

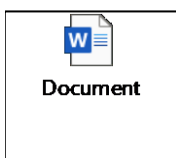
Swansea Bay City Deal - AOR / Gateway 0 Action Plan

As part of the assurance arrangements for the SBCD Portfolio, a Gateway 0 Review was undertaken in July 2020 and an Accounting Officer Review (AOR) conducted by Welsh Government to approve the Portfolio Business Case in August 2020.

Both reports to the Portfolio SRO contained a total of 21 recommendations for implementation in order to position the Portfolio for effective delivery and ensure the clarity, accuracy and effectiveness of the Portfolio Business Case and the individual project / programme business cases which form part of the SBCD Portfolio. The Gateway 0 Review gave the Portfolio an Amber Delivery Confidence rating.

The following tables detail the SBCD Action Plan developed in response to these recommendations. It is intended that this Action Plan be updated on a monthly basis.

Links to the full Gateway 0 and AOR Reports can be found below:



ID	Recommendation	BC Section	Priority	Actions	Target Date	Updated Target Date	Lead	Sign Off	Status	Dependencies	Monthly Update
AOR001	WCGIB share the AOR report with the North Wales Growth Deal and Mid Wales Growth Deal	Portfolio	Recommended	WCGIB to share AOR report with Growth Deal areas	Nov-20		WG	N/A	Not Actioned	WCGIB to action	
				Workshop to be arranged with WCGIB and Growth Deal areas	Dec-20						
AOR002	Subsequent iterations of the PoBC present the current/latest position of the portfolio	Portfolio	Essential	Clarification from WCGIB on timing of next iteration PoBC	Nov-20		PoMO	JC/Board	Not Actioned	WCGIB to clarify timing of PoBC submissions	
				PoBC to be updated with history of change to reflect current / latest position	Nov-20						
AOR003	Release of annual C&GD funding is linked to an annual submission of an updated PoBC	Portfolio	Essential	WCGIB to confirm timing for submission of updated PoBC	Nov-20		PoMO	JC/Board	Not Actioned	WCGIB to clarify timing of PoBC submissions and release of SBCD funding tranches	
				WCGIB to confirm mechanism, conditions and timing for release of funding to SBCD	Nov-20						
				PoBC to be updated and submitted to WCGIB timescales	Mar-21						
AOR004	PoBC be developed to include a section on strategic alignment of UKG & WG policy objectives, at a project level	Strategic	Essential	UKG & WG policy objectives to be reviewed and clarified	Dec-20		PoMO	JC/Board	Not Actioned	All Business Cases to be completed / updated	
				PoMO to collate and summarise Portfolio / Project Business Case Government alignment and share with Project Leads to update	Dec-20						
				PoBC to be updated with aligned project level policy objectives	Jan-21						
AOR005	PoMO fully 'SMARTens' and clearly baselines PoBC Spending Objectives	Strategic	Critical	Agree Portfolio Baseline with WG/UKG	Nov-20		PoMO	JC/Board	Not Actioned		Anticipated Baseline will be 2017 which is when the SBCD was initiated.
				Review and agree Portfolio Spending Objectives with WG/UKG	Nov-20						
				Update PoBC with agreed Baseline and Spending Objectives	Nov-20						
				Disseminate agreed Baseline and Spending Objectives to Project Leads for alignment of Business Cases	Nov-20						
AOR006	PoMO includes project-level Spending Objectives at portfolio level, and quantifies the contribution the portfolio will make to the SBCR strategy	Strategic	Essential	Agree project level Spending Objectives with Project Leads	Dec-20		PoMO	JC/Board	Not Actioned		
				PoBC to be updated with project level Spending Objectives	Dec-20						
				Engage with Regional Directors to align SBCD appraisal SBCR strategy review	Jan-21						
				PoBC to be updated showing the quantified contribution that the portfolio will make to the SBCR strategy	Jan-21						
AOR007	PoMO ensures benefits are quantified wherever possible at project level, and presents the main quantified benefits in the PoBC	Strategic	Essential	Benefits quantification to be undertaken and collated at project level.	Feb-21		PoMO	JC/Board	Not Actioned		
				PoBC to be updated with summary of project level quantified benefits	Feb-21						
				Iterations of PoBC to include updated project level benefits	Feb-21						
AOR008	WG & UKG officials work with the PoMO to develop a standardised economic appraisal template for use by projects	Economic	Essential	Standard economic appraisal template to be developed and agreed with WG/UKG	Dec-20		WG	JC/Board	Not Actioned	WG Economist to provide guidance on economic appraisal methodology	
				Agreed template to be disseminated to Project Leads	Dec-20						
				Project business cases to be updated where possible using standardised economic appraisal method	Dec-20						
				PoBC to include project economic appraisal template	Jan-21						
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			Periodically review and update individual project business case documentation with project leads to align to GB / BBC criteria.	6 monthly						PoMO providing strategies, plans, templates, training, audits to standardise and enhance the governance, assurance and reporting arrangements of SBCD. This includes risk registers, issues log, IAAP,
				Review and agree assurance arrangements for individual projects with project leads via a health check	6 monthly						

		Economic	Critical	Review and agree governance arrangements for individual projects with project leads	Dec-20	PoMO	JC/Board	Not Actioned		impact assessments, road maps, financial monitoring. These will be reported via highlight reports, Quarterly monitoring reports, annual performance reports., forward work plan.
				Develop suite of monitoring and performance reports for constituent projects	Feb-21					
				Develop contingency plans for projects and portfolio based on different scenarios /projections	Feb-21					
AOR010	PoMO adopts standardised definitions for programmes and projects, as defined by the respective best practice methodologies	Economic	Critical	Review P3M definitions against constituent projects / programmes with project leads	Nov-20	PoMO	JC/Board	Not Actioned		
				Agree appropriate business case definitions and formats for projects / programmes with project leads and WG/UKG	Nov-20					
				Project leads to revise / align individual business case documentation where required to agreed P3M best practice definitions	Feb-21					
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	Commercial	Essential	Procurement template to be finalised and presented to project leads	Feb-21	PoMO	JC/Board	Not Actioned	Procurement template to be approved by JC/Board	February is target completion date - any project going through procurement between now and February will be required to articulate community benefits.
				Project leads to provide information on procurement / community benefits to PMO	Feb-21					
				Workshop to be held to identify best practice and portfolio approach to procurement / community benefits	Feb-21					
				PoBC to be updated with project level information on community benefits and collaborative / innovative procurements	Feb-21					
AOR012	Appropriate WG & UKG officials work with the PoMO to develop a standardised financial appraisal template	Financial	Essential	Standard financial appraisal template to be developed and agreed with WG/UKG	Dec-20	PoMO	JC/Board	Not Actioned	WG Finance officials to work with PoMO to develop templates	
				Agreed template to be disseminated to Project Leads	Dec-20					
				Project business cases to be updated using standardised financial appraisal method	Dec-20					
				PoBC to include updated project financial appraisals	Jan-21					
AOR013	PoMO sets out the relationship between portfolio investment funding and capital financing in more detail in the next iteration of the PoBC	Financial	Essential	Clarification on recommendation requirement from WCGIB and on the timing of next iteration PoBC	Nov-20	PoMO	JC/Board	Not Actioned	WCGIB to clarify timing of PoBC submissions	
				Annex 4.2 on description and scale of private sector funding to be moved to main body of PoBC	Nov-20					
				Clarify detail of short term investments and loan borrowing and how these relate to the financing of projects	Nov-20					
				PoBC narrative to clarify relationship between portfolio investment funding and capital financing	Nov-20					
AOR014	Updated governance and assurance processes are provided by WCGIB to the PoMO for incorporation into their assurance and approval process	Management	Essential	Request updated governance and assurance processes from WCGIB	Nov-20	WG	JC/Board	Not Actioned	WCGIB to provide detail on updated governance and assurance processes	
				Update next iteration of PoBC and PMO documentation with revised governance and assurance arrangements	Mar-21					
AOR015	WCGIB set out its expectations for monitoring progress, and confirms the reporting frequency it is seeking	Management	Essential	Clarify and agree monitoring and reporting arrangements with WCGIB	Dec-20	PoMO	JC/Board	Not Actioned	WCGIB to advise on monitoring and reporting arrangements going forward	
				Monitoring and reporting arrangements to be disseminated to project leads	Dec-20					
				Update PoBC and PMO documentation to align with defined monitoring and reporting arrangements	Mar-21					

ID	Recommendation	BC Section	Priority	Actions	Target Date	Updated Target Date	Lead	Sign Off	Status	Dependencies	Monthly Update
Gate001	Resolve the inertia introduced by Portfolio/Programme terminology and agree with UKG/WG the purpose of the business case to drive its rapid approval and set the framework for constituent Project Business Case approvals.	Portfolio	Critical	Clarify and agree Portfolio / Programme terminology with UKG/WG	Aug-20		PoMO	JC/Board	Completed		WG provided confirmation to PoMO on the purpose of the Portfolio Business Case. PoMO produced and submitted Portfolio Business Case for approval via the AOR process. AOR recommendation sought further clarity on P3M terminology and PoMO are in the process of implementing appropriate Portfolio, Programme and Project status and governance arrangements.
				Realign PoBC with Green Book and BBC best practice and submit to UKG/WG	Aug-20						
				Update and monitor PoBC to UKG/WG requirements to ensure validity and currency	tbc						
Gate002	Obtain written confirmation from UKG/WG of explicit description of the conditions required to trigger SBCD funding to flow and negate the need for any further reference other than normal reporting mechanisms.	Portfolio	Critical	Request clarification of funding conditions from UKG/WG	Aug-20		PoMO	JC/Board	Completed		WG provided confirmation, PoMO submitted information for conditions sign off to WG/UKG. SBCD awaiting conditions sign off.
				Secure sign off of outstanding conditions and the recent recommendations from AOR review	Sep-20						
Gate003	Evaluate the merit of differentiating the accountabilities for strategic oversight and delivery control, thus empowering the Programme Board to exercise its function with agility and in line with the delivery tempo of the programme.	Portfolio	Essential	Case studies to be undertaken of best practice governance and differentiation of oversight and operational roles	Nov-20		PoMO	JC/Board	Not Actioned		This will be initiated Oct/Nov where the PoMO will coordinate and gather insights from stakeholders.
				Recommendations to JC/Board on options for governance	Dec-20						
				SBCD governance arrangements to be revised pending approval by JC/Board of best practice recommendation	Jan-21						
Gate004	Obtain written confirmation from UKG/WG of the acceptance criteria for closing down the response to the external review of February 2019.	Portfolio	Critical	Clarity to be sought from UKG/WG of acceptance criteria for external review Feb 19	Aug-20		PoMO	JC/Board	Completed		Completed as per recommendation 2.
				Outstanding issues relating to external review to be identified and addressed	Aug-20						
				Secure sign off of any outstanding issues from UKG?WG	Aug-20						
Gate005	Reinforce the importance of a strong and well-resourced PMO to provide a solid engine room for SBCD – the 'information power house' that underpins momentum.	Portfolio	Recommended	Complete appointments to all roles in the PMO	Aug-20		PoMO	JC/Board	In Progress		The recruitment of staff for the PMO has led to the development and improvement of governance, assurance and reporting support to project teams and has received positive feedback from Project Leads.
				Agree ongoing monitoring and reporting processes with UKG/WG	Dec-20						
				Develop full suite of documentation for the effective delivery of Portfolio	Dec-20						
				Ensure that Project Leads are resourced and informed to ensure timely approval of Business Cases and effective delivery of projects and programmes	Jan-21						
Gate006	Promote the merit of discovery funding within the Growth Deal approach for project feasibility and innovation work in order to accelerate viable projects and avoid protracted start-up of non-viable projects.	Portfolio	Recommended	Dialogue to be held with UKG/WG relating to the potential for Discovery Funding both outside the current SBCD Portfolio and from within the Portfolio for projects prior to business case approval	Nov-20		PoMO	JC/Board	Not Actioned		
				Explore potential for regional investment fund to initiate innovation and undertake project feasibility	Dec-20						
				Develop innovative proposals with Project Leads for innovative elements	Ongoing						