to 5)	PLA - Project Lead Authority or organisation
PAC - Public Accounts Committee	PBC - Portfolio Business Case
PAR - Programme/Project Assessment Review	
PB - Programme Board	
WCGIB - Welsh City & Growth Implementation Board	
PMO - Programme Management Office	

Assurance / approval / Reporting	Activity/Product	Primary client	Last review date	2020/2021												2021/2022												Comments
				Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	
<b>Governance</b>																												
<b>Portfolio Level</b>																												
<b>Meetings</b>																												
Joint Committee	Meetings	SRO, JC, PoMO	Jan-21			x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	Monthly meeting. August recess.
Programme Board	Meetings	SRO, PB, PoMO	Jan-21		x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	Monthly meeting.
Economic Strategy Board	Meetings	SRO, ESB, PoMO	Jan-21			x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	Monthly meeting
Joint Scrutiny Committee	Meetings	SRO, JSC, PoMO	Jan-21					x																				Meetings every two months. December 2020 meeting cancelled.
Regional S151 officers	Meetings	AB, PoMO	Jan-21			x																						Quarterly meeting
WGLUKG/PMO briefing	Meetings	SRO, PoMO, WG, UKG	Jan-21		x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	Monthly meetings
SBCD/WG PMO briefing	Meetings	SRO, PoMO, WG	Jan-21		x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	Weekly meeting
PoMO Team	Meetings	SRO, PoMO	Jan-21		x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	Weekly meeting
PoMO/Project Leads	Meetings	PoMO, Project Leads	Jan-21			x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	Fortnightly meeting
Procurement Workshops with Prog / Proj Leads	Meetings	PoMO, Prog / Proj Leads	Jan-21																									Meetings with all Prog / Proj Leads to be held by end of January
WGLA Regional City Deal Directors	Meetings	SRO, WGLA, WG	Jan-21		x	x			x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	Meetings every two months
<b>Key Documentation Review</b>																												
Integrated Assurance & Approval Plan	Live document. Part of Quarterly Report	SRO, PB, PoMO, JC	Jan-21			x																						Quarterly Update to be given via quarterly monitoring at PB / JC
Portfolio Business Case	Live document	SRO, PB, PoMO, JC	Oct-20			x	x																					June/July 2020 review at PB and JC. AOR recommendations being implemented by end January. Next iteration of BC due end March 21.
AOR Report	Live document. Part of Quarterly Report	SRO, PB, PoMO, JC, WCGIB	Jan-21																									PoMO progressing recommendations. Weekly meetings held to provide updates within PoMO. Meetings with WLUK Government by exception to progress.
Implementation Plan	Live document	SRO, PoMO, PB, JC, JSC	Oct-20			x	x																					June/July 2020 approval at PB & JC. Annual review of Implementation Plan
Portfolio Issues Log	Live document	SRO, PoMO, PB, JC, JSC	Jan-21			x	x																					Quarterly to PB / JC / JSC for review.
Portfolio Risk Register	Live document. Part of Quarterly Report	SRO, PoMO, PB, JC, JSC	Jan-21			x	x																					Quarterly to JC / PB / JSC in line with Issues Log. Risk management strategy presented at PB November 2020 and signed off at JC November 2020.
M & E plan	Live document	SRO, PoMO	Oct-20			x	x																					Monthly highlight reports in place from Oct 2020. Quarterly monitoring reports planned from Nov 2020. Annual performance reports also planned. M&E Plan to be reviewed Jan / Feb 2021.
Highlight Report	Live document	PoMO, JC, PB	Dec-20																									Key prog / proj activity and risks presented monthly to JC and PB
Quarterly Monitoring Report	Live document. Part of Quarterly Report	PoMO, JC, PB	Jan-21																									Key achievements last 3 months, activity planned next 3 months, also includes appendices: IAP, Portfolio Risk Register, Covid Impact Assessment, AOR progress, Financial Analysis, Community Benefits.
Annual Report	Live document	PoMO, JC, PB																										Annual report will document the last 12 months achievements and progress and provide an overview of future key milestones to be obtained.
Covid-19 Impact Assessment	Live document. Part of Quarterly Report	SRO, PoMO	Jan-21			x	x																					Forms part of quarterly monitoring report introduced October 2020. Summary presented at PB / JC / JSC October 2020.
<b>Key Documentation Approvals</b>																												
Integrated Assurance & Approval Plan	Live document	SRO, PB, PoMO, JC	Jan-21			x																						June 2020 approval at JC / Approval every 6 months
Portfolio Business Case	Live document	SRO, PB, PoMO, JC, WCGIB	Oct-20			x	x																					AOR recommendations progressing Dec 2020. Next iteration due March 2021. Approval needed from both WCGIB & JC
Implementation Plan	Live document	SRO, PoMO, PB, JC, JSC	Oct-20																									July 2020 approval at JC / Annual approval needed
Portfolio Issues Log	Live document	SRO, PoMO, PB, JC, JSC	Jan-21			x	x																					Will form part of quarterly monitoring report presented to JC / JSC / PB. Next report due January 2021.
Portfolio Risk Register	Live document	SRO, PoMO, PB, JC, JSC	Jan-21			x	x																					Quarterly to JC / PB / JSC in line with Issues Log. Risk management strategy presented at PB November 2020 and signed off at JC November 2020.
M & E plan	Live document	SRO, PoMO	Oct-20			x	x																					Monthly highlight reports in place from Oct 2020. Quarterly monitoring reports planned from Nov 2020. Annual performance reports also planned. M&E Plan to be reviewed Jan / Feb 2021.
Highlight Report	Live document	PoMO, JC, PB	Dec-20																									Key prog / proj activity and risks presented monthly to JC and PB
Quarterly Monitoring Report	Live document. Part of Quarterly Report	PoMO, JC, PB	Jan-21																									Key achievements last 3 months, activity planned next 3 months, also includes appendices: IAP, Portfolio Risk Register, Covid Impact Assessment, AOR progress, Financial Analysis, Community Benefits.
Annual Report	Live document																											Annual report will document the last 12 months achievements and progress and provide an overview of future key milestones to be obtained.
Covid-19 Impact Assessment	Live document	SRO, PoMO	Jan-21			x																						Updated assessments submitted to PB Oct 2020 and JC in Nov 2020. Will form part of next quarterly report January 2021.
<b>Assurance</b>																												
<b>Portfolio Level</b>																												
<b>Level 1 - Functional Assurance (Internal)</b>																												
Technical, due diligence, data security and financial	Internal procedures	PoMO, AB	Oct-20																									Annual review to ensure fit for purpose
<b>Level 2 - Independent</b>																												
OGC Gateway Process	Risk Potential Assessment	SRO, PB, PoMO	Oct-20			x																						SRO appointment in June 2020. RPA submitted
OGC Gateway Process	Gate 0 Programme Strategic Assessment	SRO, PB, PoMO, JC	Oct-20				x																					Review from July 15 to July 17 2020. Report to JC / PB quarterly. PoMO implementing recommendations
Accounting Officer Review (AOR)	AOR	SRO, PB, PoMO, JC, WCGIB	Oct-20																									Portfolio Business Case (PBC) subject to AOR. AOR is an annual review in line with PBC update. PBC is part of core documentation for annual assessment prior to funding approval
<b>Approvals</b>																												
Approval point for AOR review	AOR	SRO, PB, PoMO, JC, WCGIB	Dec-20																									December 2020 target for progression with all recommendations being implemented by March
<b>Consequential Assurance</b>																												
OGC Gateway Process	Gate 0 Programme Strategic Assessment	PoMO, SRO, PB, JC	Oct-20				x																					Review report to JC / PB quarterly. PoMO implementing recommendations
Critical Friend Review	Meetings	PoMO	Oct-20																									Pre meet expected January 2021 with review to take place February/March
<b>Level 3 - Audit</b>																												
External Audit	Audit	AB, PoMO	Oct-20				x																					Audit Wales annual audit approved at JC Sep 2020
Internal Audit	Audit	AB, PoMO	Oct-20																									Pembrokeshire Council Internal Audit. PB report in Sep 2020. Report due for JC consideration in Nov 2020

Latest Assessment: January 2021

Risk Theme	Ref	Title	Date Raised	Category	Owner	Risk Description	Inherent Probability	Inherent Impact	Inherent Rank	Original Control Actions	Review Update/Control Actions	Revised Probability	Revised Impact	Revised Rank	Reported Change	Next Review Date
Development	SBCD001	Competing priorities of partners	Mar-18	C6 C14	JC	There is a risk of competing priorities of partners causing City Deal issues not to be considered a priority and therefore sufficient resources are not dedicated resulting in potential otherwise unnecessary delays in delivery or achievement of outcomes.	4	3	12	Ensure partners are engaged fully from the outset and that the benefits and potential opportunities of the City Deal partnership, and their involvement are clearly articulated. Ensure opportunities for open and honest dialogue regarding competing pressures. Establish support mechanisms to assist partners with competing priorities to allow them to be as involved as possible. Set up annual meeting schedule to enable effective time management for all partners. Provide regular electronic updates and briefings inbetween meetings on progress / key issues	<p><b>14/05/20</b> Programme Business Case is under development with a June target. PMO also being established. Covid-19 risk assessment being undertaken with report for Programme Board and JC in June</p> <p><b>01/10/20</b> Portfolio Business Case underwent WG Accounting Officer Review Sept 20 PMO staff recruited. Covid-19 risk assessment undertaken and reported to for Programme Board and JC in June.</p> <p><b>04/01/21</b> Next iteration of the Portfolio Business Case due March 2021, good progress being made on review recommendations. Governance Boards receive a monthly Highlight Report covering programme / project progress and key risk, and a quarterly monitoring report that looks at key achievements the last 3 months, key activity the next 3 months, main risks and in addition is supplemented with the Portfolio Risk Register, Covid Impact Assessment, Integration, Assurance and Approval Plan, AOR Action Plan progress and financial analysis report.</p>	2	3	6	↓ (3,3)	Apr-21
Implementation	SBCD004	Delay in development of Programme / Project business cases	Mar-18	C11 C14	PoMO / Delivery Lead	Risk of delay in development of business cases causing delay in programme / project start dates. Depending on critical timescale could impact programme / projects ability to deliver proposed outcomes resulting in a potential knock on affect for other projects ability to deliver and achieve outcome	5	3	15	Iterative review of draft business cases. Open and frequent dialogue between delivery lead and regional project lead authority (RPAL).	<p><b>14/05/20</b> Development of business plans on-going. HAPS due for consideration at JC in June. New digital infrastructure project manager in place..</p> <p><b>01/10/20</b> All BC's being actively worked on to be completed by end Dec 2020. See below. External consultants being used to align BC's to BBC guidance and Green Book PMO supporting PL's to develop Cases within the BBC structure. Projects using external consultants to develop BCs and strengthen economic and financial appraisals. HAPS regionally approved at June JC. PDM approved by Govts in June. Digital infrastructure and Pentre Awel BC's undergoing regional approval process</p> <p><b>04/01/21</b> Changes to the HAPS Business Case implemented and being presented to JC / PB January.Changes to Low Carbon Business Case due to be presented to PB March 2nd. Skills and Talent Economic Case has been reviewed by the PoMO with all sections of the Business Case due to be in draft by end of February. All other BC's progressing with the support of the PoMO.</p>	2	2	4	↔	Apr-21
Implementation	SBCD005	Delay in approval of Programme / Project business cases	Mar-18	C11	PoMO / JC / Govs	Risk of delay in approval of Business cases which depending on critical timescale could impact projects ability to deliver proposed outcomes, resulting in potential knock on affect for other projects ability to deliver and achieve outcomes.	3	4	12	Ensure JCA is completed and agreed. Identify robust regional review process / structure. Ensure project authority leads have early sight of relevant business cases. Iterative process with governments to enable them to review early drafts to minimise the amount of review required for final version. Develop and agreed process and timescale for final business case review with Governments.	<p><b>14/05/20</b> Liaison with WG Integrated Assurance Hub (IAH) on-going. IAAP being developed. PAR reviews for all projects to be undertaken. Programme Business Case being developed for June target.</p> <p><b>01/10/20</b> Liaison with WG Integrated Assurance Hub (IAH) on-going. IAAP being developed. HAPS / SICG/ Pentre Awel and Portfolio Business Cases have undergone Gateway reviews SBCD have submitted updates to the funding award conditions. The updates will be considered as part of the Portfolio AOR process 7th October 2020.</p> <p><b>04/01/21</b> Pentre Awel and Digital Infrastructure Business Case presented and approved at SBCD Governance Boards. Submitted for Ministerial approval and awaiting feedback.</p>	3	3	9	↔	Apr-21
Implementation	SBCD006	Portfolio / Programme / Project Business cases not approved	Mar-18	C3 C11	PoMO / Delivery Lead / W/UK Government	Risk of Business Cases not being approved due to lack of engagement / direction from authorities resulting in project failure	3	5	15	Ensure regional project authority lead is fully involved in the development of the business case and has early sight of relevant business cases. Provide Councils with project briefings where appropriate.	<p><b>14/05/20</b> HAPS being considered by JC in June. PMO making significant progress on realising terms and conditions that will enable further projects to be considered by both governments. IAAP under development to provide further assurance</p> <p><b>01/10/20</b> SBCD governance and assurance processes are maturing to better support the development of robust BC's. Project Leads engage with Govt officials and stakeholders to ensure BC alignment to policy, strategy and priorities.</p> <p><b>04/01/21</b> Change over of Government officials in the Welsh Office for UK Government. PoMO engaging with them. Workshops held with PoMO and Programme / Project Leads to run through BC when ministerial approval is sought and provide assurance on recommendations resulting from PAR reviews. Portfolio Business Case being revised, PoMO engaging with Welsh Government on the AOR process providing regular progress updates to recommendations.</p>	3	3	9	↔	Apr-21
Implementation	SBCD008	Change in project scope pre-business case approval	Mar-18	C11 C6	Delivery lead	Risk of change in project scope due to no longer requiring same amount of funding causing the project to no longer achieve the necessary outcomes required for City Deal funding resulting in Project not being approved and therefore unable to proceed as planned..	4	4	16	Continuous dialogue with delivery leads and RO during business case development to ensure consistency with original scope in terms of alignment to overarching aims and objectives of the deal. Iterative process of business case review by governments enabling early identification of concerns to be raised and rectified. Where changes in scope are identified close working with RO, regional project authority lead and delivery lead to ensure that changes do not compromise the proposed outcomes / outputs of the original project and that revised project scope still achieves overall programme aims and objectives	<p><b>14/05/20</b> Programme Business Case under development for June target. Projects being assessed to gauge impact of Covid-19..</p> <p><b>01/10/20</b> Portfolio Business Case under development following AOR. Projects being assessed to gauge impact of Covid-19. HAPS &amp; SILC BC's being updated following PARs</p> <p><b>04/01/21</b> Portfolio review recommendations progressing, next iteration of the Business Case due 31st March 2021. Digital Infrastructure and Pentre Awel Business Cases awaiting Ministerial approval. Changes to HAPS BC due to be presented at January PB.</p>	3	3	9	↔	Apr-21
Implementation	SBCD010	Cancellation of meetings (added April 2019)	Apr-19	C14 C11 C6	JC / PB / ESB / PoMO	Risk of Board meetings being cancelled causing implications in signing off documentation including business cases, implementation of review recommendations and key underpinning tasks resulting in delays in delivery.	3	3	9		<p><b>31/01/20</b> Monthly meetings of ESB and Joint Committee now taking place at the same venue and on the same day. Programme Board meetings precede these meetings by a fortnight. Meetings of Joint Scrutiny Committee take place throughout the City Region every two months</p> <p><b>14/05/20</b> City Deal governance meetings currently being arranged digitally.</p> <p><b>01/10/20</b> COVID-19 affecting personnel availability. City Deal governance meetings currently being arranged digitally</p> <p><b>04/01/21</b> Meetings continue to go ahead digitally. Delegate list established to ensure members have a suitable representative to attend in their absence.</p>	3	3	9	↔	Apr-21



Operational	SBCD011	Withdrawal of Local Authority Partner	Mar-18	C3 C6 C11	JC	Risk of withdrawal of Local Authority partner. Potential for projects to fall as lack of funding / borrowing available from the project lead authority. Loss of funding for regional projects and regional support structures. Potential need to reduce scale of regional projects and / or withdraw scheme from local authority area. Resulting in not achieving outcomes of City Deal.	3	5	15	Ensure JCA is agreed by all local authority partners and includes provisions for such a scenario.	31/01/20 NPTC revised programme of projects approved by Joint Committee and will be imminently submitted to both governments for final approval. NPTC anticipating JC consideration of HAPS project by the end of February, 2020. 14/05/20 HAPS being considered by JC in June. PMO making significant progress on realising terms and conditions that will enable governments to consider all project submissions.. PAR reviews planned for projects. 01/10/20 Subject to approval of business cases by Govts, Local Authorities support the SBCD 04/01/21 Funding agreements are in the process of being developed with partners including Local Authorities and Lead deliverers and all form part of the JCA	2	3	6	↓ (2,4)	Apr-21
Operational	SBCD012	Withdrawal of other partner	Mar-18	C3 C6 C11	JC	Risk of withdrawal of other partner due to reduction in funding for regional support structures, potential impact on ability to achieve broader outcomes of City Deal re: improving public service delivery and other strategic regional functions	3	4	12	Develop arrangements with other partners who are not subject to the JCA to reflect provisions for withdrawal	14/05/20 Campuses project meetings continuing digitally. Representation of all City Deal partners anticipated at digital governance meetings. 01/10/20 All Partners currently supportive of SBCD. Funding agreements should be signed with partners who have not signed up as part of the Joint Collaborative Agreement (i.e. universities and health boards).PoMO to review role of co-opt partners 04/01/21 Funding agreements are in the process of being developed with partners including Local Authorities and Lead deliverers and all form part of the JCA.	2	3	6	↑ (2,2)	Apr-21
Delivery	SBCD013	Slippage in delivery of programmes / projects against key milestones	Mar-18		JC	Risk that City Deal doesn't achieve the outcomes intended within the timescales agree due to slippage in delivery of programme against key milestones resulting in borrowing and recouperation not accurately reflecting spend	3	4	12	Establish robust monitoring and evaluation framework to ensure programme and project delivery remains within agreed timescales and to ensure that all targeted project outputs and outcomes will be achieved. Regional Team in place to undertake monitoring role. Accountable Body/Section 151 officers will undertake programme level financial profiling to ensure borrowing and distribution of City Deal funding is reflective of programme delivery.	14/05/20 Assessment of COVID-19 impact currently underway. Programme Director in dialogue with Governments and stakeholders. 01/10/20 Assessment of COVID-19 impact currently underway to assess potential impact on development and delivery of projects. Programme Director in dialogue with Governments and stakeholders. HAPS approved by JC in June. Other BC's going through regional approval process. PMO making significant progress on realising terms and conditions that will enable governments to consider all project submissions.. Gateway reviews planned for all projects. HAPS / SILCG / Pentre Awel and Portfolio BCs have completed Reviews 04/01/21 Covid-19 Impact Assessment is now a live document and updated quarterly to monitor programme / project development. Quarterly monitoring reports and monthly highlight reports in place and presented at JC / PB that looks at whether programmes / projects remain on target, and whether outcomes / outputs are achieved.	3	3	9	↓ (5,3)	Apr-21
Operational	SBCD014	Engagement and buy in of critical stakeholders	Mar-18	C13 C6	PoMO / Delivery Leads	Failure to engage relevant stakeholders including industry and private sector causing lack of support / engagement with City Deal and related projects resulting in City deal not achieving the anticipated long term change / outcomes. .	3	4	12	Employed dedicated communication and marketing officer. Establish dedicated communication group of key partners and project leads. Utilise different mediums and methods of communication to reach a range of audiences / stakeholders. Hold a variety of events appealing to a range of audiences. Work with project leads to identify targeted stakeholders and develop specific marketing tools for engagement with identified groups. Targeting of specific stakeholders on social media. Promotion and regular update of a cutting-edge City Deal website. Number of key partners already engaged. Ensure early and ongoing involvement through public events, procurement and supply events for example.	14/05/20 COVID-19 restrictions have caused many planned engagement events including MIPIM to be postponed. On-going digital engagement with business representative groups being maintained. Programme Director establishing contact with key stakeholders. 01/10/20 COVID-19 restrictions have caused many planned engagement events including MIPIM to be postponed. PoMO now prioritising financial affordability which includes the level of commitment from industry and private sector. Business Eng Mgr to actively work with PLs and ESB Chair and members to engage industry and private sector. On-going digital engagement with business representative groups being maintained. Programme Director has established contact with key stakeholders. Engagement with Interested parties being maintained digitally 04/01/21 Communications, Marketing and Engagement Plan presented at Programme Board and now a live document. Focus for next 3 months will be to extend SBCD engagement to further raise awareness of SBCD among immediate stakeholders for cascade within their organisations, as well as among regional businesses and residents. A website update is also imminent, along with continued communications to continue to raise the profile of the SBCD in the regional media and beyond, as well as in the specialist media. The SBCD social media presence will be strengthened and expanded, and bi-monthly newsletters will be circulated to key stakeholders and the regional business community.	3	3	9	↔	Apr-21
Operational	SBCD015	Initial Procurement exercises fail to benefit the local supply chain. Projects fail to implement Programme Procurement Principles.	Mar-18	C6 C7 C13	All	Risk of programmes/projects failing to implement programme management principles causing initial procurement exercises failing to benefit the local supply chain resulting in City Deal not achieving the anticipated long term change / outcomes. Lack of support / engagement with City Deal and related projects. Potential for negative publicity and loss of credibility.	3	5	15	Procurement Action Plan developed. Programme Procurement Principles drafted. Procurement Principles aligned to the WbFG Act. Industry engagement has identified key concerns/issues to be addressed in the Principles. Project Lead meetings planned with speakers on key topics of concern. Industry B2B events to be held. ESB/JC to endorse principles.	14/05/20 City Deal procurement principles reconsidered by ESB and due for submission to Programme Board for approval in May 2020. Effectiveness of SCC meet the buyer events and appointment of regionally based sub-contractors being monitored. 01/10/20 City Deal procurement principles reconsidered by ESB and approved at September Programme Board. Principles. To be approved by JC In November 2020. PP's have been shared with Project Leads. Business Case text and checklist template being developed. Effectiveness of Swansea Digital District procurements being monitored. 04/01/21 Procurement principles approved by JC in November 2020. Procurement and community benefits reporting template has been developed and due to be submitted to PB / JC January / February 21 along with procurement procedure document.	3	4	12	↔	Apr-21
Operational	SBCD016	Negative media coverage	Mar-18	C13	PoMO	Risk of City Deal image being portrayed negatively to all stakeholders and consequently the opportunities afforded by the City Deal are not realised at all levels. Resulting in disengagement of industry, business and social stakeholders alike. Potential for further negative coverage from other media, given damage to City Deal reputation and the opportunity for follow-up questions / diary markers to scrutinise City Deal progress / previous statements.	3	4	12	Dedicated communications officer in place to manage media enquiries, monitor all press releases, posts etc relating to City Deal and develop appropriate response where necessary. Ensure regular press releases on positive news and progress. Further develop relationships with key journalists across the region Develop contacts with specialist publications and websites Regular, pro-active comms (press releases and social media) on City Deal milestones/updates/facts and good news stories. Inclusion of video and audio content to accompany press releases and social media posts, when appropriate Regular proactive comms updates to key identified stakeholders across the region Approved statements to be sent in response to media queries on deadline, accompanied by discussions with the reporter asking the question(s) Discussions with news editors/editors to try to influence the tone of coverage Approved press releases and statements to be sent to identified stakeholders in advance of online or offline publication City Deal news/updates to be regularly added to the City Deal website	01/10/20 Continued positive City Deal media coverage on projects including the Swansea City & Waterfront Digital District. External review into the City Deal programme positively commented on communications planning, key messaging and the City Deal's strong virtual presence. The City Deal website is due for an imminent refresh to ensure continued accuracy and the comms & marketing officer is working closely with all SBCD projects to support communications in coming months. Direct communications with the regional business community will be enhanced when further projects are approved, further government funding draw-down is secured and procurement opportunities become available. Comms continues to partly focus on the City Deal being recognised as a key accelerator of economic recovery throughout the City Region, post Covid-19. 04/01/20 Considerable, widespread media coverage from Oct 1 to Dec 31, 2020. This comprised of 58 positive media articles in publications including Wales Online, the South Wales Evening Post, Business News Wales, Wales Business Insider, Wales 247 and regional media including the Llanelli Star, the Western Telegraph and the South Wales Guardian. Coverage was also secured in specialist energy and digital publications. Topics covered included the digital infrastructure programme, Pentre Awel, the indoor arena, the Swansea Bay Technology Centre, the expanded PoMO, the City Deal's procurement principles and a scheme in Swansea that could inform the detail of the Homes as Power Stations project. A City Deal/programmes and projects status interview took place in December 2020 between the Portfolio Director and Wales Online, leading to positive online and offline coverage. A City Deal newsletter was also circulated to hundreds of regional businesses and regional business representative organisations in December 2020. Social media reach throughout the three-month period included over 160 link clicks, 100 retweets, 250 likes and an average of 700 impressions a day on Twitter. On Facebook, there were over 2,000 video views, 551 post engagements and a reach of close to 7,000 users. The City Deal website will be updated in January 2020, along with the introduction of an Instagram account and the strengthening of a LinkedIn account. A downloadable e-brochure of portfolio projects and programmes is also planned	1	2	2	↓ (2,2)	Apr-21

Operational	SBCD017	Silo mentality / working	Mar-18	C13 C6	All	Risk of silo working due to programmes/ projects not making the cross connections and the whole system opportunity for change is not realised. Ambitions of the City Deal are not embedded into organisational aims and the transformational potential of the deal is therefore not realised. Resulting in City Deal being viewed and delivered via status quo rather than challenging and positively transforming the delivery of industry and public services in the region	4	3	12	Regular project leads meetings to identify opportunities for cross project working. Digital Infrastructure and Skills and Talent projects to meet with other project leads on a 121 basis to ensure the cross cutting themes of skills and digital are incorporated into all project plans.	<p><b>31/01/20</b> As per previous update. Digital Infrastructure project manager also now in place, who will be closely liaising with all project leads. Key City Deal updates/press releases circulated to all members of Joint Committee for cascading down to project leads. Key partners included in all City Deal communications, including social media.</p> <p><b>14/05/20</b> Programme Business Case under development, with June target. Enhanced collaboration and communication between PMO and project managers</p> <p><b>01/10/20</b> Portfolio Business Case continues to be developed following AOR. Enhanced collaboration and communication between PoMO and project managers.</p> <p>Synergies across projects are being identified and activity to support joined-working eg Skills workshop with PL's, Digital Infrastructure with regional stakeholders and links between Pentre Awel &amp; Campuses.</p> <p><b>04/01/21</b> PoMO supporting Prog / proj leads in developing Business Cases. Regular Team meeting held fortnightly to share progress and latest developments. Meetings between PoMO and prog / proj leads to provide guidance and assurance on progress of PAR recommendations. Meetings held with prog / proj leads and PoMO to support implementation of standardised risk registers and issues logs. Procurement Workshops in process between PoMO and prog / proj leads to support in development and reporting.</p>	2	2	4	↓ (3,3)	Apr-21
	SBCD018	Lack of alignment of communications between partners	Mar-18	C13 C6	PoMO	Risk of confused / inconsistent / unclear messages given out due to lack of alignment of communication between partners resulting potential negative media and social media coverage, undermining the City Deal brand and objectives	4	5	20	Employed dedicated communication and engagement officer to act as central point of contact for all City Deal related communications. Establish a communications group of key comms officers within all City Deal partner and project lead organisations to ensure consistency and up to date information. Provide regular updates to all partners or programme and project progress. Monitor tweets, press releases, articles etc relating to City Deal and ensure, where appropriate, a response is issued promptly. Develop and maintain a protocol which requires partners to send press releases and statements to the City Deal Communications officer for consistency and awareness. Develop online portal for partners to access shared logos, statements, quotations etc for us in all City Deal comms.	<p><b>14/05/20</b> Regular engagement between digital project and all other projects. Discussions between campuses project and life science &amp; well-being development project on-going to establish synergy. Internal comms plan to be developed to enable better communication of key messaging between SBCD partners</p> <p><b>01/10/20</b> Regular (fortnightly) PoMO and Project Leads meetings have been established.</p> <p>A new template for project highlight reports has been developed, which is shared with all Project Leads and SBCD governance groups. SBCD comms &amp; marketing officer exploring innovative ways to further improve internal communications between partners and other stakeholders.</p> <p><b>04/01/21</b> Monthly Highlight Reports are now circulated to prog / proj leads. Minutes of Programme Boards circulated to prog / proj leads. PoMO representative now sits on the prog / proj boards.</p>	1	3	3	↔	Apr-21
Operational Page 32	SBCD019	Change in project scope post-business case approval	Mar-18	C11 C6	Delivery lead	Risk that project no longer requires same amount of fundin due to change in project scope post business case approval. Project no longer achieves the necessary outcomes required for City Deal funding resulting in project not being approved and therefore unable to proceed / proceed as planned.	4	4	16	Establish robust project monitoring and evaluation to ensure project remains on track to deliver scope outlined in approved business case and overarching aims of the City Deal in terms of growth and jobs.	<p><b>31/01/20</b> High-level monitoring and evaluation plan being developed, along with a Programme Plan and an Integrated Assurance and Approval Plan. Terms and conditions attached to the release of the first £18 million of City Deal funding have been met.</p> <p><b>14/05/20</b> Programme Business Case and Monitoring &amp; Evaluation Plan under development for June target. Covid-19 impact assessment being completed</p> <p><b>01/10/20</b> Programme Business Case and Monitoring &amp; Evaluation Plan continue to be developed following AOR.</p> <p>Discussions with PDM being monitored</p> <p>Project level Covid-19 impact assessments being updated.</p> <p>PoMO will introduce change control between Projects and Portfolio and define risk appetite and tolerance within the risk management strategy</p> <p><b>04/01/21</b> Portfolio review recommendations progressing, next iteration of the Business Case due 31st March 2021. Digital Infrastructure and Pentre Awel Business Cases awaiting Ministerial approval. Changes to HAPS BC due to be presented at January PB. Risk Strategy signed off at JC and rolled out to all prog / proj leads. Change Control process due to be submitted to PB January 21.</p>	4	3	12	↔	Apr-21
	SBCD020	Failure to establish a robust baseline	Mar-18	C6	Delivery leads / PoMO	Risk of failing to establish a robust baseline resulting in inaccurate measuring of impacts of city deal.	3	4	12	Initial impact assessment undertaken to identify headline impacts of the city deal. Need to further develop this to capture the full range baseline indicators that will demonstrate the impact of the city deal	<p><b>14/05/20</b> Programme Business Case being developed, along with monitoring and evaluation plan. Gateway review for programme also planned.</p> <p><b>01/10/20</b> AOR process has identified this as a priority. The PoMO work with WG to identify baseline targets and timescales and will cascade these to projects.</p> <p>PoMO will procure consultants to help with the identification of baselines and periodic valuations.</p> <p>Programme monitoring and evaluation plan being developed.</p> <p><b>04/01/21</b> PoMO continue to work with Welsh Government. Good progress being made on AOR recommendations. Risk to remain open until next iteration of Business Case is due 31st March 2021.</p>	2	2	4	↑ (2,2)	Apr-21
Operational	SBCD021	Government policies and legislation	Sep-20	C6		Lack of robust measures to governance policies and legislation can lead to failure to protect the stakeholders, staff and public funds associated with the City Deal and result in legal challenge, reputational damage and threat to SBCD portfolio delivery	3	3	9	Governance arrangements need to be strengthened further in terms of documenting the risk management methodology and risk appetite, an information sharing protocol, counter fraud procedures, due diligence and anti-money laundering arrangements, and recording of declarations of interest/gifts and hospitality for all Senior Officers and Members	<p><b>30/09/20</b> Risk appetite and management detailed within programme business case. Counter fraud and moneylaundering policy in development. Central database for declarations of interest implemented but requires updating</p> <p><b>01/10/20</b> Risk appetite and management detailed within portfolio business case. Counter fraud and moneylaundering policy in development. Central database for declarations of interest implemented but requires updating.</p> <p><b>04/01/21</b> Portfolio Business Case currently being revised, next iteration due March 2021 which will align with policy and legislation.</p>	2	2	4	↓ (3,2)	Apr-21
Operational	SBCD022	Political Changes	Oct-20	C9	All	Changes in Local, Regional or National Government may impact the approach, development and delivery of the SBCD resulting in new ways of working which may impair the current portfolio	3	3	9		<p><b>10/12/2020</b> Acknowledgement that the next Senedd election is due to be held 6th May 2021</p>	3	3	9		Apr-21
Financial	SBCD023	Failure to achieve full funding package	Mar-18	C3	All	Risk of failing to achieve the full funding package resulting in project potentially unable to deliver or to deliver full scale of anticipated project outcomes	3	5	15	Early engagement with all funders to develop strong relationships. Robust financial planning and clear outline of interdependencies of funding in the business case, ensuring that fundamental aspects of the project are funded through most secure funding sources. Timely review and approval of five case business plan. Effective and timely procurement activity. Establishment of robust contracts. Ongoing dialogue to resolve issues relating to revenue funding.	<p><b>14/05/20</b> Programme Business Case being developed for June target. Discussions on-going with Welsh Government and other key stakeholders.</p> <p><b>01/10/20</b> Failure to achieve full funding package could give rise to clawback should sufficient outputs and outcomes not be met. Progress will be monitored quarterly via the reporting, monitoring and evaluation process.</p> <p>Financial affordability plans detailing the funding streams and the level of commitment will be detailed at project level. Funding agreement being developed, ongoing discussions between Accountable Body and Project Authority Leads to agree funding conditions.</p> <p><b>11/01/2021</b> A standard quarterly monitoring has been developed further on discussion with WG. This will be updated quarterly with the Portfolio Business Case being updated annually. Funding agreement has been formally updated and approved under the delegated authority by MO and S151. Funding agreements will be engaged over the coming months as project develop</p>	3	4	12	↔	Apr-21
Financial	SBCD024	Failure to identify / secure revenue funding	Mar-18	C3 C6 C11 C14	Accountable Body	Risk of failing to identify / secure revenue funding resulting in four projects, including one regional project, unable to proceed.	5	5	25	Ongoing dialogue with governments to identify potential solutions including discussions on Capitalisation Direction. Projects with revenue element encouraged to explore alternative funding streams to support revenue elements.	<p><b>14/05/20</b> WG confirmation that LAs can be flexible with capital receipts. Discussions with partners on-going</p> <p><b>01/10/20</b> WG confirmation that LAs can be flexible with capital receipts. Discussions with partners on-going.</p> <p>Progress will be monitored quarterly via the financial reporting, monitoring and evaluation process</p>	3	5	15	↔	Apr-21

Financial	SBCD025	Failure to agree NNDR (rates retention) flexibility	Mar-18	C3	Accountable Body	Risk of failing to agree NNDR (Rates Retention) flexibility resulting in Local authorities unable to borrow required amount for projects	4	5	20	Ongoing dialogue with government to explore opportunities for rate retention	<p>31/01/20 Discussions on-going with WG</p> <p>14/05/20 In-principle agreement with WG but further discussions delayed due to Covid-19. Final confirmation to be sought.</p> <p>01/10/20 In-principle agreement with WG but further discussions delayed due to Covid-19. Final confirmation to be sought by accountable body</p> <p>11/01/2021 In-principle agreement with WG but further discussions delayed due to Covid-19. Final confirmation to be sought by accountable body.</p>	3	3	9	↓ (2.5)	Apr-21
Financial	SBCD026	Private sector funding contribution/s not in line with initial business case projections	Mar-18	C3	Delivery Lead	Risk that Private sector funding / contributions is not in line with initial business case projects resulting in overall impact of the City Deal not being realised. Project cannot deliver full scheme. Project is unsustainable	5	5	25	Projects required to complete full five case business model including robust financial detail and commercial case identifying and confirming sources of income.	<p>31/01/20 Private sector contributions need to be evidenced in all project business cases, which need approval from UKG and WG before release of funds</p> <p>14/05/20 Quarterly financial monitoring now in place with report to Programme Board and JC in June. Private sector contributions evidenced in project business cases. Covid-19 impact assessment with project leads for completion.</p> <p>01/10/20 Failure to achieve full funding package could give rise to clawback should sufficient outputs and outcomes not be met</p> <p>11/01/2021 This is an inherent risk within the SBCD and will be monitored quarterly.</p>	3	4	12	↔	Apr-21
Financial	SBCD027	EU match funding contributions not in line with initial business case projections	Mar-18	C3	Delivery Lead	Risk that EU match funding contributions not in line with initial business case projections resulting in overall impact of the City Deal not being realised. Project cannot deliver full scheme. Project is unsustainable	5	5	25	Projects required to complete full five case business model including robust financial detail and commercial case identifying and confirming sources of income.	<p>31/01/20 Awaiting Update. PDM business case formally submitted to both Governments. NPT revised programme also due for imminent submission.</p> <p>14/05/20 PDM business case formally submitted to both Governments. NPT revised programme also submitted. Awaiting update from WEFO on EU funding timescales as a result of Covid -19</p> <p>01/10/20 Ongoing discussions between partners and WEFO to agree commitment of EU match funding due to imminent deadlines. Progress will be monitored quarterly via the reporting, monitoring and evaluation process.</p> <p>11/01/2021 WEFO deadlines and amounts are principally agreed for the two SBCD programmes in receipt of funding. WEFO funding requires to be expended by: Supporting Innovation and Low Carbon Growth - June 2023 Pembroke Dock Marine - December 2023</p>	3	4	12	↔	Apr-21
Financial	SBCD028	Timeframe for end of current EU funding programmes	Mar-18	C3	All	Risk of not being able to deliver full funding package at both project and programme level due to time constraints.	3	3	9	Early dialogue with all funders including Governments and WEFO. Project lead to accelerate business case development	<p>31/01/20 Awaiting Update. PDM business case formally submitted to both Governments. NPT revised programme also due for imminent submission.</p> <p>14/05/20 PDM business case formally submitted to both Governments. NPT revised programme (SILCG) also submitted</p> <p>01/10/20 Ongoing discussions between partners and WEFO to agree commitment of EU match funding due to imminent deadlines. Progress will be monitored quarterly via the reporting, monitoring and evaluation process</p> <p>11/01/2021 WEFO deadlines and amounts are principally agreed for the two SBCD programmes in receipt of funding. WEFO funding requires to be expended by: Supporting Innovation and Low Carbon Growth - June 2023</p>	4	4	16	↔	Apr-21
Financial	SBCD029	Project authority lead unable to borrow amount required to frontload project	Mar-18	C3 C6	LA's	Risk that Project authority lead unable to borrow amount required to frontload project projects unable to go ahead	3	5	15	Project lead authority's to factor anticipated CD borrowing and repayment costs into financial profiling. Regular dialogue between delivery lead and project lead authority to develop expenditure forecast as accurately as possible. Delivery lead to inform project lead authority of any changes to financial profile. Section 151 officer group to look at schedule of repayment of City Deal funding for consideration and agreement by Joint Committee.	<p>14/05/20 Agreement in place, enabling LAs to borrow from the SBCD programme</p> <p>01/10/20 Agreement in place, enabling LAs to borrow from the SBCD programme. Borrowing will be managed locally by Local Authorities</p> <p>11/01/2021 Regional S151 officers have agreed borrowing principles, further work is being undertaken to review detail and borrowing requirement.</p>	2	3	6	↔	Apr-21
Financial	SBCD030	Regional project authority lead unable to borrow amount required to frontload regional project funding	Mar-18	C3 C6	LA's	Risk that Regional project authority lead unable to borrow amount required to frontload regional project funding resulting in project potentially unable to delivery or unable to deliver across the whole region.	3	5	15	Regional project lead authority's to factor anticipated CD borrowing and repayment costs into financial profiling. Regular dialogue between delivery lead and regional project lead authority to develop expenditure forecast as accurately as possible. Delivery lead to inform regional project delivery lead of any changes in financial profile. Section 151 officer group to look at proportional borrowing, repayment and benefit / impact of regional projects for each local authority area.	<p>14/05/20 JCA signed by all four regional LAs, outlining commitment to regional projects. Details of regional LA obligations outlined in regional full business cases</p> <p>01/10/20 JCA signed by all four regional LAs, outlining commitment to regional projects. Details of regional LA obligations outlined in regional full business cases.</p> <p>Ongoing discussions with projects on how funding will be raised</p> <p>11/01/2021 Regional S151 officers have agreed borrowing principles, further work is being undertaken to review detail and borrowing requirement.</p>	2	2	4	↔	Apr-21

## Swansea Bay City Deal Programme Risk Register - Categories

The Swansea Bay City Deal programme risk register captures and monitors key programme level risks to the delivery of the City Deal and achievement of its aims and objectives. It will be monitored by Joint Committee and Programme Board via circulation prior to each meeting and issues tabled for discussion as necessary.

Category	Ref. No	Description
Contractual	C1	Ineffective use or management of contacts leads to increased costs
Environmental	C2	Environmental incidents
Financial	C3	Financial risks facing the Councils
Health & Safety	C4	Harm to employees / public
IT	C5	Failure of systems / cyber attack
Objectives	C6	Threat to achieving programme objectives
People / Social	C7	Threat to / from society / groups / public
Physical / Assets	C8	Damage to organisational property
Political	C9	Adverse actions caused by changes in local, regional or national governments
Professional	C10	Lack or loss of qualified employees
Projects	C11	Threat to / from individual projects
Regulatory / Legal	C12	Changes to regulations / law
Reputation	C13	Negative publicity
Schedule / Timescales	C14	Threats to timelines / critical path(s)

Swansea Bay City Deal Programme Risk Register - Scoring

Risk Assessment Matrix		Impact				
		Insignificant (1)	Minor (2)	Moderate (3)	Major (4)	Fundamental (5)
Probability	Almost Certain (5)					
	Likely (4)					
	Possible (3)					
	Unlikely (2)					
	Extremely Unlikely (1)					

Status	Management action required
Comfortable	The Joint Committee and Programme Board accepts the level of risk presented as within its' comfort zone
Manageable	The Joint Committee and Programme Board accepts the level of risk presented, subject to suitable and effective risk controls being in place, working and evidenced
Unacceptable	Risks at this level <u>may</u> be accepted, subject to approval of Joint Committee and Programme Board, based on rigorous control measures and regular evidenced reporting of control effectiveness by SBCD teams

		Percentage	Description
Probability	Almost Certain (5)	> 80%	Will occur in most circumstances
	Likely (4)	51 - 80%	Strong possibility
	Possible (3)	26 - 50%	Reasonable chance of occurring - has occurred before on occasion
	Unlikely (2)	10 - 25%	Unlikely to occur but potential definitely exists
	Extremely Unlikely (1)	<10%	Will only occur in exceptional circumstances

Impact	Insignificant (1)	No impact on programme success - minimal delay or interruption. No adverse interest from the media / stakeholder groups
	Minor (2)	Little impact on ability to deliver. Adverse comments confined to local media / stakeholder groups
	Moderate (3)	Moderate impact on the success of programme
	Major (4)	Potential to damage success of programme and prevent achievement of key outputs / outcomes. Significant delays or changes to programme occur as a result of risk being realised. Adverse comments
	Fundamental (5)	Potential to prevent programme from delivering at all. Prevent outputs / outcomes from being achieved. Adverse comments from national press / stakeholder groups.

# Appendix D

ASSESSMENT CRITERIA	SCORING				Impact score October								
	0	5	10	20	PDM	Yr Egin	Campuses	Digital	HAPS	SI & LCG	LSWB	Swansea Waterfront	Skills
Scope and key objectives	No change to project	Limited and minor changes to project	Widespread and major changes to project	Significant change to project	5	20	5	0	5	5	0	0	10
Targets	No risk to achievement	Short-term, limited impact to achievement	Widespread, but relatively short term impact on achievement	Significant, long-lasting impact on achievement	10	10	5	5	5	5	5	20	5
Timescales	No foreseeable delays	Potentially minor delays (0-6 months)	Potentially major delays (6-12 months)	Potentially significant delays (1 year+)	5	0	5	5	5	5	5	5	5
Reputation if project fails to deliver	No negative impact	Local and limited negative impact	Regional and limited negative impact	Significant impact	5	10	10	10	10	10	20	20	5
Stakeholders/partnerships commitment	No issues	Limited and minor issues	Widespread and major issues	Significant issues	10	0	5	5	0	0	0	10	0
Project costs	No variance	0-10% variance	10-20% variance	20%+ variance	5	0	5	5	5	5	5	5	0
Procurement	No impact	Minor impact	Major impact	Significant impact	5	0	5	10	5	5	5	5	5
Staff resourcing	No impact	Limited impact	Widespread and major impact	Significant impact	0	0	5	5	5	5	5	10	5
				<b>TOTAL</b>	45	40	45	45	40	40	45	75	35
					C	C	C	C	C	C	C	B	C

	Number of Red Risks Identified by Impact Criteria								total Red Risks
	Scope and key objectives	Targets	Timescales	Reputation if project fails to deliver	Stakeholders/partnerships commitment	Project costs	Procurement	Staff resourcing	
Oct-20	7	10	4	11	10	4	2	3	51
Jan-21	7	10	5	11	10	4	2	2	51
Change	-	-	▲	-	-	-	-	▼	-

ASSESSMENT CRITERIA	Scoring guide				Impact score January								
	0	5	10	20	PDM	Yr Egin	Campuses	Digital	HaPS	SILCG	Pentre Awel	Swansea Waterfront	Skills
Scope and key objectives	No change to project	Limited and minor changes to project	Widespread and major changes to project	Significant change to project	5	20	5	0	5	5	0	0	10
Targets	No risk to achievement	Short-term, limited impact to achievement	Widespread, but relatively short term impact on achievement	Significant, long-lasting impact on achievement	10	10	5	5	5	5	5	20	5
Timescales	No foreseeable delays	Potentially minor delays (0-6 months)	Potentially major delays (6-12 months)	Potentially significant delays (1 year+)	5	0	5	0	5	5	5	5	5
Reputation if project fails to deliver	No negative impact	Local and limited negative impact	Regional and limited negative impact	Significant impact	5	5	10	10	10	10	20	20	5
Stakeholders/partnerships commitment	No issues	Limited and minor issues	Widespread and major issues	Significant issues	10	0	5	5	0	0	0	10	0
Project costs	No variance	0-10% variance	10-20% variance	20%+ variance	5	5	5	5	5	5	5	5	0
Procurement	No impact	Minor impact	Major impact	Significant impact	5	5	5	5	5	5	5	5	5
Staff resourcing	No impact	Limited impact	Widespread and major impact	Significant impact	0	0	5	5	5	5	5	10	5
				<b>TOTAL</b>	45	45	45	40	40	40	45	75	35
				<b>Intervention</b>	C	C	C	C	C	C	C	B	C
				<b>Movement</b>	-	▲	-	▼	-	-	-	-	-

# Swansea Bay City Deal COVID-19 Economic Impact Assessment

Version control: V1.3  
Assessment date: 05/10/20  
Completed by:

Project phase:  
Review date(s):

The Covid-19 impact assessment is the method used by the Swansea Bay City Deal to assess the potential impact that the Covid-19 crisis has on each of nine projects and overarching City Deal programme. Recognising that the national and regional economic recovery will rely upon City Deal projects to support and stimulate national and regional economic growth and attract inward investment during these times of uncertainty.

The assessment will assure the viability and successful delivery of the City Deal projects during the crisis and recovery stages of the Covid-19 pandemic. This assessment will compliment existing City Deal governance procedures and documentation and any Covid-19 recovery plans for all primary stakeholders. It is envisaged that risks impacting the project and mitigations to overcome them will be dealt with at project level. Any risks deemed to place significant pressures on the project or overarching programme such as significantly changing the project scope, significant variance in the defined project outputs, significant stage gate delays or continued commitment from key stakeholders, will be assessed by the Regional Programme Office and escalated to Joint Committee for appropriate intervention and decision. In the event that a project is exposed to have significant risk and impact, a task and finish group will be established to gather evidence, identify mitigations and determine an appropriate course of action.

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The process to gather the required information, assess its impact and determine appropriate mitigations and decisions is outlined below:

1. Define assessment scope and areas of focus
2. Identify key risks in the Risk Assessment worksheet and assess the level of risk associated with each
3. Analyse the potential impact of these risks in the Impact assessment worksheet
4. Identify corrective action and level of intervention
5. Report to Joint Committee, Programme Board and Economic Strategy Board
6. Disseminate findings regionally and to Welsh and UK Government

Identify project risks associated with the Covid-19 in the table below and determine to what extent they affect the impact criterion (blue shaded section):  
 Note: Once the above is complete, move to the impact assessment matrix worksheet before completing the Corrective action section (red shaded section)

High  
 Medium  
 Low

Ref No.	Risk	Impact Criteria								Corrective action			
		Scope and key objectives	Targets	Timescales	Reputation if project fails to deliver	Stakeholders/partnerships commitment	Project costs	Procurement	Staff resourcing	Risk mitigation(s)	Requirements for recovery	January Update	Review Date
<b>Life Science &amp; Well-being Campuses</b>													
R001	There is a risk that project partners will be less engaged with the project development and governance due to competing priorities	Low	Low	Medium	Medium	Medium	Low	Medium	Medium	A new Campuses project governance and working group structure has been established and we are working with our colleagues particularly in health to ensure continued engagement and participation is facilitated virtually at suitable and convenient times.	Restated statement of commitment from all partners	Regular quorate meetings continue virtually with individual discussions with key partners as necessary.	Jan-21
R002	There is a risk that wider stakeholders including private sector will be less engaged with the project	Medium	Medium	Medium	Medium	Medium	Low	Medium	Low	An engagement strategy is being developed with regards to private sector supported by Life Science Hub Wales. This remains a priority.	Development and implementation of engagement strategy	Initial teaser video developed, engagement strategy/plan to be defined.	Jan-21
R003	There is a risk of under demand of incubation space	Medium	Medium	Low	Medium	Medium	Low	Low	Low	Continued engagement of private sector demand for incubation space in line with the developing private sector engagement strategy. Modelling continues of required proportion of incubation space within developments	Review of demand	Ongoing review of demand in line with the above.	Jan-21
R004	There is a risk that there will be a delay in the preparation of the business case	Low	Low	Medium	Medium	Medium	Low	Low	Medium	A new working group has been formed to bring together the efforts to support the ongoing work to develop a revised business case	Fully functioning working group supporting project	Working group continues to meet with maximum support, revised outline business case developed, meetings continue to support project developments.	Jan-21
R005	There is a risk that there will be a delay in the approval of the finalised business case through partner governance and regional office governance	Low	Low	Medium	Medium	Medium	Low	Low	Medium	Continuous mapping and scheduling to ensure approval at required governance meetings is up to date and are being undertaken.	Pathway mapping agreed and agenda confirmed	Pathway schedule being defined for 2021.	Jan-21
R006	There is a risk that there will be insufficient resourcing to progress the project including human resource	Low	Low	Medium	Medium	Medium	Low	Low	Medium	A review will be undertaken to ensure where possible there is sufficient resourcing to progress the project in line with plan	Resourcing requirements of project to be defined	Engagement with PMO, for appropriate additional resource.	Jan-21
R007	There is a risk that there will be significant unmet requirements for digital connectivity of any development	Medium	Low	Low	Medium	Low	Medium	Medium	Low	Further engagement will be undertaken with the Digital theme to ensure that all requirements are captured. Link in with existing digitally led projects.	Digital considerations for Campuses project to be drafted	Existing digitally led project drafted, pending consideration.	Jan-21
R008	There is a risk that cofinancing of later stages may be delayed/reduced due to weakened economy	Medium	Medium	Medium	Medium	Low	Low	Medium	Low	Continued engagement with key stakeholders and scope maximised to attract investment opportunities	Review longer-term plans	Review of longer-term plans continues.	Jan-21
<b>Digital Infrastructure</b>													
1	Project funding is reduced or removed as a result of Covid19 and it's economic impact.	High	High	High	High	High	High	High	High	Seek assurances from regional office, Welsh and UK Government regarding Project funding.	Assurances received regarding security of Project/Deal funding.	Assurances remain with no reason to believe otherwise at this point.	Jan-21
2	The Digital Project is no longer treated as a priority by the region and/or individual partners.	Low	Low	Medium	Medium	Medium	Low	Low	Medium	Continue to engage and build effective relationships with all partners and stakeholders, ensuring alignment with their priorities.	Restated statement of commitment from all partners and stakeholders.	Clear regional commitment to investment in Digital Infrastructure remains.	Jan-21
3	Telecommunications providers reduce activity and investment in Digital Infrastructure as a result of the economic downturn.	Low	Low	Medium	Medium	Low	Medium	Medium	Low	Continue to engage with the Telecommunications industry, monitor the market and it's activity.	Consistent or increased activity and investment from Telecommunications sector.	Consistent or increased activity and investment from Telecommunications sector ongoing.	Jan-21
4	Delay in the approval of the finalised business case through partner governance and regional office governance	Low	Low	Medium	Medium	Medium	Low	Medium	Medium	Pathway mapping and scheduling to ensure approval at required governance meetings is being undertaken.	Governance structure, pathways and timelines agreed and adhered to.	Ongoing adherence to Governance structure, pathways and timelines.	Jan-21
<b>Homes As Power Stations</b>													
1	Economic downturn - housing market decline	Medium	Medium	Medium	Medium	Low	Medium	Low	Low	Close engagement with private and public sector	Housing market recovery	Housing market recovery	Jan-21
2	Economic downturn - affects the supply chain	Medium	Medium	Medium	Medium	Low	Medium	Low	Low	Close engagement with private and public sector - establish regional supply chain to ensure sustainability	Local supply chain development	Local supply chain development	Jan-21
3	economic downturn - building cost increases / less able to afford technologies due to viability issues	Medium	Medium	Medium	Medium	Low	Medium	Low	Low	Flexible technology package - ensure affordability	revised cost model / technology specification	revised cost model / technology specification	Jan-21
<b>Supporting Innovation &amp; Low Carbon Growth</b>													
1	Economic downturn	Medium	Medium	Medium	Medium	Low	Medium	Low	Low	Low Carbon as C 19 recovery plan	Align to C 19 economic recovery plans,	Align to C 19 economic recovery plans,	Jan-21
2	Reduced demand for business premises	Medium	Medium	Low	Medium	Low	Low	Low	Low	Evidence of demand. Private Sector engagement plan in place and regular review	Align to C 19 economic recovery plans,	Align to C 19 economic recovery plans,	Jan-21
3	Availability of external funding	Medium	Medium	Medium	Medium	Low	Medium	Medium	Low	Policy alignment to ensure funding is available	Align to C 19 economic recovery plans,	Align to C 19 economic recovery plans,	Jan-21
4	Rise in construction costs	Medium	Medium	Low	Medium	Low	Medium	Medium	Low	Ongoing engagement with contractors	Align to C 19 economic recovery plans,	Align to C 19 economic recovery plans,	Jan-21
5	Delays in project programme	Medium	Medium	Medium	Medium	Low	Medium	Medium	Low	Project management	Align to C 19 economic recovery plans,	Align to C 19 economic recovery plans,	Jan-21
6	skills and capacity issues in terms of project delivery	Low	Low	Medium	Medium	Low	Low	Low	Medium	Project management	Align to C 19 economic recovery plans,	Align to C 19 economic recovery plans,	Jan-21
7	revised industry requirements	Medium	Medium	Medium	Medium	Low	Medium	Medium	Low	ongoing engagement with industry	Align to C 19 economic recovery plans,	Align to C 19 economic recovery plans,	Jan-21
8	reduction in service needs and commercial opportunities	Medium	Medium	Low	Medium	Low	Low	Low	Low	stakeholder / private sector engagement plan	Align to C 19 economic recovery plans,	Align to C 19 economic recovery plans,	Jan-21
9	delay in obtaining relevant approvals	Medium	Medium	Medium	Medium	Low	Medium	Low	Low	policy alignment / decision making process	Align to C 19 economic recovery plans,	Align to C 19 economic recovery plans,	Jan-21
10	technological advancements	Medium	Medium	Low	Low	Low	Low	Low	Low	ongoing engagement with industry	Align to C 19 economic recovery plans,	Align to C 19 economic recovery plans,	Jan-21
<b>Pentre Avel</b>													



1	Higher Education sector becomes financially compromised	Medium	Medium	Low	Medium	Medium	Low	Low	Medium	The courses under development for Pentre Awel are in areas of targeted skills shortages and which have been critical to the COVID-19 effort. Courses to be included are amongst those targeted for growth. Subsequently, projected student numbers/throughput at the Village are likely to be maintained. We will engage with our academic partners to understand and manage any impact and to ensure that the project benefits from any linked growth in student numbers. Education, Skills and Training programmes can be apportioned across number of HE providers should the need arise.	Proactive dialogue and fast track any new subject areas identified as having potential for growth. Maintain links with Universities to inform current round of their Higher Education and Improvement Wales (HEIW) growth bids.	All MoUs confirming intent to delivery at Pentre Awel aligned with their strategic objectives and Business Case. Heads of Terms discussions underway.	Jan-21
2	Ability to secure institutional funding	Medium	Medium	Medium	High	Low	Low	Low	Low	Prior to covid positive feedback received from selected funders. One of which has re-engaged and is currently preparing funding bid. The understanding is that this type of investment is likely to be more attractive going forward than for example office/retail investment. Financial consultant maintained to ensure a proactive approach to securing institutional investment.	Proactive management of approach to investors to ensure that CCC can maintain flexibility to progress with optimal funding in the changing market.	Planning complete funding anticipated to be confirmed March/Apri.	Jan-21
3	Uncertainty in construction sector/costs	Low	Low	Medium	Low	Low	Medium	Medium	Low	The construction of phase one will be procured through the South West Wales Contractors Framework, Lot 1. The companies have been assessed ahead of inclusion on the framework and there is no indication that this situation has changed. Suggestions are that price competition will be keen in the timescale proposed. Consultants Arup will be able to undertake informal pre-market engagement with contractors to ascertain their recovery period and ability to mobilise within the current project programme.	Ongoing market monitoring. Advanced notification to contractors on the SWWRCF ahead of procurement exercise.	Significant Early Market Engagement undertaken with contractors Nov-Dec 2020. Feedback used to inform procurement strategy.	Jan-21
4	Delays in project programme	Low	Medium	Medium	Medium	Low	Low	Low	Low	Momentum has been maintained. RIBA stage 3 work has been submitted, distribution of report has commenced to Directors and will be sent for specialist internal oversight as appropriate. Ecology work commissioned and assessed for social distancing to ensure the requisite surveys and pre-commencement works can be undertaken over the summer months. This will avoid any delay in construction commencing on site. COVID-19 may have an impact on construction contractors ability to mobilise to current project programme.	Proactive management through procurement process	Business Case submitted to UK/WG. Decision awaited. Tender documentation in preparation - target for publication in January 2021.	Jan-21
6	Changed partner priorities owing to COVID-19	Low	Low	Low	Low	Low	Low	Low	Low	The areas of work under consideration are those focused on health research (e.g. respiratory). Design specification to be updated as appropriate throughout RIBA stage 4 to reflect partners' priorities. This will ensure Pentre Awel is fully optimised to meet the latest research, health and education requirements.	Dialogue ongoing to ensure Pentre Awel provides a pipeline of education and skills programmes. Via community benefits, we will ensure that the project/contractor supports the emerging COVID-19 jobs market by offering apprenticeships, placements and skills development programmes. Joint business planning with research partners. Explore further covid-19 related opportunities.	Continued dialogue with education, business and research tenants. Ensuring compliance with the outputs and CSF of the City Deal business case and the strategic priorities of the organisations.	Jan-21
7	Delay in securing approval for City Deal Funding	Low	Medium	Medium	High	Low	Low	Low	Low	Full Business Case redrafted and prepared for resubmission. Business case identified as a priority for gateway process.	Business Case submitted to City Deal and CCC governance structure. Approval gained from ESB, Programme Board, Executive Board and Joint Committee Presentation to Full Council held November 2020.	Business Case submitted to UK/WG. Decision awaited. Feedback session with Govts 18/01/2021.	Jan-21
<b>Skills &amp; Talent</b>													
1	Ability of training providers to deliver necessary training with the new restrictions following on from Covid 19 restrictions.	Medium	Low	Medium	Medium	Medium	Low	Low	Medium	Identify new ways of delivering training	capital funding for equipment to allow for on line delivery of training.	capital funding for equipment to allow for on line delivery of training.	Jan-21
2	shortage of teachers/lecturers qualified to teach the level of new technology training required by businesses	Medium	Medium	Medium	High	High	Low	Low	Medium	Develop training immediately for the teachers and lecturers utilising existing courses prepared in colleges and universities outside of Wales and work in partnership to upskill the staff	Funding and the willingness of teachers/lecturers to be upskilled.	Funding and the willingness of teachers/lecturers to be upskilled.	Jan-21
<b>Yr Egin</b>													
1	Unpredictable/unknown economic impacts	High	High	Medium	Low	Low	Medium	Low	Low	Monitoring/industry analysis	Demand levels post-Covid	Economic outlook remains highly uncertain	Jan-21
2	Reduced occupier demand	High	High	Medium	Medium	Medium	Medium	Low	Low	Dialogue with industry/occupiers. Change of project delivery scale and scope potentially needed	Demand levels post-Covid	Creative Sector demand study commissioned	Jan-21
3	Availability of external funding	Medium	Medium	Low	Medium	Low	Low	Low	Low	Limited impact but maintain dialogue with funders	Funding commitment or reduce scope	No change	Jan-21
4	Rise in construction costs	Low	Low	Low	Low	Low	Medium	Medium	Low	Reduce scope to contain within budget	None	Procurement risks raised to Medium	Jan-21
5	Delays in project programme	Low	Low	Medium	Low	Low	Low	Low	Low	Maintain current programme. Low risk event	None	No change	Jan-21
6	Ability to collaborate effectively with partners	Medium	Medium	Low	Medium	Medium	Low	Low	Low	Maintain current effective dialogue with partners. Low risk	None	Timescale impact risk reduced to Low	Jan-21
7	Skills and capacity issues in terms of project delivery	Low	Low	Medium	Medium	Low	Medium	Medium	Medium	Monitor project team capacity	None	No change	Jan-21
8	Changed industry requirements	High	High	High	Low	Medium	Low	Low	Low	Dialogue with industry/users. Potentially change scope in line with new requirements	Specification of demand post Covid. Likely permanent change	Timescales risk raised to High	Jan-21
9	Reduction in service needs and commercial opportunities	High	High	Medium	Medium	Medium	Low	Low	Low	Dialogue with industry/users. Potentially change scope in line with new requirements	Specification of demand post Covid. Likely permanent change	Timescales risk raised to Medium	Jan-21
10	Delay in obtaining relevant approvals	Low	Low	Medium	Low	Low	Medium	Low	Low	Maintain current project planning. Low risk likelihood	None	No change	Jan-21
<b>Swansea City &amp; Waterfront Digital District</b>													
1	Construction Delays	High	High	Medium	High	High	Medium	Low	Low	Work with contractor	Working practice	Working practice	Jan-21
2	Contractor Failure	Low	Medium	High	High	High	High	Low	Medium	Enter deed with Cont	Copm ASAP	Copm ASAP	Jan-21
3	Anchor failure	Medium	High	High	High	High	Medium	High	High	Meet regularly	Monitor	Monitor	Jan-21
4	Other Tennants	Medium	Medium	Medium	Medium	Medium	Medium	Low	Medium	Marketing process	Lockdown released	Lockdown released	Jan-21
5	Project Outputs	Medium	High	Medium	High	High	Medium	Low	Medium	Review and monitor	Economic recovery	Economic recovery	Jan-21
<b>Pembroke Dock Marine</b>													
Funded Outputs													

PDM_1	Inability to progress with survey work critical for design progress for key infrastructure elements (e.g. Ground Investigations for slipway)	Medium	Low	Medium	Low	Low	Medium	Low	Low	timescales based on further 6 month delay.	construction sector restrictions lifted	construction sector restrictions lifted	Jan-21
PDM_2	Risk of not completing the PDI slipway component by the end of the current ERDF period	Medium	Low	Medium	Low	Low	Medium	Low	Low	Could push completion of defects liability period outside December 2023 meaning any costs incurred outside this period would be ineligible for WEFO funding. MHPA quantifying the potential cost of this based on the current delivery profile. Potential to pay consultants acceleratory costs to pull timeline back into line. Potential to also modify slipway construction method to acheive result quicker. these measures will be best finalised once Principle Contractor is procured after detailed design at the end of 2020 -Q1 2021	ability to progress with survey work to finalise design and procure the services of principle contractor within and accelerated timescale once restrictions are lifted.	ability to progress with survey work to finalise design and procure the services of principle contractor within and accelerated timescale once restrictions are lifted.	Jan-21
Investment Objectives													
PDM_3	Delay in progress from key industry stakeholders and inward investors	Low	Low	Low	Low	Medium	Low	Low	Low	Continue dialogue with project developers and public stakeholders (TCE, BEIS, Treasury) to maintain momentum.	majority of industry partners are funded entities or in development stage therefore seeing minor impacts as a result of the COVID situation. However those in build like Bombora are dealing their build and the impact on the supply chain who are reliant on that work for commercial sustainability needs to be considered.	majority of industry partners are funded entities or in development stage therefore seeing minor impacts as a result of the COVID situation. However those in build like Bombora are dealing their build and the impact on the supply chain who are reliant on that work for commercial sustainability needs to be considered.	Jan-21
PDM_4	Delay in progress from key additional benefit projects like Milford Haven: Energy Kingdom, SELKIE, South Wales Industriel Cluster and Celtic Sea Cluster development. (potentially due to furloughing of staff at partner organisations)	Low	Low	Low	Low	Low	Low	Low	Low	Identified as low across the board as project has already secured more than its target for years 1 and 2. however partners will maintain close dialogue with project leads sharing risk registers & adapt mitigation in collaboration with key partners.	unfurloughing of staff and or relaxation of restrictions on returning to business as usual	unfurloughing of staff and or relaxation of restrictions on returning to business as usual	Jan-21
PDM_5	Supply chain companies go into 'hibernation' making it difficult for MEECE and META to engage in innovation-support activities.	Low	Medium	Low	Low	Low	Low	Low	Low	Concentrate on 'active' companies, such as grant-funded or equity-funded organisations. Focus on innovation projects that require little direct input from target companies, but that can provide them with benefits when they leave 'hibernation'.	Need target companies to return to business as usual.	Need target companies to return to business as usual.	Jan-21
PDM_6	SMEs being supported by MEECE and META become 'Enterprises in difficulties' and therefore ineligible for support from ERDF funding	Low	Medium	Low	Medium	Low	Low	Low	Low	Governance processes require us to check SME finances. Projects can be paused to allow SMEs to recover their financial positions.	Many target SMEs are equity-funded and less sensitive to cashflow problems caused by Covid-19, but need clarity of long term finances in order to commit to new projects or continuation of existing projects. Need target companies to return to 'business as usual'.	Many target SMEs are equity-funded and less sensitive to cashflow problems caused by Covid-19, but need clarity of long term finances in order to commit to new projects or continuation of existing projects. Need target companies to return to 'business as usual'.	Jan-21
PDM_7	Universities do not sign up to MEECE collaboration agreement because of uncertainty of, or late confirmation of SBCD funding.	Medium	High	Low	High	High	Low	Low	Medium	ORE Catapult continues without university partners, with a smaller project, narrower scope and less likelihood of a long term legacy presence.	SBCD sign-off in time for universities to commit to recruitment on three year contracts.	SBCD sign-off in time for universities to commit to recruitment on three year contracts.	Jan-21
PDM_8	Floating wind Project Developers delay or cancel potential projects in Welsh waters due to inability to make progress on technical aspects due to supply chain shutdown.	Medium	Medium	Medium	Medium	Medium	Low	Low	Low	Continue dialogue with project developers and public stakeholders (TCE, BEIS, Treasury) to maintain momentum.	Return to business as usual for supply chain.	Return to business as usual for supply chain.	Jan-21
PDM_9	PDZ Objectives - with significant SBCD approval delay, floating offshore wind (FLOW) market leaves PDZ behind and public sector money impact is significantly diluted	High	High	Medium	High	Medium	Low	Low	Medium	Consider PDZ FLOW fit in light of delay, and be prepared to adjust project objectives and business plan, through Project Change Request (PCR)	Updated FLOW market analysis together with continued engagement with Welsh Gov on FLOW opportunity.	Updated FLOW market analysis together with continued engagement with Welsh Gov on FLOW opportunity.	Jan-21
Consent & Consent Management													
PDM_10	Delay in consents due to the third party resource issues to review and respond within statutory time limits	Low	Medium	Medium	Medium	Medium	Medium	Medium	Low	Maintain dialogue with key stakeholders throughout consent process & manage expectation and key messaging around need for timely determination	Statutory consultees back to business as usual	Statutory consultees back to business as usual	Jan-21
PDM_11	Inability to progress with submission of consents due to need for more survey work that can not be completed until restrictions are lifted	Low	Low	Medium	Low	Medium	Low	Low	Low	Not currently an issue but potentially could be if the situation continues for more than 6 months.	Relaxation of restrictions on site work	Relaxation of restrictions on site work	Jan-21
Costs													
PDM_12	Increase in cost due to having to pay for acceleration charges from consultants to maintain delivery timescales	Low	Low	Medium	Low	High	High	Medium	Medium	review project timescale to see if delay in project end date possible. if not, assess the pros and cons of paying acceleration and make case to stakeholders for additional intervention if required.	Site work enabled to inform design work.	Site work enabled to inform design work.	Jan-21
PDM_13	Increase in cost for construction and service due to high demand of contractors and consultants during recovery phase as a result of market forces competing to regain control of project costs and programs	Low	Low	Medium	Low	High	High	Medium	Medium	potential to delay construction works planning in the immediate term out beyond period of 'economic bounce' to allow for supply demand curve to settle	timely approval to unlock ability to tender for detailed design.	timely approval to unlock ability to tender for detailed design.	Jan-21
PDM_14	PDZ Consents - approval delay together with COVID-19 constraints critically prejudices PDZ consent programme	Medium	Medium	High	Low	Medium	Low	Low	Low	Review PDZ Consent programme in the light of FLOW market analysis, and adjust programme to conform with ERDF funding timeline	Updated FLOW market analysis together with continued engagement with Welsh Gov on FLOW opportunity.	Updated FLOW market analysis together with continued engagement with Welsh Gov on FLOW opportunity.	Jan-21
Project Governance													
PDM_15	Delay in progress towards finalising terms and conditions and associated documentation (collaboration agreement etc)	Medium	Medium	Medium	Medium	Medium	Low	Medium	Low	maintain regular dialogue within PDM partners and key stakeholders via Teams etc to maintain progress on project governance work during restrictions	timely provision of terms and conditions.	timely provision of terms and conditions.	Jan-21

Using the assessment of the risks associated with each assessment criteria provide an impact score associated with each in the table below:

ASSESSMENT CRITERIA	SCORING				Campuses	Digital	HAPS	SILCG	Pentre Awel	SKILLS	Yr Egin	Swansea Waterfront	PDM
	0	5	10	20									
Scope and key objectives	No change to project scope and key objectives	Limited and minor changes to project scope and key objectives	Widespread and major changes to project scope and key objectives	Significant change to project scope and key objectives	5	0	5	5	0	10	20	0	5
Targets	No risk to achieving project targets	Short-term, limited impact to achieving project targets	Widespread, but relatively short term impact on achieving project targets	Significant, long-lasting impact on achieving project targets	5	5	5	5	5	5	10	20	10
Timescales	No foreseeable delays to progress project	Potentially minor delays (0-6 months)	Potentially major delays (6-12 months)	Potentially significant delays (1 year+)	5	0	5	5	5	5	0	5	5
Reputation if project fails to deliver	No negative impact on City Deal reputation and programme	Local and limited negative impact on City Deal reputation and programme	Regional and limited negative impact on City Deal reputation and programme	Significant impact on City Deal reputation and programme	10	10	10	10	20	5	5	20	5
Stakeholders/partnerships commitment	No issues over stakeholder commitment and involvement	Limited and minor issues over stakeholder commitment and involvement	Widespread and major issues over major or multiple stakeholder commitment and involvement	Significant issues over a major or multiple key stakeholder commitment and involvement	5	5	0	0	0	0	0	10	10
Project costs	No variance to project costs	0-10% variance	10-20% variance	20%+ variance	5	5	5	5	5	0	5	5	5
Procurement	No impact on procuring services or infrastructure	Minor impact on procuring services or infrastructure	Major impact on procuring services or infrastructure	Significant impact on procuring services or infrastructure	5	5	5	5	5	5	5	5	5
Staff resourcing	No impact to recruit and retain required staff	Limited impact to recruit and retain required staff	Widespread and major impact to recruit and retain required staff	Significant impact to recruit and retain required staff	5	5	5	5	5	5	0	10	0
<b>TOTAL</b>					<b>45</b>	<b>40</b>	<b>40</b>	<b>40</b>	<b>45</b>	<b>35</b>	<b>45</b>	<b>75</b>	<b>45</b>
					<b>C</b>	<b>C</b>	<b>C</b>	<b>C</b>	<b>C</b>	<b>C</b>	<b>C</b>	<b>B</b>	<b>C</b>

Suggested project categories relating to the risk and impact assessment score are as follows:

Project Risk and Impact Score	Suggested Project Category	Intervention
100+	<b>A</b>	Joint Committee commissioned task and finish group to conduct an in-depth review
50-99	<b>B</b>	Intervention required. Monitored and supported by the Regional Programme Office in conjunction with Project Team
25-49	<b>C</b>	No intervention required. Continue to monitor locally with support from the Regional Programme Office
0-24	<b>D</b>	No intervention required. Continue to monitor at a project level

The context in which the project operates and an element of common sense will be considered alongside the impact score to ensure that the right level of intervention and monitoring is in place for the successful delivery of the project.

Appendix E

**SBCD AOR Update Report - December 2020**

ID	Recommendation	Status	Dependencies	Progress update
AOR001	WCGIB share the AOR report with the North Wales Growth Deal and Mid Wales Growth Deal	Completed	WCGIB to action	Actioned by WG.
AOR002	Subsequent iterations of the PoBC present the current/latest position of the portfolio	In Progress	WCGIB to clarify timing of PoBC submissions	<p>Verbal confirmation from WG on submitting next iteration of Portfolio Business Case (PoBC) to WG/UKG by 31<sup>st</sup> March 2021. This was confirmed in meeting 15/12/20 and that the updated PoBC is not expected for the sign off of the funding award conditions in relation to the Award of Funding Notification for the SBCD dated 16/12/20.</p> <p>Current status of projects and programmes will be included in the PoBC Executive Summary.</p> <p>Action to be closed on submission of PoBC in March 2021.</p>
AOR003	Release of annual C&GD funding is linked to an annual submission of an updated PoBC	In Progress	WCGIB to clarify timing of PoBC submissions and release of SBCD funding tranches	<p>Meeting held with WG 20th Nov 2020 – confirmed submission of updated PoBC by 31<sup>st</sup> March 2021 together with financial / monitoring templates to trigger release of next tranche of CD funding. Annual target date for release of CD funding by Q2 each financial year. Schedule of future iteration submissions of the PoBC to be included and agreed with WG.</p> <p>WG confirmed no annual AOR anticipated unless major changes to PoBC. WG confirmed two separate releases of payment this financial year, as per funding award letter received on 16/12/2020.</p>

AOR004	PoBC be developed to include a section on strategic alignment of UKG & WG policy objectives, at a project level	In Progress	All Business Cases to be completed / updated	Matrix summarising all portfolio and project policy and strategy alignment drafted. Portfolio alignment completed and will be included in the next iteration of the PoBC in March 2021 and updated in future iterations.
AOR005	PoMO fully 'SMARTens' and clearly baselines PoBC Spending Objectives	In Progress		PoBC spending objectives have been defined and further 'SMARTened': Jobs created, GVA (linking to productivity) and Investment. Baseline set at 2017. SBCD and North Wales Growth Deal have exchanged best practice and are aligned in defining the spending objectives.
AOR006	PoMO includes project-level Spending Objectives at portfolio level, and quantifies the contribution the portfolio will make to the SBCR strategy	In Progress	SBCD programme and project business cases	Programme/project level and industry sector level spending objectives are now defined and will be included within the updated PoBC for submission in March 2021. These will be reviewed regularly with the programme / project leads to ensure continued accuracy and deliverability. As with AOR005 the project spending objectives Linked directly to the Portfolio Spending Objectives for GVA, Jobs Created and Investment have been linked to productivity through the portfolio objectives. There will also be a benefits framework included in the March update which will highlight Direct Benefits/Indirect Benefits and Wider Benefits to be delivered by the programmes/projects.
AOR007	PoMO ensures benefits are quantified wherever	In Progress	SBCD programme and project business cases	All quantifiable programme/project benefits have been included within the business case where these benefits align to the portfolio spending

	possible at project level, and presents the main quantified benefits in the PoBC			objectives, furthermore in the yearly March update proposed for the PoBC all meaningful project and programme, quantifiable benefits will be included and updated in future iterations of the PoBC as required.
AOR008	WG & UKG officials work with the PoMO to develop a standardised economic appraisal template for use by projects	In Progress	WG Economist to provide guidance on economic appraisal methodology	Awaiting guidance and template from WG. A high-level overview will be provided before Christmas. WG confirmed that SBCD will not be expected to apply the guidance/template to BCs that have already undertaken an economic appraisal. The programme / project economic appraisals are being shared with WG economists and officials prior to submission.
AOR009	WCGIB to seek assurance from the PoMO that - going forward - appropriate business case documentation, and governance and assurance arrangements are developed and installed respectively, for the constituent parts of the portfolio	In Progress		<p>PoMO providing strategies, plans, templates, training, audits to standardise and enhance the governance, assurance and reporting arrangements of SBCD at portfolio and programme/project levels. This includes:</p> <ul style="list-style-type: none"> <li>• Risk management strategy and risk register and issues log</li> <li>• Integrated Assurance and Approval Plan (IAAP)</li> <li>• Covid impact assessments</li> <li>• Monthly highlight reports</li> <li>• Quarterly reporting, including financial monitoring</li> <li>• PoMO assurance on Gateway Assurance recommendation implementation</li> <li>• SBCD reporting schedule</li> <li>• Standardised template developed for Project/Programme Board Terms of Reference</li> <li>• SBCD governance arrangements review</li> <li>• SBCD Procurement principles</li> <li>• Completion of all SBCD regional audit actions</li> </ul>

			<p>Work in progress and will be complete by the next iteration of the PoBC by 31<sup>st</sup> March 2021 and updated in further iterations thereafter:</p> <ul style="list-style-type: none"> <li>• Updated PoBC</li> <li>• Annual performance report</li> <li>• Programme / Project roadmaps</li> <li>• PoMO work plan</li> <li>• Change control process and templates</li> <li>• PM tooling</li> </ul>
AOR010	PoMO adopts standardised definitions for programmes and projects, as defined by the respective best practice methodologies	In Progress	<p>The PoMO have reviewed the portfolio to define all constituent parts as programmes or projects. The portfolio can be summarised as:</p> <ul style="list-style-type: none"> <li>• Programmes <ul style="list-style-type: none"> <li>○ Digital Infrastructure</li> <li>○ Swansea City &amp; Waterfront Digital District</li> <li>○ Pembroke Dock Marine</li> <li>○ Supporting Innovation &amp; Low Carbon Growth</li> <li>○ Yr Egin</li> <li>○ Skills and Talent</li> </ul> </li> <li>• Projects <ul style="list-style-type: none"> <li>○ Homes As Power Stations</li> <li>○ Pentre Awel</li> <li>○ Life Science &amp; Wellbeing Campuses</li> </ul> </li> </ul> <p>Glossary being prepared to standardise terminology - to be approved by JC/PB and cascaded to Project Leads to be used in future documentation.</p> <p>PoMO to conduct 6 monthly performance reviews with Programme and Project leads to assess the current status of the individual programme / project. This is currently in the process of being scheduled.</p>

AOR011	Next iteration of the PoBC is updated to include the identification of project level community benefits, and identified opportunities for collaborative project-level procurements	In Progress	Procurement template has been approved by JC	<p>Procurement narrative and principles have been shared with all project/programme teams to incorporate into business cases.</p> <p>SBCD procurement principles meetings have been scheduled for Dec 20/Jan 21 with all programme / project teams and their procurement specialists.</p> <p>PoMO will maintain a register of Community Benefits that are agreed at programme/project level.</p> <p>Projects will be required to report on their community benefits at the time of procurement and programme / project delivery.</p> <p>This recommendation is on track to be completed and an initial framework outlining community benefits along with the agreed procurement principles will be incorporated into the next iteration of the PoBC by the 31<sup>st</sup> March 2021.</p>
AOR012	Appropriate WG & UKG officials work with the PoMO to develop a standardised financial appraisal template	In Progress	WG Finance officials to work with PoMO to develop templates	<p>WG confirmed that SBCD will not be expected to apply the guidance/template to BCs that have already undertaken a financial appraisal. The project/programme financial appraisals are being shared with WG and officials prior and during the submission process.</p> <p>The PoMO have liaised with WG financial team to draft appropriate quarterly financial monitoring templates. The first iteration of these will be presented to SBCD governance and WG/UKG in January/February 2021.</p>



AOR013	PoMO sets out the relationship between portfolio investment funding and capital financing in more detail in the next iteration of the PoBC	Completed	WCGIB to clarify timing of PoBC submissions	Wording has been drafted and is in the PoMOs current PoBC draft.
AOR014	Updated governance and assurance processes are provided by WCGIB to the PoMO for incorporation into their assurance and approval process	In Progress	WCGIB to provide detail on updated governance and assurance processes	<p>Awaiting guidance from WG. WG confirmed at meeting on 15/12/20 that there would be no change to the process already by SBCD whereby SBCD Programmes and Projects will require WG/UKG approval based on assurance.</p> <p>WG to forward PoMO flow diagrams to place in a PoBC as an Appendix whereby assurance requirements will be embedded in the SBCD governance arrangements.</p>
AOR015	WCGIB set out its expectations for monitoring progress, and confirms the reporting frequency it is seeking	In Progress	WCGIB to advise on monitoring and reporting arrangements going forward	<p>SBCD to undertake monthly monitoring and submit quarterly reports to WG together with annual performance report and updated PoBC.</p> <p>Meeting scheduled for PoMO for early Jan 2021 to confirm on-going arrangements.</p>

# Agenda Item 8



Swansea Bay City Region Joint Committee - 11 February 2021

## Swansea Bay City Deal Change Control Procedure

<b>Purpose:</b>	To propose a fit for purpose Change Control Procedure for the reporting and approval of Change requirements of the associated programmes and projects within the SBCD
<b>Policy Framework:</b>	Swansea Bay City Deal (SBCD) Joint Committee Agreement (JCA)
<b>Recommendation(s):</b>	It is recommended that the Joint Committee:  1) Approves in principle the Change Control Procedure at Appendix A.  2) Delegates to the Portfolio Office Director/S.151 Officer authority to make any further amendments to the Procedure
<b>Report Author:</b>	Phil Ryder (Portfolio Office Manager)
<b>Finance Officer:</b>	Chris Moore, Section 151 Officer, SBCD
<b>Legal Officer:</b>	Tracey Meredith, Monitoring Officer, SBCD

### 1. Introduction

The SBCD is an unprecedented investment in the Swansea Bay City Region, which has the power to significantly boost regional economic prosperity. Change is an inevitable element of programme and project delivery and as outlined within the approved Portfolio Business Case a suitable Change Management Strategy has been devised.

### 2. Background

The SBCD Change Management Strategy is part of the SBCD Portfolio Business Case.

The Swansea Bay City Deal is a Portfolio made up of 9 programmes / projects with delivery across South West Wales by 8 Key Stakeholders, Delivery Partners and Lead Authorities with a projected investment of between £1.15bn and £1.3bn.

Due to the nature of Projects and Programmes there will inevitably be a need for change thus providing the requirement for a change control process.

The Association for Project Management defines change control as “*the process through which all requests to change the approved baseline of a project, programme or portfolio are captured, evaluated and then approved, rejected or deferred.*”

The Change Control Process will detail the potential impacts and benefits for stakeholders, how stakeholders will be engaged to understand the impact (positive or negative) of the change and how the changes will be communicated, implemented and managed.

Threshold limits will be developed in consultation with and approved by Programme (Portfolio) Board, will be based on evidence of existing programmes / projects in delivery within the SBCD Portfolio and will be intrinsic to the application of the change control procedure

The change control strategy and plan will be owned by the Portfolio Board and will highlight the changes that result from projects and programmes at project, programme and portfolio level.

The process for change management is outlined below and covers all aspects of change that will have an impact to any deliverables, objectives and benefits agreed as part of the approval process undertaken for all aspects of the Projects, Programmes or the Portfolio.

The change is likely to affect at least one of the following categories:

- Impact the total cost;
- Consequential impact on funding
- Impact the completion of delivery of output(s)/ key milestones;
- Impact the quality outlined within the business case for the specified Project/Programme
- Impact the benefits outlined within the business case for the specified Project/Programme;
- Impact the GVA, jobs created or inward investment.

Any changes resulting in a variance in these areas must follow this change control process, it is important to note that changes can be both positive and negative.

### **3. Financial Implications**

This procedure outlines protocol for the amendment to the scope and/or objectives of programmes within the Swansea Bay City Deal portfolio. Financial implications could arise in the form of clawback or reduced funding should Portfolio objectives change or fail to be achieved. However, this procedure's purpose is to manage these objectives engaging with UK and Welsh Government to ensure there is a robust process to control any amendment or change to portfolio objectives to reduce or mitigate financial risk.

Welsh government has acknowledged that the portfolio scope and objectives will change overtime and this report will be forwarded on to them to support any change to the portfolio.

### **4. Legal Implications**

Any implementation of a change control process will need to align with funding agreements.

**Background Papers:** None

**Appendices:**

Appendix A: SBCD Draft Change Control Procedure

Appendix B: SBCD Draft Change Control Flow Diagram

# Swansea Bay City Deal

## Change Control Procedure

January 2021



**Document Control**

Note: this document may not be valid anymore.  
Please check for the latest approved version of the document

**Date:** 14/01/2021

**Version:** V1.0

**Author:** Phil Ryder

**Owner:** Portfolio Board

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## 1 - Purpose

Purpose is to provide an acceptable procedure for the delivery of change requirements for the duration of the Swansea Bay City Deal Portfolio.

## 2 – Background

The Swansea Bay City Deal is a Portfolio made up of 9 programmes / projects with delivery across South West Wales by 8 Key Stakeholders, Delivery Partners and Lead Authorities with a projected investment of between £1.15bn and £1.3bn.

Due to the nature of Projects and Programmes there will inevitably be a need for change thus providing the requirement for a change control process.

The Association for Project Management defines change control as *“the process through which all requests to change the approved baseline of a project, programme or portfolio are captured, evaluated and then approved, rejected or deferred.”*

The Change Control Process will detail the potential impacts and benefits for stakeholders, how stakeholders will be engaged to understand the impact (positive or negative) of the change and how the changes will be communicated, implemented and managed.

The change control strategy and plan will be owned by the Portfolio Board and will highlight the changes that result from projects and programmes at project, programme and portfolio level.

## 3 – Items to be considered

The process for change management is outlined below and covers all aspects of change that will have an impact to any deliverables, objectives and benefits agreed as part of the approval process undertaken for all aspects of the Projects, Programmes or the Portfolio.

The change is likely to affect at least one of the following categories:

- Impact the total cost;
- Impact the completion of delivery of output(s)/ key milestones;
- Impact the quality outlined within the business case for the specified Project/Programme
- Impact the benefits outlined within the business case for the specified Project/Programme;
- Impact the GVA, jobs created or inward investment.

Any changes resulting in a variance in these areas must follow this change control process, it is important to note that changes can be both positive and negative.

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#### 4 – Change log Management and collation

As part of the Portfolio Business Case and associated Monitoring and Evaluation Plan the Portfolio Management Office will keep a change log which will record all changes within the Portfolio. Change control reporting will take place for all SBCD Portfolio change and include full summarisation for significant change and notification only of minor change, reporting appropriately to the following levels of Governance at the prescribed frequency following the respective project, programme or portfolio board:

- Portfolio Board;
- Joint Committee;
- Welsh and UK Government;
- Economic Strategy Board
- Joint Scrutiny Committee

It is therefore a requirement of the individual project or programme to forward their respective change log following their reporting at their scheduled project or programme board. The Portfolio Management office will then collate this information into a Portfolio Change log for the purposes of reporting, monitoring, evaluating, and informing.

The minimum expected information will include:

- Change ref/ID
- Description of change
- Owner/originator/identifier
- Impact of change – cost, timeline, quality, benefits, portfolio objectives
- Approval status
- Approver/approval level required

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## 5 - Process

Ref #	Detail	Timeline	Owner
4.1a	Identification of a potential change within the respective project or programme		Project Leads (PLs)
4.1b	If the change identified is a Portfolio change not linked to a specific project or programme then the Portfolio Management Office (PoMO) will Identify the potential change		PoMO
4.2	<p>As soon as a change is identified the owner must complete a change identification notification (example contained within appendix) and forward to the Senior Responsible Office (SRO) and PoMO – this notice will include details of the outline areas that will be affected and a brief description of the change.</p> <p>In the event the change does not need to follow this process and is agreed solely at a project/programme level the lead will notify the PoMO of the relevant aspects of the change to record and report this accordingly in line with the overall portfolio governance arrangements.</p>	2 days	PoMO
4.3	<p>Review and determine whether the change is:</p> <ul style="list-style-type: none"> <li>• Justifiable, acceptable and should proceed for approval.</li> <li>• Whether the change is significant enough to warrant scrutiny by a change advisory board or can this change be resolved at a project or programme level.</li> <li>• Agree a realistic timeline of when a decision is required.</li> </ul>	3 days	PoMO/PLs/ SRO
4.4	Add the change to the relevant risk register or issue log and the respective change log, if not already included.	Immediately	PoMO/PLs
4.5	If the change is within the approval thresholds agreed for the project or programme and no change advisory board (CAB) is required this change can now be taken to the relevant Project / Programme board (PB) for approval.	Next PB	PLs
4.6	If the change does require scrutiny by a change advisory board then it is proposed a board should convene Monthly to review all change requirements or could be called on an ad hoc basis if the change request requires agreement sooner than the next scheduled board.	Max of 21 days from agreement to submit to CAB	PoMO
4.7	<p>The CAB convenes and:</p> <ul style="list-style-type: none"> <li>• Ratifies the decision to proceed (if required)</li> <li>• Agrees an appropriate level of approval (if above PB) within the threshold levels agreed.</li> </ul>		CAB
4.8	If the Approval level for the change is the project / programme board then the following steps must be	Within 7 days of CAB	PoMO/PLs



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	<p>followed – if required an ad hoc PB can be called to agree change:</p> <ul style="list-style-type: none"> <li>• PB determine suitability of resolution presented and approve change.</li> <li>• Once approved the SRO/PL/PoMO to final review the change and complete an impact assessment for submission to Portfolio Board and Joint Committee for information.</li> <li>• The project or programme team can now implement the change into their programme.</li> <li>• Update issue log and risk register as required and continually review change and impacts until complete.</li> </ul>		
4.9	Convene a resolution meeting before escalating to compile all evidence and complete a change request notification		
4.10	<p>If the Approval level for the change is the portfolio board then the following steps must be followed – if required an ad hoc PB can be called to agree change:</p> <ul style="list-style-type: none"> <li>• Review and amend resolution as required</li> <li>• Approve</li> <li>• If the change is not approved then either rejection or amendment must be considered. If amendment is required then review and amend as required.</li> <li>• If rejection follow the general point at the end of this process.</li> <li>• Advise Joint Committee / WG / UKG of the change</li> <li>• The project or programme team can now implement the change into their programme.</li> <li>• Update issue log and risk register as required and continually review change and impacts until complete.</li> </ul>	Within 7 days of CAB	Portfolio Board
4.11	<p>If the Approval level for the change is the Joint Committee then the following steps must be followed:</p> <ul style="list-style-type: none"> <li>• Review and amend resolution as required</li> <li>• Approve</li> <li>• If the change is not approved then either rejection or amendment must be considered. If amendment is required then review and amend as required.</li> <li>• If rejection follow the general point at the end of this process.</li> <li>• Advise WG / UKG of the change</li> <li>• The project or programme team can now implement the change into their programme.</li> <li>• Update issue log and risk register as required and continually review change and impacts until complete.</li> </ul>	Within 7 days of Portfolio Board	Joint Committee

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5.8	<p>If the Approval level for the change is Welsh or UK Government then the following steps must be followed:</p> <ul style="list-style-type: none"> <li>• Review and amend resolution as required</li> <li>• Approve</li> <li>• If the change is not approved then either rejection or amendment must be considered. If amendment is required then review and amend as required.</li> <li>• If rejection follow the general point at the end of this process.</li> <li>• The project or programme team can now implement the change into their programme.</li> <li>• Update issue log and risk register as required and continually review change and impacts until complete.</li> </ul>	Within 14 days of Joint Committee	WG / UKG
General	If at any point a decision to reject the change is agreed then a risk mitigation meeting is to be called immediately to determine the impact of rejection will have and formulate a strategy to reduce the potential impact.		All
General	It is envisaged that this process is suitable for the approval of the majority of change for the overall Portfolio projects and programmes, however in the event that approval of a change is time critical then amendments to this procedure and timelines associated can be agreed at the initial review meeting (4.3) with the agreement of all relevant parties.		

## 5 - Timeline

Item	Number of Days to action	Cumulative Total Days
Complete and submit Change Identification Template	2 Days	2 Days
Initial Review (SRO, PL, PoMO)	3 Days	5 Days
Change Advisory Board or Project / Programme Board if CAB not required	21 Days	26 Days
<b>ADVISE WELSH/UK GOVERNMENT OF LIKELY CHANGE / REVIEW REQUIREMENTS</b>		
Resolution Meeting to determine preferred solution post CAB	3 Days	29 Days
Portfolio/Programme/Project Board post CAB Review and/or approval	7 Days	36 Days
Joint Committee Review post relevant P3M board review and/or approval	7 Days	43 Days
Welsh/UK Government approval	14 Days	57 Days



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## 6 – Threshold limits

Threshold Limits for approval at the following levels require further consideration:

- Project/Programme
- Portfolio Board
- Joint Committee
- Welsh/ UK government

Until appropriate limits can be agreed it is anticipated that any significant change to the programme or project in the following areas

- Impact the total cost;
- Impact the completion of delivery of output(s)/ key milestones;
- Impact the quality outlined within the business case for the specified Project/Programme
- Impact the benefits outlined within the business case for the specified Project/Programme;

or any change to the Portfolio objectives will need to be reported accordingly.

- Impact the GVA, jobs created or inward investment.

All other minor changes that do not significantly affect the areas above continue to be approved by the Project/Programme until thresholds are agreed but the PoMO need to be informed of any changes.

All changes are subject to the terms and conditions set out in the respective funding awards and respective funding agreements.

Within the legal funding agreements there is potential for permissible change to the project scope or outputs providing the changes follow the approved change control procedure. This is detailed within clause **6.3 Project Agreed Outputs** of both primary and secondary funding agreements as outlined below:

*“Any Party to this Agreement may propose a change to the Project Agreed Outputs by serving a Request for Change to the Project Agreed Outputs on the other Party. Such Request for Change to the Project Agreed Outputs on the other Party shall be in writing and shall identify the change proposed. The Project Authority Lead shall submit any Request for Change to the Project Agreed Outputs to the Accountable Body who may request the Joint Committee to seek approval from the Welsh Government. A Request for Change to the Project Agreed Outputs shall not come into effect until it is approved by either the Accountable Body or the Welsh Government”*

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## Appendix - Templates

Templates include:

- Change Identification Notice – This is to be completed in the event of a change requiring review and or approval by the PoMO/SRO/PL



Draft change notification.docx

- Change Request Notice – This is to be completed once a solution is proposed and all supporting documentation is available in order to allow approval of the proposed solution.



Draft change resolution - request for

- Change confirmation Notice – This is to be completed and submitted to the PoMO for confirmation of any project changes not following this process for reporting and information purposes – a template to be provided from the respective lead authorities internal processes.

# Swansea Bay City Deal

## Change Control Flow Diagram

January 2021



**Document Control**

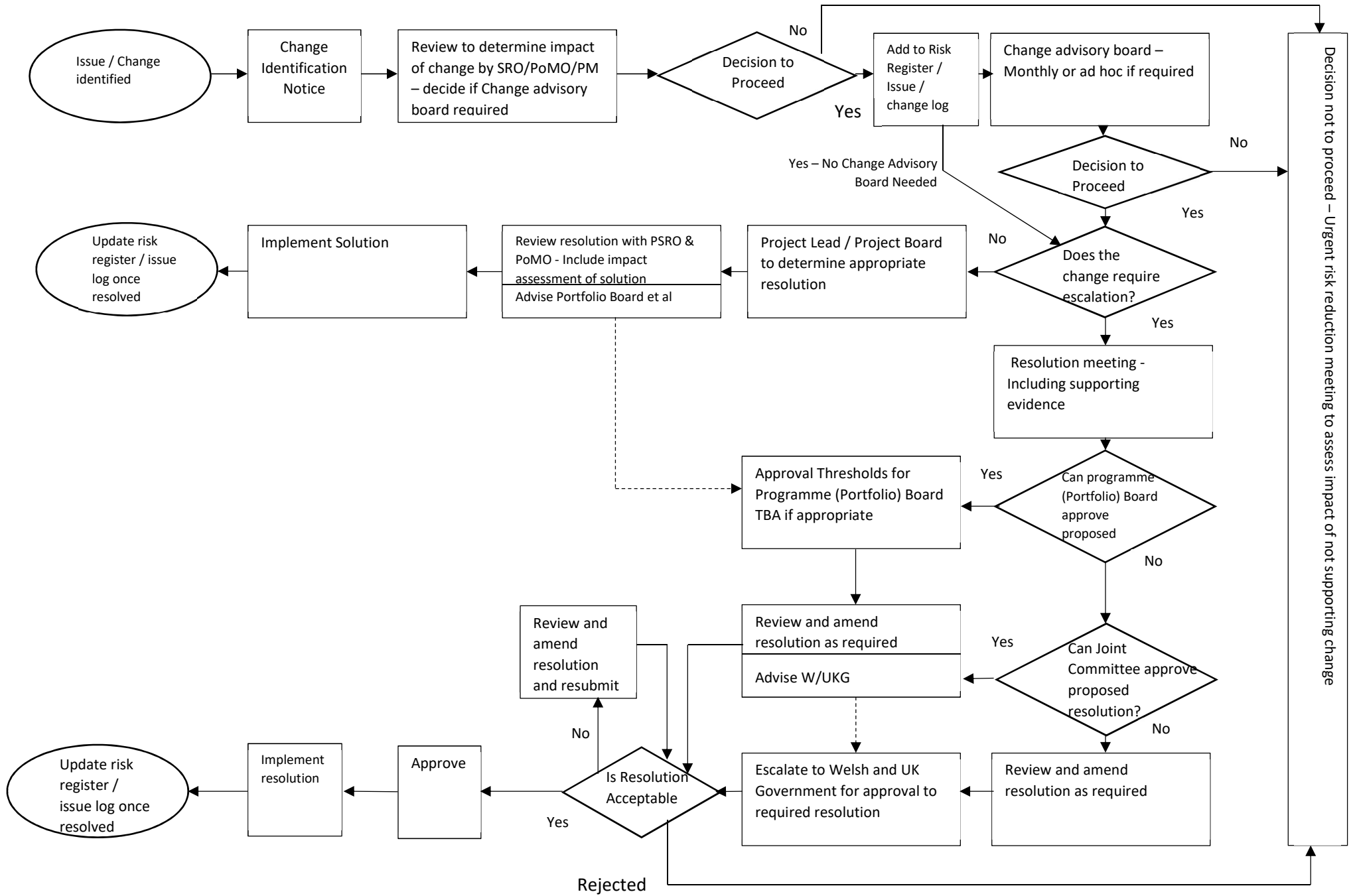
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**Date:** 14/01/2021

**Version:** V1.0

**Author:** Phil Ryder

**Owner:** Portfolio Board



# Agenda Item 9



Swansea Bay City Region Joint Committee - 11 February 2021

## Swansea Bay City Deal Portfolio Governance Evaluation

<b>Purpose:</b>	To inform the Joint Committee of the Governance Evaluation work and put forward recommendations for consideration
<b>Policy Framework:</b>	Swansea Bay City Deal Joint Committee Agreement
<b>Recommendation(s):</b>	It is recommended that the Joint Committee:  1) Approves in principle the Governance Evaluation report attached at Appendix A and that further work be undertaken to implement the recommendations.
<b>Report Author:</b>	Amanda Burns
<b>Finance Officer:</b>	Chris Moore, Section 151 Officer, SBCD
<b>Legal Officer:</b>	Tracey Meredith, Monitoring Officer, SBCD

### 1. Introduction

In June 2020, the Gateway 0 review into the SBCD Portfolio recommended evaluating the merit of differentiating the accountabilities for strategic oversight and delivery control, thus empowering the Joint Committee (JC) and Programme Board (PB) to exercise its function with agility and in line with the delivery tempo of the programme,

### 2. Background

A total of 14 conversations were held between the Portfolio Management Office (PoMO) and a cross profile of representatives from each of the organisations that make up JC and PB to seek their views on how the Governance Boards currently operate and how they could run more efficiently, to strengthen the understanding of stakeholders' role and enhance the current reporting, governance and assurance arrangements.

The Report is split into 4 sections, namely:



- a. Frequency of meetings
- b. Role of Joint Committee
- c. Documentation
- d. Representation

In total 16 recommendations are put forward in the report to be considered by Joint Committee

### **3. Financial Implications**

There are no financial implications associated with this report

### **4. Legal Implications**

The SBCD is governed by the Joint Committee Agreement which provides for the establishment of a Joint Committee, Programme Board and Joint Scrutiny arrangements and enables the constituent authorities to work together to establish and participate in a joint committee.

Consideration needs to be given as to whether any of the recommendations would necessitate changes to the Joint Committee Agreement. For example, the Agreement does not provide for a Portfolio Board and so an amendment would be needed to the Agreement.

### **5. Alignment to the Well-being of Future Generations (Wales) Act 2015**

The SBCD Portfolio and its constituent projects are closely aligned to the Well-being of Future Generations (Wales) Act 2015 and the seven well-being goals for Wales. These alignments are outlined in a Portfolio Business Case for the SBCD, as well as in individual project business cases.

**Background Papers:** None.

#### **Appendices:**

Appendix A: SBCD Portfolio Governance Evaluation

## SBCD Portfolio Governance Evaluation (Appendix A)

### 1. Introduction

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- 1.1 To evaluate the merit of differentiating the accountabilities for strategic oversight and delivery control, thus empowering the Joint Committee (JC) and Programme Board (PB) to exercise its function with agility and in line with the delivery tempo of the programme, as recommended in the Gateway 0 review into the SBCD Portfolio.
- 1.2 To strengthen the understanding of stakeholders' role and enhance the current reporting, governance and assurance arrangements.
- 1.3 A total of 14 conversations were held between the Portfolio Management Office (PoMO) and a cross profile of representatives from each of the organisations that make up JC and PB to seek their views on how the Governance Boards currently operate and how they could run more efficiently.
- 1.4 The report will be split into 4 sections, namely:
  1. Frequency of meetings
  2. Role of the Joint Committee / Programme Board
  3. Documentation
  4. Representation
- 1.5 The report notes 16 recommendations that will be discussed at the next JC / PB. Annex A lists all recommendations.

### 2. Frequency of Meetings

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- 2.1 The PB meet monthly before each JC and Economic Strategy Board (ESB).

#### **Evaluation Summary**

- 2.2 All JC and PB members are in 100% agreement that the current frequency of meetings is appropriate whilst programmes / projects transition from initiation into delivery. Potential to review this at the end of financial year as majority in agreement these could move to bi-monthly meetings.
- 2.3 Joint Scrutiny Committee (JSC) should be the main gatekeeper for decision making at JC, with this in mind meetings need to be more regular. Also noted that meetings have been cancelled lately.
- 2.4 Opportunity for JC / JSC / PB to get together bi-annually to cover delivery status of programmes / projects and do a horizon scan / forward look for the next 6 months.

## Recommendation

- (1) Agenda item to be added to March Joint Committee / Programme Board to consider bi-monthly meetings going forward.
- (2) JC to review the frequency of JSC meetings.
- (3) Hold a bi-annual seminar for JC / JSC / PB to look at programme / project delivery and 6-month projection.

## 3. Role of the Joint Committee / Programme Board

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As stated in the Terms of Reference:

- 3.1 The Joint Committee has ultimate responsibility and accountability for decisions taken in relation to the Swansea Bay City Deal's Heads of Terms, in line with the visions and interests of all participating parties and the City Deal document signed on 20<sup>th</sup> March 2017.
- 3.2 The PB have 4 distinct roles:
  - Preparing recommendations on the overall City Deal programme
  - Supporting programme / project development
  - Monitoring programme / project development
  - To work on a regional basis to improve public services

### Evaluation Summary

- 3.3 The majority of JC / PB members had a positive reaction to how the meetings have evolved over the last 6/8 months and trust has been re-established between partner organisations resulting in meetings becoming more organised and focused, however there is room for improvement regarding functionality of meetings.
- 3.4 All JC / PB members understood their role, however there was a difference in opinion over a few matters. Some members questioned how robust the process is when it comes to challenge from the PB and felt there was a lack of challenge in documentation being presented prior to submission to JC and could benefit from having more feedback than what is currently received.
- 3.5 When asked whether the PB would benefit from having some responsibility in matters requiring decision there were mixed reviews. Whilst all members saw the ownership of strategic decisions sitting with the JC, some members felt there was appetite for operational decisions to be delegated down to Programme Board.
- 3.6 Several members expressed an interest in creating more opportunities for ESB to be more involved in programme / project development in order to add maximum value. Several members also felt the link between JC / PB and ESB could be improved.
- 3.7 Several members mentioned that PB should consider how programmes / projects are networking as there is potential for collaborative working. There is also a benefit of holding Workshops outside of PB where programmes / projects can share experiences such as Lessons Learned at critical delivery phases.

3.8 Confusion that meetings are still referred to as Programme Boards rather than Portfolio Boards.

### **Recommendations**

- (4) For the PB to provide a clear steer on direction of programmes / projects, governance and documentation presented, to guide the SBCD Portfolio through deliberation, support and action. Meetings to be more succinct to allow time for discussion and feedback.
- (5) Deliberation required on whether a level of decision making becomes part of PB responsibilities. Report required on how this may look.
- (6) JC / PB Agenda and minutes to be shared with ESB.
- (7) ESB members / Chair to be invited to PB for discussion on feedback at an appropriate frequency.
- (8) PB members and Programme / Project Teams to have the opportunity to submit Agenda items for consideration.
- (9) Future meetings to be re-named Portfolio Board and all documentation to align.

## **4. Documentation**

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4.1 All reports prepared by the Board pertaining to City Deal and regional or sub-regional matters, once approved by the Board will be submitted 'as draft' to the Joint Committee for approval via the Regional Office.

### **Evaluation Summary**

- 4.2 Majority of members mentioned there has been a vast improvement in the quality and consistency of reports submitted the past 6 months and noted there is a very clear and consistent process in terms of best practice.
- 4.3 Monitoring and reporting of performance metrics for the SBCD ensures the effective management and delivery of the portfolio and its constituent programmes / projects. The majority of members stated they found the SBCD Monitoring report extremely useful, which is presented on a quarterly basis at both JC and PB and focuses on whether the delivery of the portfolio is proceeding as planned and in a timely manner focuses on programme / project inputs and output. A few members found the amount of detail provided in the Monitoring report to be slightly overwhelming but confirmed they would prefer to see more detail than less so can pick out the key information relevant to them and cascade within their organisations. Most JC members stated the information presented needs to be focused and direct so clear decisions can be made where required.
- 4.4 Most members also found the SBCD Portfolio Highlight report to be very useful, which is presented to both JC and PB on a monthly basis and focuses on key achievements and risks. Members also found the use of graphics to be a nice addition.
- 4.5 When members were asked in terms of reporting what would benefit them going forward, 100% found simpler and more concise executive summaries would be an extremely useful mechanism of pulling out the key information from reports.

- 4.6 Process for signing off reports need to be documented. If there are no or minor changes in papers that are sent for financial / legal approval between PB and JC, they shouldn't need to be subject to a second approval.
- 4.7 Some members noted that previous JC / PB meetings have seen non SBCD related items presented. Future consideration needs to be given on when / where to present, to not deviate from the main focus of the governance arrangements which is to deal with SBCD Portfolio related items.
- 4.8 When asked what you feel is missing from current Boards, a few members suggested adding a standard agenda item to focus on a particular programme / project. This would rotate between each of the 9 programmes / projects and provide the Board with more visibility of progress and allow them to provide In-depth support.
- 4.9 Guidance from the Welsh Language Commissioner advises that all presentations at Board meetings should be bilingual to operate in a context where the Welsh language has official status in Wales.

## Recommendations

- (10) Executive summaries to be provided at the meetings for all reports submitted either verbally / via presentation, ensuring programme management terminology is clear and concise.
- (11) Reports presented at PB that have no or minor changes do not require further sign off prior to submission to JC.
- (12) Discussion and decision required on whether non SBCD related items should be brought to JC and PB.
- (13) Invite alternate programme / project leads to future meetings to give a more in-depth update on current status, which also gives them regular access to PB members.
- (14) Decision required on how to comply with the Welsh language standards at JC / PB.

## 5. Representation

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### Joint Committee

- 5.1 Each of the Councils shall appoint its leader or equivalent as its representative as a member of the Joint Committee and all such members shall have full voting rights.

Each Council may appoint a deputy for its member on the Joint Committee who may attend meetings of the Joint Committee as a substitute for the Council's appointed member on the Joint Committee. However, such deputy shall only be entitled to attend meetings of the Joint Committee in the absence of the Council's appointed member.

The Accountable Officer or their representative shall be entitled to attend meetings of the Joint Committee but shall not have a vote.

The head of paid service of each of the Councils shall be entitled to attend meetings of the Joint Committee but shall not have a vote.

The Joint Committee may co-opt the following Members: Swansea University, Trinity Saint David, Abertawe Bro Morgannwg Health Board and Hywel Dda Health Board as appropriate however these bodies shall not have a vote.

### **Programme Board**

- 5.2 The Swansea Bay City Region Programme Board consists of the Chief Executives from each of the Councils or another officer nominated by the Chief Executive.

The Programme Board co-opt additional representatives to the Board. Members include the following:

Swansea University  
University of Wales Trinity St David  
Hywel Dda University Health Board  
Swansea Bay University Health Board

### **Evaluation Summary**

- 5.3 Having optimal representation at Programme Board is critical to the success of the SBCD Portfolio.
- 5.4 Programme Board benefits from having a mix of executive leadership and practitioners. This creates a balance of hands on experience and people who are agents of change. Some members felt due to being more involved / hands on with the programmes / projects the meetings could benefit from having SRO's in attendance or there could be an opportunity to set up a subgroup.
- 5.5 All members agreed that the current membership for JC is fit for purpose.
- 5.6 Some members felt frustration on occasions in maintaining quoracy throughout JC / PB meetings where attendance at PB of some organisations have been quite sporadic. Need to ensure the right level of representative attends if the meeting is delegated.

### **Recommendations**

- (15) Discussion to be held on whether SRO's need a more active role in PB.
- (16) Create a delegate list for JC / PB to document who can represent in members absence (Action raised at PB 26<sup>th</sup> November).

## Recommendations

- (1) Agenda item to be added to March Joint Committee / Programme Board to consider bi-monthly meetings going forward.
- (2) JC to review the frequency of JSC meetings.
- (3) Hold a bi-annual seminar for JC / JSC / PB to look at programme / project delivery and 6-month projection.
- (4) For the PB to provide a clear steer on direction of programmes / projects, governance and documentation presented, to guide the SBCD Portfolio through deliberation, support and action. Meetings to be more succinct to allow time for discussion and feedback.
- (5) Deliberation required on whether a level of decision making becomes part of PB responsibilities. Report required on how this may look.
- (6) JC / PB Agenda and minutes to be shared with ESB.
- (7) ESB members / Chair to be invited to PB for discussion on feedback at an appropriate frequency.
- (8) PB members and Programme / Project Teams to have the opportunity to submit Agenda items for consideration.
- (9) Future meetings to be re-named Portfolio Board and all documentation to align.
- (10) Executive summaries to be provided at the meetings for all reports submitted either verbally / via presentation, ensuring programme management terminology is clear and concise.
- (11) Reports presented at PB that have no or minor changes do not require further sign off prior to submission to JC.
- (12) Discussion and decision required on whether non SBCD related items should be brought to JC and PB.
- (13) Invite alternate programme / project leads to future meetings to give a more in-depth update on current status, which also gives them regular access to PB members.
- (14) Decision required on how to comply with the Welsh language standards at JC / PB.
- (15) Discussion to be held on whether SRO's need a more active role in PB.
- (16) Create a delegate list for JC / PB to document who can represent in members absence (Action raised at PB 26<sup>th</sup> November).