Swansea Bay City Region Joint Committee - 10 November 2022

Portfolio Gateway Assurance Arrangements

Purpose:	To seek Joint Committee approval for the SBCD Assurance Framework detailing the assurance arrangements for the Portfolio and its constituent programmes and projects
Policy Framework:	Swansea Bay City Deal (SBCD) Joint Committee Agreement (JCA)
Consultation:	Senior Responsible Owners Project Leads Welsh and UK Government
Recommendation(s):	It is recommended that Joint Committee:
1)	Approves the SBCD Assurance Framework attached at Appendix A and associated Terms of Reference attached at Appendix B
Report Author:	Ian Williams, SBCD Portfolio Development Manager
Financial Officer:	Chris Moore (SEC151 Officer)
Legal Officer:	Tracey Meredith (Monitoring Officer)

1. Introduction

1.1   The application of independent assurance arrangements are an essential and integral part of ensuring successful delivery of programmes and projects, and the realisation of their benefits. Due to the high value, risk rating, complexity and the number of discrete project elements within the SBCD portfolio, a number of issues arise in developing assurance arrangements that are effective and practical, particularly with respect to cost, resource and timing.

1.2   A series of meetings and workshops were held between the PoMO and officers from the Welsh Government Integrated Assurance Hub (WG IAH) to develop the approach to assurance of the SBCD portfolio.

1.3   The approach and direction of travel for the portfolio assurance arrangements was agreed by Programme (Portfolio) Board on 30th November which was to be formalised

through the development of a SBCD Assurance Framework. Following further consultation with UK and Welsh Governments, SROs and Project Leads, the Framework was presented to, and approved by, Programme (Portfolio) Board on 1st March 2022. However, following this, the new Welsh Government Head of Office for Project Delivery requested a review of the framework and a subsequent revision of the proposed arrangements within the framework. This has now been undertaken and the attached SBCD Assurance Framework has been endorsed by Welsh Government as representing an effective and workable approach to the assurance of the SBCD portfolio.

2. SBCD Assurance Framework

2.1 The revised SBCD Assurance Framework is attached at Appendix A. The main changes to the previous version of the framework are as follows:

- The proposal to develop a regional assurance hub has been removed
- Emphasis on the Risk Potential Assessment (RPA) form in the initiation and assessment of reviews
- Business cases updates prior to review emphasised in the process

2.2 The revised framework has been produced jointly by the SBCD PoMO and WG IAH and describes the arrangements for the SBCD Portfolio which are aligned to best practice, and are proportionate, practicable and fit for purpose.

2.3 The purpose of this document is to provide a framework for the management, resourcing and governance of Gateway assurance arrangements for the SBCD Portfolio and its constituent programmes, projects and workstreams. The framework provides clarity for programme and project Senior Responsible Owners (SROs) and their teams, Welsh and UK governments and partner organisations on the assurance arrangements that will apply to the programmes and projects within the SBCD portfolio.

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

2.5 Consultation on the framework has been undertaken with SROs and programme / project leads and the WG / UKG City and Growth Deal leads.

2.6 The proposed arrangements for independent assurance are shown below.

Level	Assurance Arrangements
Level 1: Portfolio (1)	Gateway 0 – annual review
Level 2: Headline Programme and Project Business Cases (9)	Gateway 0 / Gateways 1-5 / PARs – periodic reviews (scheduled in IAAP) with the option of undertaking Gateway 1-5 to incorporate key decision points of component projects and workstreams

Level 3: Projects and Workstreams (35)	Gateway 1-5 / PARs for high risk / value projects to be undertaken at agreed decision points based on an assessment of the Risk Potential Assessment (RPA) form for the headline programme / project

2.7 Oversight of the development and implementation of the SBCD Assurance Framework will be undertaken by the Joint SBCDWG/UKG Assurance Panel. The Panel will be chaired by Welsh Government Head of Integrated Assurance with representation from the SBCD PoMO, the Welsh Government and UK Government leads for Welsh City and Growth Deals. Terms of reference of the panel are attached at Appendix B.

Endorsed by Programme (Portfolio) Board 27th September 2022

3. Financial Implications

3.1 There are no financial implications associated with this report.

4. Legal Implications

4.1 There are no legal implications associated with this report.

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. The proposal would contribute directly to the Act and the well-being by promoting the successful delivery of programmes and projects.

Background papers: None

Appendices:
Appendix A: SBCD Assurance Framework v2.3
Appendix B: Terms of Reference – Assurance Panel