



## Swansea Bay City Deal Portfolio Level Integrated Assurance and Approval Plan

Assurance / approval / Reporting	Activity/Product	Primary client	2020/2021				2021/2022				2022/2023				2023/2024				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	
<b>Governance</b>																												
<b>Meetings</b>																												
Joint Committee	Meetings	SRO, JC, PoMO			x	x			x	x	x	x	x			x			x	x	x	x			x			Will move to bi-monthly after June 2022. No meetings during pre election period April/May 2022.
Programme Board	Meetings	SRO, PB, PoMO		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		x	x		x	x	x	x	x	x	x			x	x	x	x	x	x			x	x	x	x	Bi-Monthly meeting
Joint Scrutiny Committee	Meetings	SRO, JSC, PoMO			x				x							x			x							x		Meetings every two months. No meetings in pre election period April / May
Regional Section 151 Officers	Meetings	AB, PoMO			x				x							x			x							x		Quarterly meeting
WG/UKG/PoMO briefing	Meetings	SRO, PoMO, WG, UKG	x	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
PoMO Team	Meetings	SRO, PoMO	x	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
PoMO/Project Leads	Meetings	PoMO, Project Leads	x	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
WLG Regional City Deal Directors	Meetings	SRO, WLG, WG	x	x			x	x			x	x			x	x			x	x			x	x			x	Meetings every two months
<b>Strategies, Policies, Processes and Plans</b>																												
Portfolio Business Case	Strategy	PoMO, SRO, PB, JC, WCGIB			x																x	x	x					Originally approved by JC in March 2021. Annual update schedule between Dec and March each year. Led by PoMO, updates, consultation and approval by PB and JC prior to submission to WCGIB.
Monitoring and Evaluation Plan	Strategy	SRO, PoMO		x	x																						x	Reviewed, updated and approved in line with Portfolio Business Case update and approval
Risk and Issue Strategy	Strategy	JC, PB, JSC, PoMO																			x	x						Reviewed, updated and approved in line with Portfolio Business Case update and approval
Change Management	Process	JC, PB, JSC, PoMO																			x	x						Reviewed, updated and approved in line with Portfolio Business Case update and approval
Communications and Marketing Plan	Plan	JC, PB, JSC, PoMO																			x	x						Reviewed, updated and approved in line with Portfolio Business Case update and approval
Gateway Assurance Framework	Process	JC, PB, JSC, PoMO																									x	Approved by PB in Feb-22. Awaiting further work with UKG and WG on feedback prior to JC approval.
Anti-Fraud and Anti-Corruption Strategy	Strategy	JC, PB, JSC, PoMO																			x							Review annually in Sept of each year and approved via governance boards if required
Welsh Language Guidance	Process	JC, PB, JSC, PoMO																			x							Review annually in Sept of each year and approved via governance boards if required
Meeting Protocol	Process	JC, PB, JSC, PoMO																									x	Review annually in Sept of each year and approved via governance boards if required
<b>Reporting</b>																												
Highlight Report	Monthly	SRO, PoMO, PB, JC, ESB, JSC	x	x		x	x		x	x		x	x		x	x		x	x		x	x		x	x		x	Monthly report summarising achievement, plans and risks/issues. No reporting during Quarterly report month
Quarterly Monitoring Reports	Quarterly Report	SRO, PoMO, PB, JC, ESB, JSC			x				x			x			x			x			x			x			x	Quarterly monitoring report collated by PoMO and reported through PB, JC, JSC
Integrated Assurance & Approval Plan	Quarterly Report	SRO, PoMO, PB, JC, JSC			x				x			x			x			x			x			x			x	Quarterly monitoring report collated by PoMO and reported through PB, JC, JSC
Issues Log	Quarterly Report	SRO, PoMO, PB, JC, ESB, JSC		x	x		x		x		x		x		x		x		x		x		x		x		x	Updated on a quarterly basis in line with Portfolio Risk Register and Covid Impact Assessment
Risk Register	Quarterly Report	SRO, PoMO, PB, JC, ESB, JSC		x	x		x		x		x		x		x		x		x		x		x		x		x	Part of Quarterly Monitoring Report
SBCD Dashboard	Quarterly Report	SRO, PoMO, PB, JC, ESB, JSC																										Part of Quarterly Monitoring Report
Benefits Register	Quarterly Report	SRO, PoMO, PB, JC, ESB, JSC																			x							Part of Quarterly Monitoring Report
Community Benefits	Quarterly Report	SRO, PoMO, PB, JC, ESB, JSC																			x							Part of Quarterly Monitoring Report
Financial Monitoring	Quarterly Report	SRO, PoMO, PB, JC, ESB, JSC			x				x			x			x			x			x			x			x	Part of Quarterly Monitoring Report
Procurement Pipeline	Quarterly Report	SRO, PoMO, PB, JC, ESB, JSC																			x							Part of Quarterly Monitoring Report
Construction Impact Assessment	Quarterly Report	SRO, PoMO, PB, JC, ESB, JSC																			x							Part of Quarterly Monitoring Report
Joint Committee Workplan	Quarterly Report	SRO, PoMO, PB, JC, ESB, JSC																									x	Updated every 6 months and taken through JC for approval
Gateway Review Action Plan	Quarterly Report	SRO, PoMO, PB, JC, ESB, JSC																									x	Gateway 0 recommendation report produced annually in July; approved through governance by Sept and progress reported on a quarterly basis
Regional Audit Action Plan	Quarterly Report	SRO, PoMO, PB, JC, ESB, JSC	x																								x	Audit recommendations provided in April of each year with Quarterly monitoring on progress against actions
Annual Report	Annual	SRO, PoMO, PB, JC, ESB, JSC	x	x	x																						x	Annual report detailing status and progress made over last 12 months across the Portfolio
<b>Assurance</b>																												
<b>Level 1 - Functional Assurance (Internal)</b>																												
Technical, due diligence, data security and financial	Internal procedures	PoMO																										Aligned to PoBC update and Gateway assurance process
<b>Level 2 - Independent</b>																												
OGC Gateway Process	Risk Potential Assessment	SRO, PB, PoMO			x																							SRO appointment in June 2020. RPA submitted
OGC Gateway Review Process	Stage Gate 0 Portfolio Strategic Assessment	SRO, PB, PoMO, JC			x																						x	Last Gateway Review completed July 2023 Amber / Green rating awarded. Next review mid July 2024
Accounting Officer Review (AOR)	Accounting Officer Review (AOR)	SRO, PB, PoMO, JC, WCGIB																										A one-off exercise to approve Portfolio business case in 2021. All AOR recommendations were completed.
<b>Level 3 - Audit</b>																												

External Audit	Annual Wales Audit Recommendation Report	AB, PoMO				x	x	x																																	Annual Wales led Audit recommendation report with approval at JC by Sept each year
Internal Audit	PCC Annual Audit Recommendation Report	AB, PoMO																																							Pembrokeshire Council led internal audit. Report due each year in March with approval at Programme Board in April. Submission to July JC





















SBCD Campuses Integrated Assurance and Approval Plan

Main data table with columns for Assurance / approval / Reporting, Activity/Product, Primary client, and a grid of monthly indicators for years 2020/2021 through 2024/2025. Includes sections for Governance, Meetings, Strategic Policies, Reporting, Assurance (Level 1-3), and Audit.

Assurance / approval / Reporting	Activity/Product
<b>Governance</b>	
<b>Meetings</b>	
HAPS Regional Project Board	Meeting
HAPS Regional Technical / Advisory group	Meeting
Neath Port Talbot Council - RSD	Council Meeting
SBCD Joint Committee	Meeting
SBCD Programme Board	Meeting
SBCD Economic Strategy Board	Meeting
SBCD JSC	Meeting
PoMO / Project Leads Team Meeting	Meeting
<b>Strategies, Policies, Processes and Plans</b>	
Project Business Case	Strategy
Project Implementation Plan	Plan
Monitoring & Evaluation Plan	Plan
Project Communications Strategy	Strategy
<b>Reporting</b>	
Highlight Report	Monthly Report
Project risk register	Bi Monthly Report
Project issues log	Bi Monthly Report
Quarterly Monitoring Report	Quarterly Report
Intregated Assurance & Approval Plan	Quarterly Report
Benefits Register	Quarterly Report
Community Benefits	Quarterly Report
Financial Monitoring	Quarterly Report
Procurement Pipeline	Quarterly Report
Construction Impact Assessment	Quarterly Report
<b>Assurance</b>	
<b>Level 1 - Functional Assurance (Internal)</b>	
Technical, due diligence, data security and financial	Internal procedures

<b>Level 2 - Independent</b>	
OGC Gateway Process	Risk Potential Assessment
OGC Gateway Process	Project Assessment Review (PAR)
OGC Gateway Process	Assurance of Action Plan (AAP)
OGC Gateway Process	Critical Friend Review (CFR)
OGC Gateway Process	Gate 0 Programme Strategic Assessment
OGC Gateway Process	Gate 1 Business Justification
OGC Gateway Process	Gate 2 Delivery Strategy
OGC Gateway Process	Gate 3 Investment Decision
OGC Gateway Process	Gate 4 Readiness for Service
OGC Gateway Process	Gate 5 Operations Review & Benefits
<b>Level 3 - Audit</b>	
External Audit	
Internal Audit	







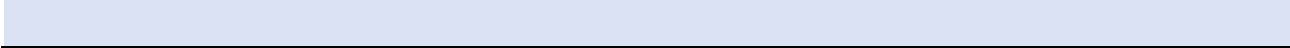


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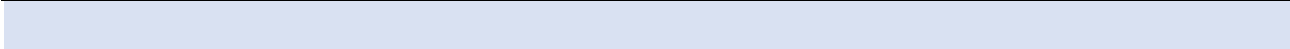
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		2022/2023											2023/2024															
Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun



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x	x		x	x		x	x		x	x		x	x		x	x		x	x		x	x		x	x		x	x
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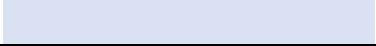




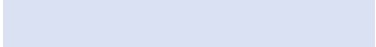


2024/2025

Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
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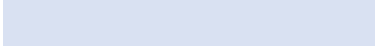
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x		x		x			x	
x	x	x	x	x	x	x	x	x
	x		x		x		x	
x		x		x		x		
x	x	x	x	x	x	x	x	x



		x			x			x
	x		x		x		x	
x			x			x		
x			x			x		



	x	x		x	x		x	x
	x		x		x		x	
x			x			x		
x			x			x		
x			x			x		
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x			x			x		
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x			x			x		
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		x			x			x
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**Comments**



Bi- Monthly meetings

To be established.

Monthly meetings

Bi monthly from June 2022

Monthly meetings

bi monthly meetings

bi monthly from June

Monthly meetings



OBC approved July 2021, will be revised and updated where appropriate on a six monthly basis

Regular review / update - internal project planning document

Regular review

Regular review



Monthly (highlight),apartfrom when Q Monitoring Report

Reviewed bi-monthly and updated if appropriate

Regular Review

Quarterly Report

Quarterly Report

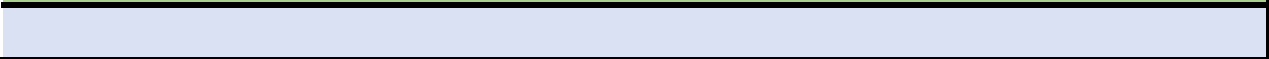
To review / monitor / update on a regular basis

regular review

regular review

regular review

regular review





Delivery Confidence Assessment (DCA) Amber rating - June-20.

PAR Review carried out July 22 - Amber/Red rating,

AAP of PAR carried out Nov 22 - Amber rating

TBC

Discussions to be held with SRO after PAR is held in July with regards to arranging future Gateway Reviews

TBC

Discussed with NPT Audit Team, awaiting schedule.

























Assurance / approval / Reporting	Activity/Product	Primary client	Apr	May
<b>Governance</b>				
<b>Meetings</b>				
SILCG Programme Board	Meeting	SRO, Partners, PoMO		
Project Working Group - BTC	Meeting	NPT, Partners	x	x
Project Working Group - SWITCH	Meeting	NPT,SU, Partners	x	x
Project Working Group - Decarb	Meeting	NPT, Partners	x	x
Project Working Group - AMPF	Meeting	NPT, Partners	x	x
Neath Port Talbot Council - RSD Board	Council Meeting	NPT	x	x
SBCD Joint Committee	Meeting	SRO, JC, PoMO		
SBCD Programme Board	Meeting	SRO, PB,PoMO		
SBCD Economic Strategy Board	Meeting	SRO,ESB.PoMO	x	x
SBCD Joint Scrutiny Committee	Meeting	SRO, JSC, PoMO		
PoMO / Project Leads Team Meeting	Meeting	PoMO, Project Leads	x	x
<b>Strategies, Policies, Processes and Plans</b>				
SILCG Programme Business Case	sine	SRO, SILCG PB, PoMO, PB, JC, JSC		
Programme Implementation Plan	Plan	SRO, SILCG PB, PoMO, PB, JC, JSC		
Monitoring & Evaluation Plan	Plan	SRO, SILCG PB, PoMO, PB, JC, JSC		
Programme Communications Strategy	Plan	SRO, SILCG PB, PoMO, PB, JC, JSC		
<b>Reporting</b>				
Highlight Report	Monthly Report	SRO, SILCG PB, PoMO, PB, JC, JSC, ESB		
Programme Risk Register	Regular Report	SRO, SILCG PB, PoMO, PB, JC, JSC		
Programme Issues Log	Regular Report	SRO, SILCG PB, PoMO, PB, JC, JSC		
Quarterly Monitoring Report	Quarterly Report	SRO, SILCG PB, PMO, PB, JC, JSC, ESB		
Intregrated Assurance & Approval Plan	Quarterly Report	SRO, SILCG PB, PoMO, ESB		
Benefits Register	Quarterly Report	SRO, SILCG PB, PoMO, PB, JC, JSC, ESB		
Community Benefits	Quarterly Report	SRO, SILCG PB, PoMO, PB, JC, JSC, ESB		

Financial Monitoring	Quarterly Report	SRO, SILCG PB, PoMO, PB, JC, JSC, ESB		
Procurement Pipeline	Quarterly Report	SRO, SILCG PB, PoMO, PB, JC, JSC, ESB		
Construction Impact Assessment	Quarterly Report	SRO, SILCG PB, PoMO, PB, JC, JSC, ESB		
<b>Assurance</b>				
<b>Level 1 - Functional Assurance (Internal)</b>				
Technical, due diligence, data security and financial	Internal procedures	SRO, SILCG PB, PoMO, PB, JC, JSC		
<b>Level 2 - Independent</b>				
OGC Gateway Process	Risk Potential Assessment	SRO, PB, PoMO		
OGC Gateway Process	Performance Assessment Review (PAR)	SRO, PB, PoMO, JC		
OGC Gateway Process	Critical Friend Review (CFR)	SRO, HAPS PB, PoMO, PB, JC, JSC		
OGC Gateway Process	Gate 0 Programme Strategic Assessment	SRO, PB, PoMO, JC		
OGC Gateway Process	Gate 1 Business Justification	SRO, PB, PoMO, JC		
OGC Gateway Process	Gate 2 Delivery Strategy	SRO,PB,PoMO, JC		
OGC Gateway Process	Gate 3 Investment Decision	SRO,PB,PoMO, JC		
OGC Gateway Process	Gate 4 Readiness for Service	SRO,PB,PoMO, JC		
OGC Gateway Process	Gate 5 Operations Review & Benefits	SRO,PB,PoMO, JC		
<b>Level 3 - Audit</b>				
External Audit		SRO, SILCG PB, PoMO, PB, JC, JSC		
Internal Audit		SRO, SILCG PB, PoMO, PB, JC, JSC		
Risk Critical Friends		SRO, SILCG PB, PoMO, PB, JC, JSC		









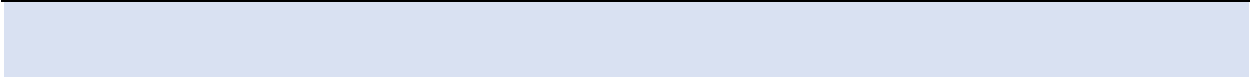
					2023/2024										2024/2025												
Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb



	x			x			x			x			x			x			x			x			x		
x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
		x	x	x	x	x	x	x	x	x	x			x	x	x	x	x	x	x	x	x			x	x	
x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x
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x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x



			x	x	x																						
x	x	x		x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	x	
	x			x			x	x			x		x						x	x			x		x		
	x			x			x				x		x						x				x		x		



x	x		x	x		x	x		x	x		x	x		x	x		x	x		x	x		x	x		x
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		x					x				x			x					x				x			x	
		x					x				x			x					x				x			x	





Comments		
Mar		
x	quarterly meetings	
x	Monthly meetings	
x	Monthly meetings	
x	Monthly meetings	
	Monthly meetings	
x	Monthly meetings	
	Monthly meetings, bi-monthly after June 2022	
x	Monthly meetings	
	Bi-monthly meetings	
	Monthly meetings	
x	Monthly meetings	
	PBC approved Aug 2021, update to PBC starting in 2024 with PB sign off scheduled at June 2024 meeting	
x	Regular review	
x	Regular review	
x	Regular review	
x	Monthly report apart from when Quarterly Monitoring	
x	Regular review	
x	Regular review	
	Quarterly review	
x	Regular review	
	Quarterly review	
	Quarterly review	

	Quarterly review	
	Quarterly review	
	Quarterly review	
x	To plan with NPT internal audit for 2022	
	Meeting with WG Jan 2022	
	DCA Amber rating - June-20.	
	Part of BC approval process. All recommendations complete	
	Assessment meeting with PoMO & WG Jan 2022. Gate 0 timed to co-incide with key decision points for projects. Provisional scheduling shown for 2023 - to be agreed following Sep 22 review.	
	Delivery Strategy for AMPF and PDF	
	Investment decision for SWITCH Sep 22. Investment decision for AMPF June 23	
	Review and benefits for Technology Centre	
	PAR to be arranged (Nov 2024)	
	Discussions held with NPT internal audit team to be held in October 2022	
	PoMO to advise	