Bargen Ddinesig BAE ABERTAWE 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 04/01/2021										
SRO Name Programme/Project Manager	Wendy Walters Jonathan Burnes Portfolio Manager Jonathan Burnes										
RPA - date submitted to IAH WG Major Programme/Project Portfolio	RPA - Outcome IAH Ref										
Guidance An Integrated Assurance and Approvals Plan is a tool to plan assura Each programme and Programme/Project should have an IAAP that	nce and approval points from discovery to the final stage of delivery of the Programme/Project lifecycle. covers independent assurance reviews.										
	that the assurance provision is both proportionate and meets the needs of all those parties requiring an assurance. It should rance 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 itsel Organisation and 3rd Line Assurance, which refers to assurance or s	through its governance. The IAAP covers 2nd Line Assurance, which refers to independent assurance provided within the crutiny provided by external organisations.										
	ance Strategy and is a living document. It should be periodically reviewed and updated and if appropriate, after each assurance roject. The IAAP should be maintained until the Programme/Project is closed and delivery responsibility passes to the										
The IAH offer support in the completion of the IAAP tailoring it to su	it the specific needs of the Programme/Project.										
The Risk Potential Assessment should be completed as soon as poss reviews in time to keep the initiative on track.	ible in consultation with the IAH (assurance@gov.wales) so that they can consider how to advise on the necessary assurance										

AAP - Assurance of Action Plan AB - Accountable Body CFR - Critical Friend Review ESB - Economic Strategy Board IA - Internal Audit IAH - Integrated Assurance Hub NAO - National Audit Office OGC Gateway (0 to 5) PAC - Public Accounts Committee PAR - Programme/Project Assessment Review PB - Programme Board WCGIB - Welsh City & Growth Implementation Board PMO - Programme Management Office PoMO - Portfolio Management Office Proc - Procurement PVR - Programme/Project Validation Review RPA - Risk Potential Assessment SRO - Senior Responsible Owner AW- Audit Wales BC- Business case PLA - Project Lead Authority or organisation PBC - Portfolio Business Case

Glossary

Bargen Ddinesig Bargen Ddinesig Safer Bary City Deal	Swansea Bay City Deal Portfolio Level Integrated Assurance and Approval Pl	an v10.0																					
Assurance / approval / Reporting	Activity/Product	Primary client	Last review date	Apr	May Jun	IP.	202	0/202	1 100 100	Dec	Jan	Mar	Apr	May	lun	Ρ	202 5m/	1/20: dg	200	Dec	Jan	Feb	Comments
overnance ortfolio Level	•			_				_		_				_	_	_	_	_	_		_		
feetings								_		_			_			_		_			_		
pint Committee	Meetings	SRO, JC, PoMO	Jan-21	П	×	×	Г	x	×	x	x ı	(x	×	x	x	x		x	x x	×	x	×	Monthly meeting. August recess.
rogramme Board	Meetings	SRO, PB, PoMO	Jan-21		x x	×	Г	x	×	x	x ı	(x	x	x	x	x			xx				
conomic Strategy Board	Meetings	SRO, ESB, PoMO	Jan-21		×	x	×	x	××	x	X I	(X	x	x	x	x			xx	×			Monthly meeting
oint Scrutiny Committee	Meetings	SRO, JSC, PoMO	Jan-21			×			×	×	1		×		x		x		×	×		×	Meetings every two months. Decmber 20 meeting cancelled.
Regional S151 officers VG/UKG/PMO briefing	Meetings Meetings	AB, PoMO SRO, PoMO, WG, UKG	Jan-21 Jan-21	x	x x	×	×	x	x x x	x	1 X 1	X	x	x	x	x	x	x	x x	x	x	x)	Quarterly meeting Monthly meetings
BCD/WG PMO briefing	Meetings	SRO, PoMO, WG	Jan-21 Jan-21	x	x x	x	×	x	x x	x	X 1	X											
PoMO Team PoMO/Project Leads	Meetings	SRO, PoMO PoMO, Project Leads	Jan-21		×	×	x	x	x x			(X	x	x	x	x	x	x	xx	x	x	x	Fortnightly meetings
rocurement Workshops with Prog / Proj Leads	Meetings	PoMO, Prog / Proj Leads	Jan-21							x	x												Meetings with all Prog / Proj Leads to be end of January
/LGA Regional City Deal Directors ey Documentation Review	Meetings	SRO, WLGA, WG	Jan-21	×	×		×		×	×	,	-	х		x		x		x	x		x	Meetings every two months
ntregrated Assurance & Approval Plan	Live document. Part of Quarterly Report	SRO, PB, PoMO, JC	Jan-21	П	×	Т	Т	П	×	П	x	Т	×	Г		x		П	×	Т	x	Т	June 2020 approval at JC. IAAP review of
ortfolio Business Case	Live document	SRO PR PMO JC	Oct.20	\vdash	×	.	+	x	+	H	+			⊢				H	+	+	H	+	quarter. Update to be given via quarterly June/July 2020 review at PB and JC. AD
ortfolio Business Case	Live document	SRD, PB, PoMO, JC	Oct-20		×	×		×	×		x	×										\perp	recommendations being implemented by January. Next Iteration of BC due end of PoMO progressing recommendations. W
OR Report	Live document. Part of Quarterly Report	SRO, PB, PoMO, JC, WCGIB	Jan-21						×	×	x 1	۰×											meetings held to provide updates within I Meetings with WUK Government by exc
nolementation Plan	Live document	SRO, PoMO, PB, JC, JSC	Oct-20	H	×	×	+	H	+	H	+	+	F		x	x			+	t		+	June/July 2020 approval at PB & JC. And review of Implementation Plan
ortfolio Issues Log	Live document	SRO, PoMO, PB, JC, JSC SRO, PoMO, PB, JC, JSC	Jan-21	\vdash	×	-	+	H		H	1	+		+	Ĥ	x	Н	H	+	+	×	+	Review of Implementation Plan Quarterly to PB / JC / JSC for review.
ununu aauta Lug	Line wordinging		Jam-21	\vdash	×	*	+	\mathbb{H}	1	\vdash	^	+	×	-	\square	*	\vdash	\vdash	*	+	*	+	
ortfolio Risk Register	Live document. Part of Quarterly Report	SRO, PoMO, PB, JC, JSC	Jan-21		×	×			×		×		×			x			×		×		Risk management strategy presented at November 2020 and signed off at JC Nor 2020.
l & E plan	Live document	SRO, PoMO	Oct-20		×	x	Γ				* 1					×	x						Monthly highlight reports in place from O Quarterly monitoring reports planned from 2020. Annual performance reports also p M&E Plan to be reviewed Jan / Feb 2021
iahlight Report	Live document	PoMO, JC, PB	Dec-20	+	+	+	+	H	+	H	+	+	-	x		-	x	+	+	1.	+	x)	Key prog / proj activity and risks presente
ngringris Keport	Live occurrent	PoMO, JC, PB	Lec-20	\square		+	-	*	×	×	1	• *		Ľ	*		×	×	×	×	\square	× '	
Quarterly Monitoring Report	Live document. Part of Quarterly Report	PoMO, JC, PB	Jan-21						×		×		×			x			×		x		monthly to JC and PB Key achievements last 3 months, activity next 3 months, also includes appendicier Portolio Risk Register, Covid Impact Assessment, AOR progress, Financial Ar Community Benefits,
nnual Report	Live document	PoMO, JC, PB										x	×										Annual report will document the las12 m achievements and progress and provide overview of future key milestones to be o
ovid-19 Impact Assessment	Live document. Part of Quarterly Report	SRO, PoMO	Jan-21		×	x			x		×		×			x			x		x		Forms part of quarterly monitoring report introduced October 2020. Summary pres PB / JC / JSC October 2020.
ey Documentation Approvals					_		-	_	-		-	-	-	-	_	_			-			-	June 2020 approval at JC / Approval eve
ntregrated Assurance & Approval Plan	Live document	SRO, PB, PoMO, JC	Jan-21		×			Ш			x		×			×			×		x		months
Portfolio Business Case	Live document	SRO, PB, PoMO, JC, WCGIB	Oct-20		×	×		x	x		x	×								×	x		AORrecommendations progressing Dec Next iteration due March 2021. Approval
molementation Plan	Live document	SRO. PoMO. PB. JC. JSC	Oct-20	\square	_	+	+	H	+		+			-		_		\square	+			+	from both WCGIB & JC
	Live document	SRO, PoMO, PB, JC, JSC	Oct-20	\square		×	+	\square	+	\square	_	+		-		×			+			+	needed Wilform part of quarteries monitoring res
ortfolio Issues Log	Live document	SRO, PoMO, PB, JC, JSC	Jan-21		×	×			×		x		×			×			×		×		Wilform part of quarteries monitoring rep presented to JC / JSC / PB. Next report of January 2021.
fortfolio Risk Register	Live document	SRO, PoMO, PB, JC, JSC	Jan-21		×	x			x		x		×			x			x		x		Quarterly to JC / PB JSC in line with Issu Risk management strategy presented at November 2020 and signed off at JC Nor 2020.
/ & E plan	Live document	SRO, PoMO	Oct-20		×	×					* 1					x	x						Monthly highlight reports in place from O Quarterly monitoring reports planned froe 2020. Annual performance reports also p M&E Plan to be reviewed Jan / Feb 2021
lighlight Report	Live document	PoMO, JC, PB	Dec-20	\vdash	+	+	+	H	+	H	+	+		+		-	x	+	+	+		+	
egnight Report	Live document	POMO, JC, PB	Dec-20	\square	_	-	+	×	×	×	,	(X		Ľ	×		×	×	×	. ×		×)	monthly to JC and PB
Quarterly Monitoring Report	Live document. Part of Quarterly Report	PoMO, JC, PB	Jan-21						×		x		x			x			×		x		Key prog / proj activity and risks presente monthly to JC and PB Key achievements last 3 months, activity next 3 morths, also includes appendicien Portfolio Risk Register, Covid Impact Assessment, AOR progress, Financial Al Community Benefits.
innual Report	Live document								T			x	×										Annual report will document the las12 mi achievements and progress and provide overview of future key milestones to be o
									+	H	+	+	ŀ	-					+	T	Π	1	Updated assessments submitted to PB 0 and JC in Nov 2020. Will form part of new quarterley report January 2021.
unnuai Heport Zovid-19 Impact Assessment	Live document	SRO, PoMO	Jan-21		×				×		×		×			x			×		×	- L	
	Live document	SRO, PoMO	Jan-21		×				×		×		×			×			×		×	_	
ovid-19 Impact Assessment ssurance ottfolio Level	Live document	SRO, PoMO	Jan-21		×				*		x		×			×			×		×		
ovid-19 Impact Assessment ssurance ortfolio Level					×				×		×		×			×			×				Annual mainer in according to the
iovid-19 impact Assessment Issurance Grotfolio Level	Live document	SRO, PoMO PoMO, AB	Jan-21 Oct-20		×				×		×		×			×			×	I			Annual review to ensure fit for purpose
ovi6-19 Impact Assessment ssurance vvi6 1- Functional Assurance (Internal) evvi6 1- Runcifonal Assurance (Internal) evvi6 1- Independent					x				×		×					×			×				Annual review to ensure fit for purpose SRO appointment in June 2020. RPA su
vvd 19 Impact Assessment surrance Triflo Lavel Vvd 1 - Functional Assumance (Internal) chricital, dura dilgone, data security and anceal anceal CC Saleway Process	Internal procedures	PoMO, AB	Oct-20		x	x		x	x		×		×			x			×				SRO appointment in June 2020. RPA su
ovid-19 Impad Assessment Assesse and T- Turchool Assurance (Internal) controls. Level and T- Turchool Assurance (Internal) controls. due of grows (Assessing and COC Galeway Process DOC Galeway Process Cocounting Officer Review (AOR)	Internal procedures	PoMO, AB SRO, PB, PoMO	Oct-20 Oct-20		x	×		x	x				×			*			x				SRO appointment in June 2020. RPA su Review from July 15 to July 17 2020. Re JC / PB guarterly. PoMO implementing
2vvis 19 Impact Assessment sectors sec	Internal procedures Real Potential Assessment Calle 0 Programe Brategic Assessment AOR	PoMO, AB SRO, PB, PoMO SRO, PB, PoMO, JC SRO, PB, PoMO, JC, WCGIB	Oct-20 Oct-20 Oct-20 Oct-20			x		x	x							×			x				SRO appointment in June 2020. RPA su Review from July 15 to July 17 2020. Re JC I PB quarterly. PAMO implementing recommendations Portfolio Business Case (PBC) subject to AOR is an annual review in line with PBC PBC is part of core documentation assessment prior to funding approval
vici 19 Impact Assessment sammo Infinite Care Infinite Care Infinite Infinite Care Infinite Care Infinit	Internal procedures Reix Potential Assessment Gate O Programme Brategic Assessment	PoMO, AB SRO, PB, PoMO SRO, PB, PoMO, JC SRO, PB, PoMO, JC	Oct-20 Oct-20 Oct-20			×		x	x	×	×					×			×				SRO appointment in June 2020. RPA su Review from July 15 to July 17 2020. Re JC I PB quarterly. PAMO implementing recommendations Portfolio Business Case (PBC) subject to AOR is an annual review in line with PBC PBC is part of core documentation assessment prior to funding approval
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2vvis 19 Impact Assessment sectors sec	Internal procedures Real Potential Assessment Calle 0 Programe Brategic Assessment AOR	PoMO, AB SRO, PB, PoMO SRO, PB, PoMO, JC SRO, PB, PoMO, JC, WCGIB	Oct-20 Oct-20 Oct-20 Oct-20			x		x								x			×				BPO appointment in June 2020. RPA su Review from July 19 July 17 2020. Re C/ FIB guidately 17 2020. Re C/ FIB guidately 17 2020. Re Point Photo Implementing Review Indexes Case, RPAD anglementing Review Indexes Case, RPAD anglementing Review Review Indexes MPE Review Review Indexes MPE Review Review Indexes MPE Review Review Indexes MPE Review Review Indexes Review Review Indexes Review Review Indexes Review Report IJ. 27 FIB guidates, PAB Review Report IJ. 27 FIB guidates, PAB
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ovid-19 Impad Assessment Section Sector Sect	Internal procedures Real Protectial Assessment Cade 0 Programme Strategic Assessment ACR ACR Cade 0 Programme Strategic Assessment Mastings	PoMO, AB SRO, PB, PoMO, JC SRO, PB, PoMO, JC SRO, PB, PoMO, JC WCOB SRO, PB, PoMO, JC, WCOB PoMO, SRO, PB, JC PoMO	Oct-20 Oct-20 Oct-20 Oct-20 Oct-20 Oct-20 Oct-20 Oct-20 Oct-20					x		×						×							Orio appointment III. June 2003 RPA au Reven than July 15: buly 17:2000 RPA (2) Fill guarders (June) optimizeting accommendations III. Optimizeting and account in a second accommendations Reven many to Ling account in a second account of the account is a second account
ovid 19 Impact Assessment secure 2	Internal procedures Reak Potential Assessment Gale O Programme Brategic Assessment AOR ADR Celle O Programme Brategic Assessment	PoMO, AB SRO, PE, POMO SRO, PE, POMO, JC SRO, PE, POMO, JC, WCOIS SRO, PE, POMO, JC, WCOIS POMO, SRO, PE, JC	Oct-20 Oct-20 Oct-20 Oct-20 Dec-20																				Orio apportment III. Anna 2020. RPA aut Reserve torus My 15 to July 17 2000. RPA Composition (Composition) (Composition) tecommentations