

# Swansea Bay City Deal Change Control Procedure

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**Version:** V2.0 [Inclusion of change control thresholds and Reformatting of document, including Change Notification and Change Request templates]

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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 up to £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 procedure is owned by the Programme (Portfolio) Board and will highlight the changes that result from projects and programmes at project, programme and portfolio level.

## 3. Impact of Change

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:

- **Cost:** Impact the total cost or finance;
- **Time:** Impact the completion of delivery of output(s)/ key milestones;
- **Quality:** Impact the quality outlined within the business case for the specified Project/Programme;
- **Benefits:** Impact the benefits outlined within the business case for the specified Project/Programme;
- **Portfolio objectives:** Impacting the Portfolio objectives including Economic Impact (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.

## 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

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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:

- Programme (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 local 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

## 5. Change Management Process

Ref #	Detail	Timeline	Owner
4.1a	Identification of a potential change within the respective project or programme		Project Leads (PLs)
4.1b	Portfolio level change, not linked to a specific project or programme, will be identified by the Portfolio Management Office (PoMO)		PoMO
4.2	As soon as a change is identified the owner must complete a change identification notification (template contained within appendix) and forward to the Project/Programme Senior Responsible Office (SRO) and PoMO. The notice will include details of the outline areas that will be affected and a brief description of the change.  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.	2 days	PoMO
4.3	Review and determine whether the change is: <ul style="list-style-type: none"> <li>• Justifiable, acceptable and should proceed for approval.</li> </ul>	3 days	PoMO/PLs/SRO

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	<ul style="list-style-type: none"> <li>Whether the change is significant enough to warrant scrutiny by a Change Advisory Board or can the change be reported and resolved at project/programme level.</li> <li>Agree a realistic timeline for required decision(s).</li> </ul>		
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 the change can be taken to the relevant Project / Programme board (PB) for approval.	Next PB	PLs
4.6	If the change requires scrutiny by a CAB then the board will be convened as part of a planned or ad hoc board, depending on the urgency of the proposed change.	Max. 21 days from agreeing to submit to CAB	PoMO
4.7	The CAB convenes and: <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 at project / programme board then the following steps must be followed and if required, an ad hoc PB can be called: <ul style="list-style-type: none"> <li>PB determine suitability of resolution presented and approve change.</li> <li>Once approved the SRO/PL/PoMO reviews change and completes an impact assessment for submission to Portfolio Board and Joint Committee for information.</li> <li>The project or programme team can proceed to implement the change.</li> <li>Update issue log and risk register as required and periodically review impact of change until complete.</li> </ul>	Within 7 days of CAB	PoMO/PLs
4.9	Convene a resolution meeting before escalating to compile all evidence and complete a change request notification		
4.10	If the Approval level for the change is at Portfolio Board then the following steps must be followed – if required an ad hoc PB can be called to agree change: <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 rejected, follow the General Points below</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	If the Approval level for the change is the Joint Committee then the following steps must be followed:	Within 7 days of	Joint Committee

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	<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 rejected follow the General Point below</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>	Portfolio Board	
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 rejected follow the General Point below</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 most 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.		

6. 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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## 7. Risk Management

The PSRO and PoMO must acknowledge receipt of the Identification Notice and agree whether there are potential risks impacting one or all the above aspects of the Portfolio, Programme or Project.

Newly identified risks must be added to the Project/Programme risk register. Existing risks should be updated with the current information of the change and how it increases or decreases risk.

Once a potential change is identified and notified to the PoMO and relevant PSRO any of the three parties (PoMO, PSRO or PM) can instruct a risk mitigation meeting with participants to be agreed by all three stakeholders. During the risk mitigation discussions, participants must:

- Make and consider proposals of how risks might be avoided or mitigated
- Seek solutions to resolve any risks that cannot be avoided or mitigated
- Decide on appropriate actions to follow and who is responsible for their completion
- Remove resolved risks previously added to the risk register

If, following the risk mitigation assessment or issuing of a Change Identification Notice, a change of scope is required a formal, appropriate approval process to the change must be agreed upon and actioned by the PM/PSRO and/or PoMO.

## 8. Change Thresholds

Any changes at a project or programme level can adopt the Change Control Procedure and be reported locally within the Lead Delivery organisations' governance arrangements.

The SBCD requires all projects and programmes to identify and document change from their current Business Case through Change Notifications, which are predominately for information and Change Requests to determine appropriate levels for approval.

The thresholds below in Table 6.1 have been set to help define a significant change and are based on the project/programme costs, time, quality, benefits/deliverables, and Portfolio investment objectives. A variation to project delivery could include introduction of a new or termination of existing project, or enhancement/reduction to existing project defined in the business case.

1.	Financial/Cost	<ul style="list-style-type: none"> <li>• Variation* in cost by +/- £1m; or</li> <li>• 10% variation* to project element cost</li> </ul>
2.	Time	<ul style="list-style-type: none"> <li>• +/- 3 months variation* to the completion of a key output or milestone of a project</li> </ul>
3.	Quality	<ul style="list-style-type: none"> <li>• Change to scope that affect 1+ of the other thresholds e.g. fabrication, location, purpose of delivery, sustainability (BREAAAM status), etc</li> <li>• Variation to defined project constraints*</li> </ul>
4.	Benefits	<ul style="list-style-type: none"> <li>• Removal or additional of a planned benefit</li> <li>• +/- 10% variation of defined quantifiable benefits*</li> </ul>
5.	Portfolio objectives	<ul style="list-style-type: none"> <li>• +/- 10% variation in the contribution to Portfolio level jobs created, investment or economic impact*</li> </ul>

**Table 6.1 SBCD Change Thresholds**

*\*Variation should incorporate changes that are absolute at a point in time or incremental over time.*

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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”*

## 9. Change Management Templates

Change procedure 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



SBCD CM  
Identification Notice

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



SBCD CM Request  
Template.docx

- **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.