Swansea Bay City Deal

Change Control Procedure

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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 or finance;
- 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.

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

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	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. 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: • Justifiable, acceptable and should proceed for approval. • 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. • Agree a realistic timeline of when a decision is required.	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	The CAB convenes and: • Ratifies the decision to proceed (if required) • Agrees an appropriate level of approval (if above PB) within the threshold levels agreed.		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

	followed – if required an ad hoc PB can be called to agree change: • PB determine suitability of resolution presented and approve change. • 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. • The project or programme team can now implement the change into their programme. • Update issue log and risk register as required and continually review change and impacts until complete.		
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 the portfolio board then the following steps must be followed – if required an ad hoc PB can be called to agree change: • Review and amend resolution as required • Approve • If the change is not approved then either rejection or amendment must be considered. If amendment is required then review and amend as required. • If rejection follow the general point at the end of this process. • Advise Joint Committee / WG / UKG of the change • The project or programme team can now implement the change into their programme. • Update issue log and risk register as required and continually review change and impacts until complete.	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: • Review and amend resolution as required • Approve • If the change is not approved then either rejection or amendment must be considered. If amendment is required then review and amend as required. • If rejection follow the general point at the end of this process. • Advise WG / UKG of the change • The project or programme team can now implement the change into their programme. • Update issue log and risk register as required and continually review change and impacts until complete.	Within 7 days of Portfolio Board	Joint Committee

5.8	If the Approval level for the change is Welsh or UK Government then the following steps must be followed: • Review and amend resolution as required • Approve • If the change is not approved then either rejection or amendment must be considered. If amendment is required then review and amend as required. • If rejection follow the general point at the end of this process. • The project or programme team can now implement the change into their programme. • Update issue log and risk register as required and continually review change and impacts until complete.	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
ADVISE WELSH/UK GOVERNMENT OF LIKELY CHANGE / REVIEW REQUIREMENTS		
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

Below is a Gantt chart showing the potential timeline for approval of changes that require approval outside of the individual project / programme and potentially requiring Welsh/UK government approval if they impact the overall Portfolio objectives.

Item	Duration	Cumul.	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40	41	42	43	44	45	46	47	48	49	50	51	52	53	54	55	56	57
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N.B – It is envisaged that the majority of changes will be approved at a project/programme level and that most will be approved in less than 30 days. The above timeline outlines an anticipated maximum duration for the approval of significant, complex change.

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"

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 fo

- 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.