


Appendix B

 Bargen Ddinesig BAE ABERTAWA SWANSEA BAY City Deal		Swansea Bay City Region Deal 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
OIG 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	

Swansea Bay City Deal Portfolio Level
Integrated Assurance and Approval Plan v10.0

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	
Governance																												
Portfolio Level																												
Meetings																												
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
Key Documentation Review																												
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.
Key Documentation Approvals																												
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.
Assurance																												
Portfolio Level																												
Level 1 - Functional Assurance (Internal)																												
Technical, due diligence, data security and financial	Internal procedures	PoMO, AB	Oct-20																									Annual review to ensure fit for purpose
Level 2 - Independent																												
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		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
Approvals																												
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
Consequential Assurance																												
OGC Gateway Process	Gate 0 Programme Strategic Assessment	PoMO, SRO, PB, JC	Oct-20				x		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
Level 3 - Audit																												
External Audit	Audit	AB, PoMO	Oct-20				x	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