

Annwyl Aelod,

## CYD-BWYLLGOR DINAS-RANBARTH BAE ABERTAWE - DYDD MAWRTH, 28AIN MAI, 2019

Yn anffodus, oherwydd problemau technegol, dim ond 2 dudalen o'r Gofrestr Risg a atgynhrywchwyd yn y pencyn agenda ar gyfer y cyfarfod uchod a gyhoeddwyd ddoe. Atodaf copi o'r Gofrestr Risg gyflawn mewn perthynas a'r eitem ganlynol ar yr agenda:-

Rhif ar yr Agenda	Eitem
-------------------	-------

- |    |   |
|----|---|
| 5. | <b><u>Y COFNOD MATERION PROSIECTAU A'R GOFRESTR RISG.</u></b> (Tudalennau 3 - 12) |
|----|---|

Yn gywir,

*Mark James*

Prif Weithredwr

Amg.



**Swansea Bay City Deal Programme Risk Register**

**Original Assessment:- MARCH 2018**

**Latest Review Date:- APRIL 2019**

**Summary - Immediate Risks**

This summary details the risks which pose the most pressing potential challenges to delivery of the City Deal Programme.

The summary provides a snapshot in time.

Full details of all programme risks are detailed in the individual tabs and should be considered alongside this summary

Risk Group	Risk Description	Category	Owner	Potential Consequence	Inherent Probability	Inherent Impact	Inherent Rank	Latest Review Date	Latest Update/Control of Actions	Current Probability	Current Impact	Current Rank
Developmental	Delay in approval of JCA	C6 C14	All	Unable to formally establish governance structures. Unable to draw down city deal funding. Unable to sign off project business cases. Risk of withdrawal of local authority / other partner from City Deal (see risks below)	3	5		15.Apr.19	Further to the findings and recommendations of the two SBCD reviews changes to the JCA will be required. The full scale and requirements of the changes are currently being assessed but will require approval by the Joint Committee, UK and Welsh Government and could require re-submission to the four Councils. This may delay approvals of forthcoming projects.	3	2	
Implementation	Slippage in delivery of programme	C6 C14	JC	City Deal doesn't achieve the outcomes intended within the timescales agreed. Borrowing and recouperation does not accurately reflect spend	4	4		15 Apr.19	Both independent and internal reviews have been completed and recommendations accepted by SBCD Joint Committee. Implementation of the recommendations will require changes to existing procedures and may result in delays in programme delivery and project approvals for tranche two projects if these cannot be achieved quickly. Programme Board tasked with developing an implementation plan against the recommendations which will provide clarity on timescales, interim arrangements and potential impacts on overall programme delivery.	4	3	
	Business case is not approved / project falls	C3 C11	RPAL / Delivery Lead	Project unable to proceed	3	5		15 Apr.19	Further to findings of the SBCD reviews a number of projects are currently under review and may be revised or substituted for an alternative scheme. This reflects recommendations of the SBCD reviews to increase flexibility of the programme. In addition outstanding issues around NNDR pose a significant threat to the Pembroke Dock Marine project in particular and if this continues to be unresolved the project may not be able to meet the required start date of their match funders of July 1st 2019. This may result in the project being unable to deliver certain elements as planned / at all. Control actions are as previous update.	3	4	
	Change in project scope pre-business case approval	C11 C6	Delivery lead	Project no longer requires same amount of funding. Project no longer achieves the necessary outcomes required for City Deal funding. Project is not approved and therefore unable to proceed / proceed as planned.	4	4		15 Apr.19	Change in scope of the Pembroke Dock Marine project has been approved by Joint Committee. Further to findings of the SBCD reviews a number of other projects are currently under review and may be revised or substituted for an alternative scheme. This reflects recommendations of the SBCD reviews to increase flexibility of the programme. Any changes in scope will following the agreed review process as detailed in the JCA. Control actions are as per previous update.	5	4	
	Delay in development of business plans	C11 C14	RPAL / Delivery Lead	Delay in project start. Depending on critical timescale could impact projects ability to deliver proposed outcomes. Potential knock on affect for other projects ability to deliver and achieve outcomes.	5	3		15 Apr.19	Two projects have been formally submitted for approval. Following a meeting of the Welsh Cities and Growth Implementation Board these business case are imminently due to be recommended to Ministers for approval in principle. A second tranche of projects for business case development was agreed by Joint Committee on 28th March 2019. Further to findings of the SBCD reviews a number of projects are currently under review and may be subject to changes which delay the development of associated business plans. Any changes in scope will following the agreed review process as detailed in the JCA.	3	3	
	Delay in approval of business plans	C11	PAL / RO / JC / Govs	Delay in project start. Depending on critical timescale could impact projects ability to deliver proposed outcomes. Potential knock on affect for other projects ability to deliver and achieve outcomes.	3	4		15 Apr.19	Further to findings of the SBCD reviews changes are required to the processes by which business cases are approved. Whilst this will not delay approval of tranche 1 projects it could potentially have an impact on the approval of future tranches of projects.	3	3	

	Withdrawal of Local Authority Partner	C3 C6 C11	JC	Potential for projects to fall as lack of funding / borrowing available from the project lead authority. Loss of funding for regional projects and regional support structures. Potential need to reduce scale of regional projects and / or withdraw scheme from local authority area. Unable to achieve outcomes of City Deal.	3	5		15.Apr.19	Following findings of SBCD Reviews NPT Council will review City Deal involvement over the next six months. All partners continue to work to address recommendations of the reviews. JCA signed by each LA which clearly sets out agreed provisions for such a scenario.	3	5	
Financial	Failure to identify / secure revenue funding	C3 C6 C11 C14	Accountable Body	Four projects, including one regional project, unable to proceed.	5	5			Awaiting Update			
	Failure to agree NNDR (rates retention) flexibility	C3	Accountable Body	Local authorities unable to borrow required for projects	4	5			Awaiting Update			
	Private sector funding contribution/s not in line with initial business case projections	C3	Delivery Lead	Overall impact of the City Deal not realised. Project cannot deliver full scheme. Project is unsustainable	5	5			Awaiting Update			
	EU match funding contributions not in line with initial business case projections	C3	Delivery Lead	Overall impact of the City Deal not realised. Project cannot deliver full scheme. Project is unsustainable	5	5			Awaiting Update			
	Timeframe for end of current EU funding programmes	C3	All	Unable to deliver full funding package at both project and programme level.	3	3			Awaiting Update			
	Failure to achieve full funding package	C3	All	Project potentially unable to delivery or to deliver full scale of anticipated project outcomes	3	5			Awaiting Update			

Swansea Bay City Deal Programme Risk Register

Development Risks

Original Assessment: March 2018 Latest Assessment:- 15th April 2019

Risk Description	Category	Owner	Potential Consequence	Inherent Probability	Inherent Impact	Inherent Rank	Control Actions	Revised Probability	Revised Impact	Revised Rank	Review Date	Review Update/Control Actions	Revised Probability	Revised Impact	Revised Rank	Review Date	Review Update/Control Actions	Revised Probability	Revised Impact	Revised Rank					
Delay in approval of JCA	C6 C14	All	Unable to formally establish governance structures. Unable to draw down city deal funding. Unable to sign off project business cases. Risk of withdrawal of local authority / other partner from City Deal (see risks below)	3	5	5	Local authority legal and financial working group established and meeting regularly with contractors to ensure agreement reflects requirements of all parties. Regular updates to Joint Committee and drafts regularly submitted to Joint Committee and Governments for review.	2	5	5	1.Oct.18	JCA formally approved by each of the four local authorities at meetings of the full Councils in June and July. JCA endorsed by JC at first formal meeting on 31st August 2018	1	1	1	01.Jan.19	As previous update	1	1	1	15.Apr.19	Further to the findings and recommendations of the two SBCD reviews changes to the JCA will be required. The full scale and requirements of the changes are currently being assessed but will require approval by the Joint Committee, UK and Welsh Government and could require re-submission to the four Councils. This may delay approvals of forthcoming projects.	3	2	5
Delay in approval of Implementation Plan	C6 C14	RO	Delay in overall mobilisation and delivery of City Deal programme and agreement of formal Joint Committee work programme.	3	3	3	IP drafted by RO. Review of draft versions IP by both Goves and speedy iterative process have enabled final version. IP on agenda for sign-off at first formal JC meeting anticipated end of Summer 18.	2	3	3	1.Oct.18	IP signed off in principle at the first JC on 31st August 2018. Final IP to be reviewed and endorsed by JC at next meeting following approval by UK and Welsh Government	1	1	1	01.Jan.19	IP signed off in principle at the first JC on 31st August 2018. IP will need to be reviewed in light of / following programme review due to be completed in Jan 2019.	5	4	4	15.Apr.19	Implementation Plan is due to be recommended to Ministers for approval. It has been agreed with UK and Welsh Government that the document will be a "live" document going forward and updated as project approvals are granted to reflect final business cases. Following Ministerial approval the JC will need to formally review and approve the Implementation Plan.	2	2	5
Delay in establishment of ESB	C14	JC / UKG & WG	Formal governance structure incomplete. Unable to begin formal review of business cases. Lost opportunity of private sector direct involvement to inform and assist in the wider economic development of the SBCD Region.	4	5	5	Recruitment process agreed with UK & Welsh Government. Early and frequent communication re: regional decisions / recommendations	3	5	5	1.Oct.18	ESB Chair and membership approved at first formal Joint Committee meeting on 31st August 2018. Introductory session held on 19th September to assist members in their new role. Future meeting dates for the next 12 months set in advance, with scheduled frequency of ESB meetings increased to a monthly basis (or more frequently as required) to establish momentum in anticipation of a number of business cases coming forward.	1	1	1	01.Jan.19	As previous update	1	1	1	15.Apr.19	This risk is no longer live and will be removed from future updates.	-	-	5
Competing priorities of partners	C6 C14	JC	City Deal issues are not considered a priority and therefore sufficient resources are not dedicated causing potential otherwise unnecessary delays in delivery or achievement of outcomes.	4	3	3	Ensure partners are engaged fully from the outset and that the benefits and potential opportunities of the City Deal partnership, and their involvement are clearly articulated. Ensure opportunities for open and honest dialogue regarding competing pressures. Establish support mechanisms to assist partners with competing priorities to allow them to be as involved as possible. Set up annual meeting schedule to enable effective time management for all partners. Provide regular electronic updates and briefings inbetween meetings on progress / key issues	2	2	2	1.Oct.18	Timetable of meetings for 2019 circulated August 2018 to allow partners to organise diaries in advance. Fortnightly updates circulated to all committee members. Nominated substitutes identified for Joint Committee to further enable organisations to be represented at all times.	2	1	1	01.Jan.19	As previous update	2	1	1	15.Apr.19	As per previous update	2	1	3
Stakeholders misunderstand the objectives / benefits / purpose of the City Deal	C13 C6	RO	Lack of support for City Deal. Disengagement due to confusion or lack of understanding. Support for City Deal but based on inaccurate understanding. Potential for negative media and social media coverage, undermining the City Deal brand and objectives	3	3	3	Employed dedicated communication and engagement officer to act as central point of contact for all City Deal related communications. Establish a communications group of key comms officers within all City Deal partner and project lead organisations to ensure consistency and up to date information. Provide regular updates to all partners or programme and project progress. Monitor tweets, press releases, articles etc relating to City Deal and ensure, where appropriate, a response is issued promptly. Regular proactive comms and marketing of the City Deal keeping stakeholders up to date with activities, coverage and outcomes.	2	3	3	1.Oct.18	SBCD Business Engagement Officer in post. SBCD Business Engagement Plan currently being drafted outlining opportunities, plans and indicative timescales for engagement with businesses. SBCD Communications Officer in post. Draft SBCD Communication Plan developed for consideration by governance structures including key messages, key stakeholder groups, opportunities, plans and timescales for engagement. Daily tweets, monitoring of news articles and responding to press enquiries. Representation at a number of public and business engagement events to raise awareness and spread consistent messages about the SBCD.	2	2	2	01.Jan.19	In addition to ongoing work included in previous update eight dedicated Business Engagement Sessions held throughout November 2018 and large Regional Regeneration event held in early December 2018 primarily targeting private sector businesses within the region to raise awareness of the City Deal and other opportunities within the Region.	2	2	2	15.Apr.19	Daily tweets, monitoring of news articles and responding to press enquiries. Representation at a number of public and business engagement events to raise awareness and spread consistent messages about the SBCD. Coordinated public communication in response to publication of two SBCD reviews. Public promotion of SBCD approvals of Yr Egin and Swansea City and Waterfront Digital District and anticipated Government approval of the schemes.	2	2	3

Swansea Bay City Deal Programme Risk Register

Implementation Risks

Original Assessment: March 2018 Latest Assessment: 15th April 2019

Risk Description	Category	Owner	Potential Consequence	Inherent	Inherent	Control Actions	Revised	Revised	Review Date	Review update	Revised	Revised	Review Date	Review Update/Control Actions	Revised	Revised	Review Date	Review Update/Control Actions	Revised	Revised
				Probability	Impact		Rank	Probability			Impact	Rank			Probability	Impact			Rank	Probability
Slippage in delivery of programme	C6 C14	JC	City Deal doesn't achieve the outcomes intended within the timescales agreed. Borrowing and recouperation does not accurately reflect spend	4	4	Establish robust monitoring and evaluation framework to ensure programme and project delivery remains within agreed timescales and to ensure that all targeted project outputs and outcomes will be achieved. Regional Team in place to undertake monitoring role. Accountable Body/Section 151 officers will undertake programme level financial profiling to ensure borrowing and distribution of City Deal funding is reflective of programme delivery.	3	3	1.Oct.18	Ongoing monitoring of programme and project delivery and of programme level financial profiling.	2	3	01.Jan.18	UK and WG independent review of the City Deal programme announced in December 2018 to be completed by end of January 2019. Corresponding internal review also to take place in January 2019 to provide assurance of the robustness of the Deal. It is impetive that these reviews are timely in order to prevent further delays in programme delivery and the region will work closely to support both reviews in order to ensure the City Deal achieves outcomes in a timely manner.	3	3	15 Apr.19	Both independent and internal reviews have been completed and recommendations accepted by SBCD Joint Committee. Implementation of the recommendations will require changes to existing procedures and may result in delays in programme delivery and project approvals for tranche two projects if these cannot be achieved quickly. Programme Board tasked with developing an implementation plan against the recommendations which will provide clarity on timescales, interim arrangements and potential impacts on overall programme delivery.	4	3
Delay in development of business plans	C11 C14	RPAL / Delivery Lead	Delay in project start. Depending on critical timescale could impact projects ability to deliver proposed outcomes. Potential knock on affect for other projects ability to deliver and achieve outcomes.	5	3	Iterative review of draft business cases. Open and frequent dialogue between delivery lead and regional project lead authority (RPAL).	4	3	1.Oct.18	Regional Team in place to co-ordinate submission of business cases by the Project Leads. Gantt Chart developed to assist in mapping out project development, submission and approval process timelines. Programme Board and ESB in place to oversee the development of business cases. Joint Committee Agreement in place which sets out agreed processes for deciding on any actions required	2	3	01.Jan.18	Two projects submitted for formal approval following sign off by City Deal Governance. Work to develop the other business cases continues.	2	3	15 Apr.19	Two projects have been formally submitted for approval. Following a meeting of the Welsh Cities and Growth Implementation Board these business case are imminently due to be recommended to Ministers for approval in principle. A second tranche of projects for business case development was agreed by Joint Committee on 28th March 2019. Further to findings of the SBCD reviews a number of projects are currently under review and may be subject to changes which delay the development of associated business plans. Any changes in scope will following the agreed review process as detailed in the JCA.	3	3
Delay in approval of business plans	C11	PAL / RO / JC / Goves	Delay in project start. Depending on critical timescale could impact projects ability to deliver proposed outcomes. Potential knock on affect for other projects ability to deliver and achieve outcomes.	3	4	Ensure JCA is completed and agreed. Identify robust regional review process / structure. Ensure project authority leads have early sight of relevant business cases. Iterative process with governments to enable them to review early drafts to minimise the amount of review required for final version. Develop and agreed process and timescale for final business case review with Governments.	2	4	1.Oct.18	JCA and governance structure formalised in August 18. Regional Project Authority Leads / Project Authority Leads will have early sight of relevant draft version business cases for comment/feedback. Iterative process with governments for review of draft business cases in place. Agreement of submission process and timescales for review of final business plans with both governments.	2	3	01.Jan.18	Forward work programme for Joint Committee approved in Dec 18. Pending the outcome of UK and Welsh Government independent review and SBCD internal review in January 2019 the forward work programmes for SBCD committees may need to be reviewed including timescales for approving business plans although work will continue to develop business cases as the reviews are undertaken. The region will work closely to support both reviews in order to ensure timely approval of project business cases can still be obtained.	3	3	15 Apr.19	Further to findings of the SBCD reviews changes are required to the processes by which business cases are approved. Whilst this will not delay approval of tranche 1 projects it could potentially have an impact on the approval of future tranches of projects.	3	3
Business case is not approved / project falls	C3 C11	RPAL / Delivery Lead	Project unable to proceed	3	5	Ensure regional project authority lead is fully involved in the development of the business case and has early sight of relevant business cases. Provide Councils with project briefings where appropriate.	2	5	1.Oct.18	Iterative business case review process. Open and regular dialogue between Accountable Body, RO, Project Delivery Lead and Project Lead. Early identification of potential trigger points and any potential mitigating/rectifying actions. If irreconcilable, Joint Committee Agreement in place which sets out agreed processes for identifying new project(s) to achieve the outcomes of the City Deal.	2	3	01.Jan.18	As previous update	2	3	15 Apr.19	Further to findings of the SBCD reviews a number of projects are currently under review and may be revised or substituted for an alternative scheme. Any changes will following the agreed review process as detailed in the JCA. This reflects recommendations of the SBCD reviews to increase flexibility of the programme. In addition outstanding issues around NDR pose a significant threat to the Pembroke Dock Marine project in particular and if this continues to be unresolved the project may not be able to meet the required start date of their match funders of July 1st 2019. This may result in the project being unable to deliver certain elements as planned / at all. Control actions are as previous update.	3	4
Companies of required calibre are not based within the region	C13 C6	JC / Delivery Leads	City Deal does not achieve the anticipated long term change / outcomes and projects do not secure long term sustainability. Potential for negative media and social media coverage, undermining the City Deal brand and objectives	3	4	Employ dedicated business engagement officer to work with projects and industry. Host several industry targeted events / engagement opportunities to ensure business community are clear of the opportunities to engage in the City Deal and its legacy. Ensure clear and consistent communications with industry / business forums about City Deal opportunities and potential for industry. This should include phonecalls, e-marketing, face-to-face meetings, newsletters and social media. Engage with organisations that are representative of the business community and have extensive contact networks that can be used to raise awareness. Tailored communications targeted at specialist business/property media	3	3	1.Oct.18	Dedicated business engagement officer in place. Business engagement and communication strategy under development to target key industries and businesses within and outside of the region. Engaged with industry representatives at a regional, welsh and UK level. Economic Strategy Board established to represent the voice of industry and the private sector at a strategic level. All of which will help to support attraction of companies of relevant calibre from both within and outside of the region	3	2	01.Jan.18	As previous update	3	2	15 Apr.19	As per previous update	3	2
Change in project scope pre-business case approval	C11 C6	Delivery lead	Project no longer requires same amount of funding. Project no longer achieves the necessary outcomes required for City Deal funding. Project is not approved and therefore unable to proceed / proceed as planned.	4	4	Continuous dialogue with delivery leads and RO during business case development to ensure consistency with original scope in terms of alignment to overarching aims and objectives of the deal. Iterative process of business case review by governments enabling early identification of concerns to be raised and rectified. Where changes in scope are identified close working with RO, regional project authority lead and delivery lead to ensure that changes do not compromise the proposed outcomes / outputs of the original project and that revised project scope still achieves overall programme aims and objectives	4	3	1.Oct.18	As previous update.	4	3	01.Jan.18	As previous update	4	3	15 Apr.19	Change in scope of the Pembroke Dock Marine project has been approved by Joint Committee. Further to findings of the SBCD reviews a number of other projects are currently under review and may be revised or substituted for an alternative scheme. This reflects recommendations of the SBCD reviews to increase flexibility of the programme. Any changes in scope will following the agreed review process as detailed in the JCA. Control actions are as per previous update.	5	4
Swansea University withdraw from programme (added January 2019)	C6, C10, C11, C14	Project leads	Projects unable to deliver at all or to full scope as detailed in heads of terms. Unable to achieve intended programme outputs and outcomes	3	5								01.Jan.19	Project leads to remain engaged at an operational level with Swansea University colleagues and to continue to progress operational delivery. Project leads to highlight any operational issues to Joint Committee in monthly updates. Joint committee to formally approach Swansea University to identify temporary representative to sit on Joint Committee.	2	5	15 Apr.19	An interim representative for Swansea University to the Joint Committee has been appointed. Project leads remain engaged at an operational level with Swansea University colleagues and highlight any operational issues to Joint Committee.	2	3
Cancellation of meetings	C14 C11 C6	JC / PB / ESB / PAL / RO	Agendas are unable to progress including business cases, implementation of review recommendations and key underpinning tasks	3	3												15 Apr.19	Annual schedule of meetings presented to JC and ESB and circulated to PB. Schedule agreed and outlook diary markers circulated to reflect agreed schedule.	2	4

Swansea Bay City Deal Programme Risk Register

Operational Risks  
 Original Assessment: Latest Assessment: 15th April 2019  
 March 2018

Risk Description	Category	Owner	Potential Consequence	Inherent Probability	Inherent Impact	Inherent Rank	Control Actions	Revised Probability	Revised Impact	Revised Rank	Review Date	Review update	Revised Probability	Revised Impact	Revised Rank	Review Date	Review Update/Control Actions	Revised Probability	Revised Impact	Revised Rank					
Withdrawal of Local Authority Partner	C3 C6 C11	JC	Potential for projects to fall as lack of funding / borrowing available from the project lead authority. Loss of funding for regional projects and regional support structures. Potential need to reduce scale of regional projects and / or withdraw scheme from local authority area. Unable to achieve outcomes of City Deal.	3	5		Ensure JCA is agreed by all local authority partners and includes provisions for such a scenario.	2	5		1.Oct.18	JCA signed by each LA which clearly sets out agreed provisions for such a scenario.	1	2		01.Jan.19	As previous update	1	2		15.Apr.19	Following findings of SBCD Reviews NPT Council will review City Deal involvement over the next six months. All partners continue to work to address recommendations of the reviews. JCA signed by each LA which clearly sets out agreed provisions for such a scenario.	3	5	
Withdrawal of other partner	C3 C6 C11	JC	Reduction in funding for regional support structures, potential impact on ability to achieve broader outcomes of City Deal re: improving public service delivery and other strategic regional functions	3	4		Develop arrangements with other partners who are not subject to the JCA to reflect provisions for withdrawal	2	4		1.Oct.18	As per previous update. Co-opted members signed code of conduct and declaration of interest.	2	4		01.Jan.19	As previous update	2	4		15.Apr.19	As per previous update	2	4	
Slippage in delivery of programme against key milestones		JC	City Deal doesn't achieve the outcomes intended within the timescales agreed. Borrowing and recouperation does not accurately reflect spend	3	4		Establish robust monitoring and evaluation framework to ensure programme and project delivery remains within agreed timescales and to ensure that all targeted project outputs and outcomes will be achieved. Regional Team in place to undertake monitoring role. Accountable Body/Section 151 officers will undertake programme level financial profiling to ensure borrowing and distribution of City Deal funding is reflective of programme delivery.	2	4		1.Oct.18	Ongoing monitoring of programme and project delivery and of programme level financial profiling	2	3		01.Jan.19	UK and WG independent review of the City Deal programme announced in December 2018 to be completed by end of January 2019. Corresponding internal review also to take place in January 2019 to provide assurance of the robustness of the Deal. It is imperative that these reviews are timely in order to prevent further delays in programme delivery and the region will work closely to support both reviews in order to ensure the City Deal achieves outcomes in a timely manner.	3	3		15.Apr.19	High level monitoring and evaluation plan agreed with Governments. Ongoing monitoring of programme and project delivery and of programme level financial profiling.	2	3	
Failure to engage relevant stakeholders including industry and private sector	C13 C6	RO / Delivery Leads	City deal does not achieve the anticipated long term change / outcomes. Lack of support / engagement with City Deal and related projects.	3	4		Employed dedicated communication and marketing officer. Establish dedicated communication group of key partners and project leads. Utilise different mediums and methods of communication to reach a range of audiences / stakeholders. Hold a variety of events appealing to a range of audiences. Work with project leads to identify targeted stakeholders and develop specific marketing tools for engagement with identified groups. Targeting of specific stakeholders on social media. Promotion and regular update of a cutting-edge City Deal website. Number of key partners already engaged. Ensure early and ongoing involvement through public events, procurement and supply events for example.	2	3		1.Oct.18	Economic Strategy Board in place providing private sector involvement. Key stakeholders already engaged. SBCD Business Engagement Officer and Communications Officer employed in the RO to ensure early and ongoing involvement through SBCD Business Engagement & Communication Plan.	2	1		01.Jan.19	SBCD Business Engagement Officer in post. SBCD Business Engagement Plan and Procurement strategy currently being drafted outlining opportunities, plans and indicative timescales for engagement with businesses. SBCD Communications Officer in post. Draft SBCD Communication Plan developed for consideration by governance structures including key messages, key stakeholder groups, opportunities, plans and timescales for engagement. Response to media, public and partner queries. Representation at a number of public and business engagement events to raise awareness and spread consistent messages about the SBCD. Series of dedicated business engagement sessions during Nov 2018 to be replicated in 2019. In addition a private sector / local industry focused event in early December 2019.	2	1		15.Apr.19	SBCD Business Engagement Officer in post. SBCD Business Engagement Plan and Procurement strategy reviewed by Economic Strategy Board and City Deal project leads in preparation for consultation with regional business community. Daily tweets, monitoring of news articles and responding to press enquiries. Representation at a number of public and business engagement events to raise awareness and spread consistent messages about the SBCD.	2	1	
Initial Procurement exercises fail to benefit the local supply chain. Projects fail to implement Programme Procurement Principles.	C6 C7 C13	All	City Deal does not achieve the anticipated long term change / outcomes. Lack of support / engagement with City Deal and related projects. Potential for negative publicity and loss of credibility.	3	5		Procurement Action Plan developed. Programme Procurement Principles drafted. Procurement Principles aligned to the WbFG Act. Industry engagement has identified key concerns/issues to be addressed in the Principles. Project Lead meetings planned with speakers on key topics of concern. Industry B2B events to be held. ESB/JC to endorse principles.	3	4		01-Oct-18	Economic Strategy Board in place providing private sector involvement. Key stakeholders already engaged. SBCD Business Engagement Officer and Communications Officer employed in the RO to ensure early and ongoing involvement through SBCD Business Engagement & Communication Plan.	3	4		01.Jan.19	Procurement principles to be discussed by ESB in February 2019. Register of City Deal procurement opportunities to be developed to ensure local supply chain are aware of and prepared for forthcoming opportunities.	3	4		15.Apr.19	SBCD Business Engagement Plan and Procurement strategy reviewed by Economic Strategy Board and City Deal project leads in preparation for consultation with regional business community. Register of City Deal procurement opportunities to be developed and promoted on Sell2Wales to ensure local supply chain are aware of and prepared for forthcoming opportunities.	2	4	
Negative media coverage	C13	RO	Negative image of City Deal portrayed to all stakeholders and consequently the opportunities afforded by the City Deal are not realised at all levels. Disengagement of industry, business and social stakeholders alike. Potential for further negative coverage from other media, given damage to City Deal reputation and the opportunity for follow-up questions / diary markers to scrutinise City Deal progress / previous statements.	3	4		Dedicated communications officer in place to manage media enquiries, monitor all press releases, posts etc relating to City Deal and develop appropriate response where necessary. Ensure regular press releases on positive news and progress. Further develop relationships with key journalists across the region Develop contacts with specialist publications and websites Regular, pro-active comms (press releases and social media) on City Deal milestones/updates/facts and good news stories. Inclusion of video and audio content to accompany press releases and social media posts, when appropriate Regular proactive comms updates to key identified stakeholders across the region Approved statements to be sent in response to media queries on deadline, accompanied by discussions with the reporter asking the question(s) Discussions with news editors/editors to try to influence the tone of coverage Approved press releases and statements to be sent to identified stakeholders in advance of online or offline publication City Deal news/updates to be regularly added to the City Deal website	2	3		1.Oct.18	As previous update	2	3		01.Jan.19	In addition to the previous update following the announcement of independent and internal reviews, the City Deal's communications officer is responding to media queries, when approached, and monitoring media coverage/social media mentions relating to the reviews. The communications officer will also work with both governments to ensure inclusion of key City Deal messages, if possible, in any communications related to the outcome of the independent review. If appropriate, proactive social media activities and liaison with the media will continue to take place while the reviews are ongoing. Communications will also be prepared for potential release to partners, the media and other stakeholders once the outcome of the reviews has been announced. These communications - aimed at both residents and businesses - will highlight key messages aimed at maintaining confidence in the delivery of the City Deal.	3	3		15.Apr.19	Coordinated press activity in response to publication of two SBCD reviews. Important to maintain this as recommendations are implemented to ensure clear and consistent messages. Positive media activity around SBCD approvals of Yr Egin and Swansea City and Waterfront Digital District and anticipated Government approval of the schemes. Other control measures as per original measures.	3	3	
Sustainability / working	C13 C6	All	Projects do not make the cross connections and the whole system opportunity for change is not realised. Ambitions of the City Deal are not embedded into organisational aims and the transformational potential of the deal is therefore not realised. City Deal is viewed and delivered via status quo rather than challenging and positively transforming the delivery of industry and public services in the region	4	3		Regular project leads meetings to identify opportunities for cross project working. Digital Infrastructure and Skills and Talent projects to meet with other project leads on a 121 basis to ensure the cross cutting themes of skills and digital are incorporated into all project plans.	2	3		1.Oct.18	As previous update	2	3		01.Jan.19	As previous update	2	3		15.Apr.19	Further to recommendations of SBCD reviews to increase flexibility of the programme it is important that there is regular dialogue between partners to ensure any changes in projects meet the needs of the region.	2	3	

<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Tudalen 8</p> <p>Lack of alignment of communications between partners</p>	C13 C6	RO	Confused / inconsistent / unclear messages given out. Disengagement of stakeholders due to confusion or incorrect understanding. Potential for negative media and social media coverage, undermining the City Deal brand and objectives	4	5		Employed dedicated communication and engagement officer to act as central point of contact for all City Deal related communications. Establish a communications group of key comms officers within all City Deal partner and project lead organisations to ensure consistency and up to date information. Provide regular updates to all partners or programme and project progress. Monitor tweets, press releases, articles etc relating to City Deal and ensure, where appropriate, a response is issued promptly. Develop and maintain a protocol which requires partners to send press releases and statements to the City Deal Communications officer for consistency and awareness. Develop online portal for partners to access shared logos, statements, quotations etc for use in all City Deal comms.	1	3	1.Oct.18	As previous update	1	3	01.Jan.19	As per previous update in relation to regional partners. In addition, strong communication with UK and Welsh Government during review period is critical to ensuring clear and consistent messages are relayed to the public, business community and other partners. Communications with City Deal partner organisations will continue to be made regularly available via a fortnightly, bilingual e-newsletter to help maintain consistency of messages. The communications officer will also continue to liaise with communications teams at City Deal partner organisations to ensure communications protocols are adhered to.	1	3	15.Apr.19	Coordinated press activity in response to publication of two SBCD reviews. The communication officer continues to liaise with all partners to ensure clear and consistent communication in relation to the City Deal.	1	3	
	C11 C6	Delivery lead	Project no longer requires same amount of funding. Project no longer achieves the necessary outcomes required for City Deal funding. Project is not approved and therefore unable to proceed / proceed as planned.	4	4		Establish robust project monitoring and evaluation to ensure project remains on track to deliver scope outlined in approved business case and overarching aims of the City Deal in terms of growth and jobs.	4	2	1.Oct.18	Process for monitoring of projects against business case outlined in JCA which was endorsed by all four regional councils in summer 2018. Need to develop detailed monitoring plan for each project as business cases are approved.	3	2	01.Jan.19	As per previous update	3	2	15.Apr.19	High level monitoring and evaluation plan agreed in principle with both Governments. Awaiting Ministerial and Joint Committee approval. Individual funding terms and conditions will be in place for each project to ensure milestones are met. Process for managing project changes detailed in the JCA.	2	2	
	C6	Delivery leads / RO	Inaccurate measuring of impacts of city deal.	3	4		Initial impact assessment undertaken to identify headline impacts of the city deal. Need to further develop this to capture the full range baseline indicators that will demonstrate the impact of the city deal	3	3	1.Oct.18	Work underway to develop monitoring and evaluation framework in line with key outcomes as set out in heads of terms.	3	3	01.Jan.19	Approval of monitoring and evaluation framework to governance structure prior to appointment of consultants to undertake baseline assessment. Include review of this baseline at key intervals of the monitoring and evaluation plan to ensure it reflects any major changes in the external environment.	3	3	15.Apr.19	High level monitoring and evaluation plan agreed in principle with both Governments. Awaiting Ministerial and Joint Committee approval. Tender to appoint consultants to develop baseline will need to be undertaken following establishment of new regional structure in accordance with recommendations of SBCD reviews.	2	2	



Swansea Bay City Deal Programme Risk Register

Financial Risks

Original Assessment: March 2018  
 Latest Assessment: 1st October, 2018

Risk Description	Category	Owner	Potential Consequence	Inherent Probability	Inherent Impact	Inherent Rank	Control Actions	Revised Probability	Revised Impact	Revised Rank	Review Date	Review update	Revised Probability	Revised Impact	Revised Rank	Review Date	Review Update/Control Actions	Revised Probability	Revised Impact	Revised Rank	Review Date	Review Update/Control Actions	Revised Probability	Revised Impact	Revised Rank
Failure to identify / secure revenue funding	C3 C6 C11 C14	Accountable Body	Four projects, including one regional project, unable to proceed.	5	5		Ongoing dialogue with governments to identify potential solutions including discussions on Capitalisation Direction. Projects with revenue element encouraged to explore alternative funding streams to support revenue elements.	3	5		1.Oct.18	Ongoing dialogue with governments underway to identify potential solutions. Received confirmation of the ability to utilise Capital Receipts to maximise flexibility and make most effective use of resources. LA Section 151 Officers working to determine revenue practical requirements.	3	5		01.Jan.19	Dialogue with governments have identified a potential solution. Received confirmation of that LAs may utilise Capital Receipts or Reserves to maximise flexibility of funding and make most effective use of resources. LA Section 151 Officers will work this solution through on each of the relevant projects.	3	5			Awaiting Update			
Failure to agree NNDR (rates retention) flexibility	C3	Accountable Body	Local authorities unable to borrow required for projects	4	5		Ongoing dialogue with government to explore opportunities for rate retention	4	5		1.Oct.18	In-principle letter received from Cabinet Secretary stating intention to initiate arrangements to allow the region to retain 50% of the additional net yield in non-domestic rates generated by the 11 projects. Officers of the four local authorities currently looking at obtaining relevant information. Clause 14.3 of JCA, endorsed in Summer 2018, reiterates agreement in principle.	2	5		01.Jan.19	In-principle letter received from Cabinet Secretary stating intention to initiate arrangements to allow the region to retain 50% of the additional net yield in non-domestic rates generated by the 11 projects. Meeting with WG taken place and officers need to work up a proposal, so the mechanics and allocation is acceptable to all.	2	5			Awaiting Update			
Private sector funding contribution/s not in line with initial business case projections	C3	Delivery Lead	Overall impact of the City Deal not realised. Project cannot deliver full scheme. Project is unsustainable	5	5		Projects required to complete full five case business model including robust financial detail and commercial case identifying and confirming sources of income.	3	4		1.Oct.18	For all projects, in addition to the 5 case model assessment, the Accountable Body will undertake an assessment of the Project's Financial profile to check that the private sector contribution is in line with the initial business case financial projections. Any implications resulting from variance to be reported to PB, ESB and JC for action.	3	4		01.Jan.19	As per previous update. Outcomes of UK and Welsh Government review and SBCD internal review may provide further assurance and/or recommendations for ensuring these processes are robust.	3	4			Awaiting Update			
EU match funding contributions not in line with initial business case projections	C3	Delivery Lead	Overall impact of the City Deal not realised. Project cannot deliver full scheme. Project is unsustainable	5	5		Projects required to complete full five case business model including robust financial detail and commercial case identifying and confirming sources of income.	3	4		1.Oct.18	For all projects, in addition to the 5 case model assessment, the Accountable Body will undertake an assessment of the Project's Financial profile to check that the private sector contribution is in line with the initial business case financial projections. Any implications resulting from variance to be reported to PB, ESB and JC for action. RO in dialogue with WEFO.	3	4		01.Jan.19	As per previous update. Outcomes of UK and Welsh Government review and SBCD internal review may provide further assurance and/or recommendations for ensuring these processes are robust. EU funding will only impact on some schemes.	3	4			Awaiting Update			
Timeframe for end of current EU funding programmes	C3	All	Unable to deliver full funding package at both project and programme level.	3	3		Early dialogue with all funders including Governments and WEFO. Project lead to accelerate business case development	3	3		1.Oct.18	As per previous update	3	3		01.Jan.19	Completion date for EU funded projects mid 2023 at the latest with all expenditure to be paid out by this date. This increases pressure to begin delivery of EU funded projects including those under the City Deal. Without City Deal sign off this may not be possible. Therefore timely completion of UK and Welsh Government reviews and implementation of any recommendations is essential to mitigating this risk.	4	4			Awaiting Update			
Failure to achieve full funding package	C3	All	Project potentially unable to deliver or to deliver full scale of anticipated project outcomes	3	5		Early engagement with all funders to develop strong relationships. Robust financial planning and clear outline of interdependencies of funding in the business case, ensuring that fundamental aspects of the project are funded through most secure funding sources. Timely review and approval of five case business plan. Effective and timely procurement activity. Establishment of robust contracts. Ongoing dialogue to resolve issues relating to revenue funding.	2	5		1.Oct.18	Credible and robust financial profiles need to be in place for each City Deal Project from the outset. All Letters Confirmation Match Funding to be in place for the project before City Deal funding is approved, confirming amount and timing as set out in the project's financial profile. Timely monitoring and review following approval of five case business plan. Robust and timely procurement activity must be planned, executed and monitored. All Project Authority Leads to put in place effective monitoring and evaluation processes. Funding agreements signed between Project Authority Lead and Project Lead.	2	5		01.Jan.19	As per previous update. Outcomes of UK and Welsh Government review and SBCD internal review may provide further assurance and/or recommendations for ensuring these processes are robust.	3	4			Awaiting Update			
Project authority lead unable to borrow amount required to frontload project	C3 C6	LA's	Projects unable to go ahead	3	5		Project lead authority's to factor anticipated CD borrowing and repayment costs into financial profiling. Regular dialogue between delivery lead and project lead authority to develop expenditure forecast as accurately as possible. Delivery lead to inform project lead authority of any changes to financial profile. Section 151 officer group to look at schedule of repayment of City Deal funding for consideration and agreement by Joint Committee.	2	5		1.Oct.18	Clause 13.1 of the Joint Committee Agreement commits Project Authority Leads to borrowing or securing alternative funding to support projects. JCA was unanimously agreed by all four regional councils in summer 2018.	2	3		01.Jan.19	As per previous update	2	3			Awaiting Update			
Regional project authority lead unable to borrow amount required to frontload regional project funding	C3 C6	LA's	Project potentially unable to deliver or unable to deliver across the whole region.	3	5		Regional project lead authority's to factor anticipated CD borrowing and repayment costs into financial profiling. Regular dialogue between delivery lead and regional project lead authority to develop expenditure forecast as accurately as possible. Delivery lead to inform regional project delivery lead of any changes in financial profile. Section 151 officer group to look at proportional borrowing, repayment and benefit / impact of regional projects for each local authority area.	2	4		1.Oct.18	Joint Working Agreement signed by all four Councils in July 2018. First formal meeting of the Joint Committee ratifying commitments took place on 31st August 2018. Clause 12.3b of the Joint Committee Agreement outlines due process to be undertaken should a Council not approve funding for a regional project	2	3		01.Jan.19	As per previous update	2	3			Awaiting Update			

## Swansea Bay City Deal Programme Risk Register - Categories

The Swansea Bay City Deal programme risk register captures and monitors key programme level risks to the delivery of the City Deal and achievement of its aims and objectives. It will be monitored by Joint Committee and Programme Board via circulation prior to each meeting and issues tabled for discussion as necessary.

Category	Ref. No	Description
Contractual	C1	Ineffective use or management of contacts leads to increased costs
Environmental	C2	Environmental incidents
Financial	C3	Financial risks facing the Councils
Health & Safety	C4	Harm to employees / public
IT	C5	Failure of systems / cyber attack
Objectives	C6	Threat to achieving programme objectives
People / Social	C7	Threat to / from society / groups / public
Physical / Assets	C8	Damage to organisational property
Political	C9	Adverse actions caused by changes in local, regional or national governments
Professional	C10	Lack or loss of qualified employees
Projects	C11	Threat to / from individual projects
Regulatory / Legal	C12	Changes to regulations / law
Reputation	C13	Negative publicity
Schedule / Timescales	C14	Threats to timelines / critical path(s)

## Swansea Bay City Deal Programme Risk Register - Scoring

Risk Assessment Matrix		Impact				
		Insignificant (1)	Minor (2)	Moderate (3)	Major (4)	Fundamental (5)
Probability	Almost Certain (5)					
	Likely (4)					
	Possible (3)					
	Unlikely (2)					
	Extremely Unlikely (1)					

		Percentage	Description
Probability	Almost Certain (5)	> 80%	Will occur in most circumstances
	Likely (4)	51 - 80%	Strong possibility
	Possible (3)	26 - 50%	Reasonable chance of occurring - has occurred before on occasion
	Unlikely (2)	10 - 25%	Unlikely to occur but potential definitely exists
	Extremely Unlikely (1)	<10%	Will only occur in exceptional circumstances

Impact	Insignificant (1)	No impact on programme success - minimal delay or interruption. No adverse interest from the media / stakeholder groups
	Minor (2)	Little impact on ability to deliver. Adverse comments confined to local media / stakeholder groups
	Moderate (3)	Moderate impact on the success of programme.
	Major (4)	Potential to damage success of programme and prevent achievement of key outputs / outcomes. Significant delays or changes to programme occur as a result of risk being realised. Adverse comments
	Fundamental (5)	Potential to prevent programme from delivering at all. Prevent outputs / outcomes from being achieved. Adverse comments from national press / stakeholder groups.

Mae'r dudalen hon yn wag yn fwriadol