

Name of Portfolio		Swansea Bay City Region Deal	
Version Number	8	Last Updated	04/01/2021
SRO Name	Wendy Walters	Portfolio Manager	Jonathan Burnes
Programme/Project Manager	Jonathan Burnes	RPA - date submitted to IAH	
RPA - date submitted to IAH		RPA - Outcome	
WG Major Programme/Project Portfolio		IAH Ref	

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
OGC 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	

Bargain Odlings SWANSEA BAY City Deal		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		
Governance																												
Portfolio Level																												
Meetings																												
Joint Committee	Meetings	SRD, 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	SRD, 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	SRD, ESBL, 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	SRD, JSC, 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	Meetings every two months, December 2020 meeting cancelled	
Regional S151 officers	Meetings	AB, 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	Quarterly meeting	
WGLA/KGPMO briefing	Meetings	SRD, PoMo, WGL, 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	
SBC/DWV PMO briefing	Meetings	SRD, PoMo, WGL	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	SRD, 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	x	Fortnightly meetings	
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	SRD, WGLA, WGL	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	Meetings every two months	
Key Documentation Review																												
Integrated Assurance & Approval Plan	Live document, Part of Quarterly Report	SRD, PB, PoMo, JC	Jan-21			x		x		x		x		x		x		x		x		x		x		x	June 2020 approval at JC. IAAP review every quarter. Update to be given in quarter JULY/AUG 2020 review at PB SRD, JC, PoMo recommendations being implemented by end of January. Next iteration of IAAAP due end of March. PoMo progressing recommendations. Weekly meetings held to provide updates within PoMo.	
Portfolio Business Case	Live document	SRD, PB, PoMo, JC	Oct-20			x		x		x		x		x		x		x		x		x		x		x	June/July 2020 approval at PB & JC. Annual review of Implementation Plan	
ADR Report	Live document, Part of Quarterly Report	SRD, PB, PoMo, JC, WCGIB	Jan-21							x		x		x		x		x		x		x		x		x	Meetings held to provide updates within PoMo.	
Implementation Plan	Live document	SRD, 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	SRD, PoMo, PB, JC, JSC	Jan-21			x		x		x		x		x		x		x		x		x		x		x	Quarterly to PB / JC / JSC for review.	
Portfolio Risk Register	Live document, Part of Quarterly Report	SRD, PoMo, PB, JC, JSC	Jan-21			x		x		x		x		x		x		x		x		x		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	SRD, PoMo	Oct-20			x		x		x		x		x		x		x		x		x		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					x		x		x		x		x		x		x		x		x		x	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					x		x		x		x		x		x		x		x		x		x	Key achievements last 3 months, activity planned next 3 months, also includes appendices: IAAP, Portfolio Risk Register, Covid Impact Assessment, ADR 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	SRD, PoMo	Jan-21			x		x		x		x		x		x		x		x		x		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	SRD, PB, PoMo, JC	Jan-21			x		x		x		x		x		x		x		x		x		x		x	June 2020 approval at JC / Approval every 6 months	
Portfolio Business Case	Live document	SRD, PB, PoMo, JC, WCGIB	Oct-20			x		x		x		x		x		x		x		x		x		x		x	ADR recommendations progressing Dec 2020. Next iteration due March 2021. Approval needed from both WCGIB & JC	
Implementation Plan	Live document	SRD, PoMo, PB, JC, JSC	Oct-20			x		x																			July 2020 approval at JC / Annual approval needed	
Portfolio Issues Log	Live document	SRD, PoMo, PB, JC, JSC	Jan-21			x		x		x		x		x		x		x		x		x		x		x	Willform part of quarterly monitoring report presented to JC / JSC / PB. Next report due January 2021	
Portfolio Risk Register	Live document	SRD, PoMo, PB, JC, JSC	Jan-21			x		x		x		x		x		x		x		x		x		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	SRD, PoMo	Oct-20			x		x		x		x		x		x		x		x		x		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					x		x		x		x		x		x		x		x		x		x	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					x		x		x		x		x		x		x		x		x		x	Key achievements last 3 months, activity planned next 3 months, also includes appendices: IAAP, Portfolio Risk Register, Covid Impact Assessment, ADR 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	SRD, PoMo	Jan-21			x		x		x		x		x		x		x		x		x		x		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	SRD, PB, PoMo	Oct-20			x																					SRD appointment in June 2020. RPA submitted	
OGC Gateway Process	Gate 0 Programme Strategic Assessment	SRD, 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)	ADR	SRD, PB, PoMo, JC, WCGIB	Oct-20							x		x															Portfolio Business Case (PRC) subject to AOR. AOR is an annual review in line with PRC update. PRC is part of core documentation for annual assessment prior to funding approval.	
Approvals																												
Approval point for ADR review	ADR	SRD, 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, SRD, PB, JC	Oct-20					x		x																	Review report to JC / PB quarterly. PoMo implementing recommendations	
Critical Friend Review	Meetings	PoMo	Oct-20																								The 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					x		x																	Perforative Council Internal Audit. PB report in Sep 2020. Report due for JC consideration in Nov 2020.	