

Swansea Bay City Deal

Report – May 2019

Recommendations relating to the Implementation of the Independent Government and Internal Joint Committee Reviews

1. Purpose

By accepting the findings of the Actica Consulting Independent Review and Internal Review, the Joint Committee is recognising the need for change.

The implementation of the following key recommendations, are therefore needed along with progress on the remaining recommendations.

Recommendation 1: A Programme Director should be appointed before May 2019 to ensure continuity of Swansea Bay City Deal leadership and independent, authoritative advice to the Boards.

Recommendation 2: The Regional Office should be designated as a Portfolio Management Office (PMO), leveraging their skills with experienced Portfolio / Programme Project Management (P3P) specialists.

Recommendation 3: Under the chair of the JSC each SBCD board should consider the TORs and ways of working of each to ensure that they work as intended. In doing so they should take account of this review and of the outcome of the audits currently being undertaken.

This report provides options for delivering the aforementioned recommendations.

2. Appointment of Programme Director

As agreed by Members of the Joint Committee, on 28th March 2019, the role of the Programme Director should progress to recruitment and appointment. It is proposed that Carmarthenshire County Council should continue to be the Employing Authority.

The new Programme Director will be independent and will report directly to the Joint Committee.

A draft Job Description is attached at Annex 1 for consideration. Following the Joint Committee's endorsement, this will need to be formally reviewed as part of the Job Evaluation process. Consideration needs to be given to the contract term.

Recruitment process:

The proposed recruitment process is as follows:

- The appointment will be advertised in accordance with Carmarthenshire County Council's Recruitment procedures
- The advert will be advertised through a number of communication platforms including national newspapers and digital platforms as well as via the four Local Authorities

- A formal assessment of applications received will be undertaken by the Programme Management Office in consultation with the other three Local Authorities
- The appointments decision making process will be delegated to the Programme Board to agree

3. Portfolio Management Office (PMO)

In line with recommendation 2 above, a PMO should be established. It is proposed that the office would be based at The Beacon office Llanelli, in order to ensure independence. The office has been equipped specifically for City Deal activity and allows for agile working by all partners across the Region.

It is proposed that Carmarthenshire County Council would be the Employing Authority for pay and rations purposes.

The structure and associated costs of the PMO would be proposed by the Programme Director, once in post.

Despite the Beacon being the allocated main office for the City Deal, it is suggested and to ensure shared ownership that each local authority provides agile working spaces for the PMO team. This would better promote regional co-working arrangements.

4. Accountable Body role

It is proposed that Carmarthenshire County Council maintains its role as the Accountable Body (inc of 151 responsibilities) alongside which it would act as the pay and rations for the Programme Director and the independent Programme Management Office (PMO). The role of Accountable Officer would no longer exist and be replaced by the Programme Director.

5. Role of the Lead Chief Executive

The role of Lead Chief Executive will no longer exist and be replaced by the new Programme Director who will be the main advisor to the various Governance Groups within the Region. This will further ensure independence is achieved in accordance with review recommendations.

6. Monitoring Officer Role

In line with the recommendation to share roles across the region, it is proposed that the Democratic Governance function along with the Monitoring Officer role should move from Carmarthenshire County Council and be led by Swansea City Council.

7. Regional Scrutiny Role

The Regional Scrutiny function should be maintained by Neath Port Talbot County Council.

8. Audit Function

It is proposed that Pembrokeshire County Council lead on the audit function on behalf of the Joint Committee. In order to ensure Section 151 duties can be legally discharged it is proposed that the lead audit officer reports directly to the SBCD S151 officer and aligns their work programme accordingly.

9. Funding the Programme Director and PMO

The City Deal operational costs which include, the Regional Office, Accountable body and Joint Scrutiny costs, have to date been funded by the £400k contributions from the Joint Committee members.

The total outturn for SBCD for 18/19 equates to £471,309. Expenditure incurred over and above the £400k partner contributions has been accommodated from underspends in 17/18.

Members agreed at their meeting on the 28th March 2019 that the costs for the implementation of the review recommendations should be contained from within the existing £400k budget. The appointment of the Programme Manager post will therefore inevitably mean changes to the current Regional office structure and possible HR implications. The re-distribution of functions across the region may have implications on the budget. In addition, the budget moving forward based on the current structure relies on additional income per annum, as well as the £400k partner contributions. There is potential for an increased resource via the drawdown of the 1.5% (£723k) top slice from the City Deal allocated Government funding. This can be used to cover the operating costs of the Joint Committee, Economic Strategy Board, Programme Board, Joint Scrutiny Committee, Accountable Body and the PMO functions.

It is proposed that the Joint Committee consider the release of the 1.5% from their overall £241m contribution in order to financially deliver the role of the Director, the PMO and all associated governance functions. The initial 1.5% would be released as soon as the first City Deal funds are drawn down from Governments with a further 1.5% released annually.

10. Other Considerations

- **Role of the Economic Strategy Board (ESB)** – as discussed at the Joint Committee meeting on 28th March and in line with the recommendations of the reviews, the role of the ESB needs to change and expand. The ESB should purely reflect only a private sector membership. Consideration of regional added value and opportunities for investment should be core and fundamental accountable responsibilities for the ESB. Pouring over individual Business Plan detail should not be a requirement of the ESB. The current Terms of Reference will need to be amended to reflect these changes.
- **Request to both Governments to release funding** – as previously requested by the Joint Committee and recommended in the Actica review, both Governments should to release funding for Yr Egin and Swansea City and Waterfront Digital District as a matter of urgency in order to re-instil public confidence.

At the Joint Committee on 28th March 2019, it was agreed that prompt consideration of the other outstanding Tranche 1 project, Life Science & Well-being Village, should also be prioritised. It was also agreed to progress with the development of Tranche 2 projects, namely Pembroke Dock Marine; Skills and Talent; Digital Infrastructure; Homes of Power Stations. All four projects need to gather momentum in order for the Joint Committee to be in a position that it can formally submit the Business Cases to both Governments.

- **Amendments to the Joint Committee Agreement (JCA)**

In light of the recommendations made within this report, there will be a requirement to undertake minor amendments to the existing JCA. The proposed changes are summarised below. A detailed account is included at Annex 2.

- Changes required in relation to the role of the Regional Office, Programme Director and the re-distribution of functions across the region. Amendments will need to be made to Clauses 6-9 of the JCA
- Amendments to the Terms of Reference for the Programme Board and Economic Strategy Board to accommodate the review recommendations (Schedules 2 & 6 of the JCA).

Due to the limited amendments proposed, it is suggested that these be jointly undertaken by the monitoring officers in all four Authorities, led by Carmarthenshire County Council, until such time changes are made to the roles and responsibilities across the region.

Amendments to the JCA will be a matter for the Joint Committee to ratify.

11. Recommendations:

To ensure that the recommendations of the reviews can be implemented with immediate effect, it is proposed that the Joint Committee consider and agree the above recommendations and task the Regional Office in association with the monitoring officers to progress all actions and to provide an update on progress at the next meeting.

DRAFT

Proffil Swydd/Job Profile

Teitl y Swydd -

Post Title – Swansea Bay City Deal
Programme Director

Is-Adran/Adain	
Department	Swansea Bay City Deal Programme Management Office
Gradd/Grade	Circa £75,000
Rhif y Swydd/Post Number	TBC
Paratowyd Gan/Prepared By	Swansea Bay City Deal Programme Office
Dyddiad Paratoi/Date Prepared	Mai 2019 - May 2019

Main Purpose of Job

This is a high profile and critical role tasked with establishing and running the programme management office for the Swansea Bay City Deal plus coordinating its portfolio of regional projects.

The City Deal includes funding from the UK and Welsh Governments, the public sector and the private sector. This presents a huge opportunity for an ambitious and experienced senior manager/leader to work in South West Wales. We are particularly looking for candidate with demonstrable skills in terms of project and programme management and an ability to work across organisational boundaries in both public and private sectors.

Key tasks/responsibilities

Purpose:

- To be accountable to the Swansea Bay City Deal Joint Committee in delivering its vision and aspirations for the region
- To ensure successful delivery of the agreed Swansea City Deal programme, effectively delivering its projects, achieving sustainable growth and unlocking further government and investment funding
- To develop and maintain effective relationships with all public and private partners across the region and ensure commitment to the City Deal vision
- To assist in developing the profile of the Swansea Bay City Deal Region as a place to live, work and invest

Duties and Responsibilities:

1. To work with the Joint Committee to deliver the city deal priorities and projects within the relevant timescales and to ensure the successful co-ordination of a portfolio of projects across a range of partner agencies, ensuring that the programme is joined-up and coherent
2. To be responsible for coordinating the programme management underpinning the City Deal and ensure that develops into a robust supporting framework which assists in the successful delivery of outcomes
3. To effectively establish and manage the Swansea Bay City Deal Programme Management Office ensuring that it becomes a value-added resource for the region based on P3M3 project management principles
4. To put in place the key structures in order to identify and agree the local and national indicators that will measure the success of the City Deal
5. To assist and support all partners to follow the City Deal governance arrangements and to successfully manage the approval of project business cases
6. To interface with the wider Welsh and UK Government in pursuit of this and any other potential sources of investment
7. To build strong and productive partnership with the private sector throughout the Swansea Bay region and seek further opportunities for private investment in the City Deal
8. To keep abreast and devise new strategic thinking aimed at developing innovative and creative solutions that address the challenges and impediments to economic growth across the region

9. In liaison with the Economic Strategy Board, develop a new approach to the foundational economy throughout the region and link into government strategies on this, especially in terms of local procurement
10. To effectively communicate the vision of the City Deal both within the region and across the wider UK and internationally
11. To ensure there is effective financial management and reporting to maximise the use of the resources available and to ensure that there is effective resourcing of agreed priorities
12. To report progress and issue in terms of project implementation and management to the Joint committee, Programme Board and the Economic Strategy Board and to seek solutions to any problems that may arise
13. Provide comprehensive performance monitoring data to the Joint Committee and any other identified stakeholders
14. Ensure there is comprehensive and pro-active stakeholder engagement across partner agencies, local councils, businesses and other sectors

Responsible for staff/equipment

Responsible for recruitment and management of Programme Management Office

Reporting to

Swansea Bay City Deal Joint Committee

Criteria	Essential
Qualifications/ Vocational training/ Professional Memberships	<ul style="list-style-type: none"> • Educated to degree level in relevant subject or equivalent experience • Programme / Project management qualification (e.g. PRINCE2, AGILE) • Demonstrable continuing professional development
Knowledge	<ul style="list-style-type: none"> • Wide knowledge of local, regional and National Government and agencies, the business community and other relevant external organisations • Good understanding of National Government and local authority decision-making processes and local government finance • A clear understanding of the Government's agenda for Local Government at both UK and Wales levels • A thorough understanding of key governance principles
Experience	<ul style="list-style-type: none"> • Experience of leading large and complex programmes to deliver successful outcomes within associated compliance strategies • Experience of planning and implementing large, complex programmes to strict deadlines by marshalling resources across organisational boundaries • Extensive experience of portfolio/project management • Substantial partnership working with a range of internal and external organisations to deliver common objectives • Significant and recent experience of successful management at a senior level covering a diverse range of key, high profile Public and Private Sector organisations. • Track record of operating at a senior level, managing complex and varied stakeholder relationships effectively • Proven ability to lead multidisciplinary, cross organisational teams • Proven ability to find creative and innovative solutions to complex problems and to work with a range of partners to implement them.
Personal qualities	<ul style="list-style-type: none"> • Strategic approach and vision to deliver large complex programmes • Takes a collaborative approach to partnership working • Makes informed decisions based on sound information and experience • Self-motivated with a flexible and adaptable approach to work • Ability to work under pressure and to tight time scales • Have the ability to create an environment of trust, openness and equality by interacting with people of various social, cultural, economic and educational backgrounds

	<ul style="list-style-type: none"> • Excellent interpersonal skills and the ability to build successful relationships and trust with a wide range of partners • Ability to analyse financial information and effectively use the information to ensure efficient budget management and accountability
Job Related Skills/ Competencies	<ul style="list-style-type: none"> • Deciding & Initiating Action - Makes prompt, clear decisions which may involve tough choices or considered risks; Takes responsibility for action, projects and people; Takes initiative, acts with confidence and works under own direction; Initiates and generates activity • Political sensitivity - Excellent political sensitivity and judgement, and the ability to work with both governments and councils; Confident in managing sensitive and political issues; Effective use of diplomacy • Leading & Supervising - Provides others with a clear direction; Sets appropriate standards of behaviour; Delegates work appropriately and fairly; Motivates and empowers others; Provides staff with development opportunities and coaching; Recruits staff of a high calibre • Adhering to Principles & Values - Upholds ethics and values; Demonstrates integrity; Promotes and defends equal opportunities, builds diverse teams; Encourages organisational and individual responsibility towards the community and the environment • Persuading & Influencing - Makes a strong personal impression on others; Gains clear agreement and commitment from others by persuading, convincing and negotiating; Promotes ideas on behalf of self or others; Makes effective use of political processes to influence and persuade others • Presenting & Communicating - Speaks clearly and fluently; Expresses opinions, information and key points of an argument clearly; makes presentations and undertakes public speaking with skill and confidence; Responds quickly to the needs of an audience and to their reactions and feedback; Projects creditability • Formulating Strategies & Concepts - Works strategically to realise organisational goals; Sets and develops strategies; Identifies and organises resources needed to accomplish tasks: Monitors performance against deadlines and milestones • Adapting & Responding to Change - Adapts to changing circumstances; Accepts new ideas and change initiatives; Adapts interpersonal style to suit different people or situations; Shows respect and sensitivity towards cultural and religious differences; Deals with ambiguity, making positive use of the opportunities it presents
Special Circumstances	<ul style="list-style-type: none"> • Politically Restricted Post: (which requires the postholder to be politically neutral)
	Desirable

Experience	<ul style="list-style-type: none"> • Experience in leading special initiatives in support of economic and social objectives • Experience of reporting to Joint Committees / Boards
-------------------	--

Language/ Communication Skills	Spoken Level	Written level
Welsh	Level 3	Level 3
English	Level 5	Level 5
Other (please State)	Indicate Level	Indicate Level

DISCLOSURE AND BARRING SERVICES (DBS) CHECKS

DBS Checks may be required for certain posts which work with children and vulnerable adults. This post requires: Indicate requirement in boxes

NO DBS CHECK REQUIRED	<input checked="" type="checkbox"/>
<u>Section A – type of disclosure</u>	
STANDARD DISCLOSURE	<input type="checkbox"/>
ENHANCED DISCLOSURE	<input type="checkbox"/>
ENHANCED DISCLOSURE WITH BARRED LIST CHECK	<input type="checkbox"/>
<u>Section B – workforce type</u>	
CHILD WORKFORCE	<input type="checkbox"/>
ADULT WORKFORCE	<input type="checkbox"/>
CHILD AND ADULT WORKFORCE	<input type="checkbox"/>
OTHER WORKFORCE	<input type="checkbox"/>

JUSTIFICATION

Please refer to your HR Advisor before deciding whether this post requires a DBS Check. Record your reasons here

ANY OTHER INFORMATION

None

Annex 2: Implication of Reviews on the existing Joint Committee Agreement (JCA)

Internal Review Recommendations

	Internal Audit Recommendations	Commentary
1	Redistribution of roles and functions to ensure an equitable balance across the SBCD Partnership, each acting as a check and balance for the other	Key amendments will have to be made to the JCA to reflect the changes and what party will take on what function. Amendments would need to be made to clauses 6 - 9 to reflect the re-distribution of roles and PMO function. Also amendment to clause 20.6 audit function
2	Appointment of an independent Programme Director, securing the independence of the Lead Officer responsible for the Regional Office with a direct reporting line to the Joint Committee. Reconsideration of the funding arrangement for the RO could enable the associated costs to be contained within existing commitments	In theory it could perhaps be achieved without having to make any amendment to the JWA, because it relates to the structure of the PMO however if the Jt Cttee wishes to enshrine that role within the JCA and ensure clear reporting channels (i.e. increased transparency and accountability), the only way to achieve that would be to insert an additional schedule into the JWA which sets out the role of the Programme Director and some small amendments to the other schedules. Would need to replace reference to regional office with PMO
3	Contingency plans if Government funding is withdrawn at a later date	These relate to overarching principles which need to permeate through all decision making. No amendments need to be made to the JCA to reflect this and instead it stems for the Joint Committee to consider and document what contingency plans are in place. This could be a stream of work for the PMO.
4	Local approach to delivery of SBCD be reconsidered	Key amendments will have to be made to the JCA to reflect the changes and what party will take on what function. This could be done by amendments to clauses 6 - 9 to reflect the re-distribution of roles and PMO function.
5	Implementation plan revised so that delivery is prioritised and approved by the Joint Committee.	These relate to overarching principles which need to permeate through all decision making. No need to amend JCA. Instead it stems for the Joint Committee to consider and document what contingency plans are in place.

		IP approved by Govs and will be updated continuously.
6	<p>Consideration of:</p> <ul style="list-style-type: none"> • Agreed risk appetite of the Partnership and risk management methodology; • Establishing the ethical values and framework; • Counter fraud, corruption & bribery procedures; • Due diligence and anti-money laundering arrangements; • Programme/project management methodology; and • Overarching record of declarations of interest and offers of gifts and hospitality by all Officers and Members. (refer to 3.1, 3.6 and 3.11) 	These relate to overarching principles which need to permeate through all decision making. No amendments need to be made to the JCA to reflect this and a Memorandum of Understanding could be agreed for the Joint Committee to commit to and the necessary processes then are followed during Joint Committee meetings.
7	Approach to UK & WG to reconsider the process to eliminate disproportionate effort by all parties and to ensure that focus is on the deliverability of outcomes and not only on the standard of written documents.	These relate to overarching principles which need to permeate through all decision making. This sits outside the JCA therefore no amendments needed.
8	Programme Board, Economic Strategy Board (ESB) and Joint Committee should receive written assurance (in a format to be agreed) that each business case submitted for approval has been subject to the required checks and process as defined within the JCA, including approval by the Lead Local Authority.	<p>A simple checklist as part of report consideration to the Joint Committee is perhaps all that is required to achieve this.</p> <p>This could be a stream of work for the PMO.</p> <p>This sits outside of the JCA therefore no amendments needed.</p>
9	Regional Office, in its capacity as the SBCD Delivery Team should undertake detailed checks prior to entering into the	A simple checklist as part of report consideration to the Joint Committee is all that is required to achieve this. This sits outside the JCA therefore no amendments needed

	<p>iterative process or submitting to Programme Board and ESB, to ensure compliance with standard operating principles/values and provide an overview of the outcome of these checks, in order to provide independent assurance to the Programme Board and Joint Committee.</p>	<p>This could be a stream of work for the PMO.</p>
10	<p>Programme Board needs to undertake detailed analysis of the financial viability, deliverability and risks to the project. The Programme Board should have detailed knowledge of the business cases and the feedback from UK & Welsh Government to ensure that business cases are of the standard and quality to be submitted for approval to Joint Committee. Current membership includes the Chief Executives of the four Local Authorities: this may be too onerous a commitment for the Chief Executives. Consideration should be given to the most suitable level of Management to commit to Programme Board (possibly Director or appropriate Head of Service), consideration should be given to including a Section 151 Officer to provide financial scrutiny and challenge and appearance of lead project officers to present the case.</p>	<p>A very small amendment could be made to Schedule 2 of the JCA to suggest that the Programme Board should also have a S151 Officer and Monitoring Officer present. There is already a power though to Chief Executive to nominate another officer so feasibly there is scope to nominate others. It Cttee to pull together protocol to determine those that routinely attend e.g. Directors /Heads of Service</p> <p>An amendment could also be made to specify the specific responsibilities of the Programme Board to achieve this.</p>
11	<p>The ESB membership needs to be streamlined to enable a well functioning commercially minded appraisal function that is focused on identifying further opportunities for the Region and attracting inward investment. Current membership includes the</p>	<p>Schedule 6 of the JCA sets out the remit of the Economic Strategy Board. If looking to make amendments as to who ultimately sits on this group then would have to revise Clause 3 of that Schedule. If the ESB are going to be required to produce a summary report, then obviously they will need to have the necessary support from the PMO to achieve this and there will need to be a corresponding amendment made to the</p>

	<p>Leaders of the four Local Authorities, which seems impractical given the ESB report to the Joint Committee.</p> <p>Consideration should be given to limiting membership of the ESB to the Private Sector, supported by Life Science & Wellbeing and Further/Higher Education representatives, and the Regional Office Lead. There is an opportunity for the ESB to provide UK & WG with the confidence that is currently lacking around the commercial case; consideration could be given to including a summary report from the ESB with the Full Business Case submission.</p>	<p>Agreement that requires the ESB to produce a report that must be considered by the Joint Committee as part of its decision making.</p> <p>A generic amendment could be made effectively delegating appointment to the ESB to the Joint Committee but because of the suggestion of reports being considered there will need to be corresponding amendments.</p>
--	---	---

Atica Recommendations

	Actica Recommendations	Commentary
1	<p>Pre-Scrutiny should be encouraged but direct and regular face to face contact between those writing the Business' Cases and those providing comment upon them and advising those who will grant approval is essential</p>	<p>This recommendation does not relate to any Joint scrutiny function but the informal engagement between projects and governments.</p> <p>This detail therefore falls outside of the JCA</p>
2	<p>Regional Office should be designated as a Portfolio Management Office, leavening their skills with experience specialists</p>	<p>These relate to overarching principles which need to permeate through all decision making. Minor amendments to clauses 6-9 of JCA.</p>
3	<p>City Team should put in place a best practice Integrated Assurance and Approval Plan for the Portfolio.</p>	<p>These relate to overarching principles which need to permeate through all decision making. This falls outside the remit of the JCA. Governments have confirmed that this is not a requirement but something for the region to consider</p>
4	<p>Each SBCD board should consider the terms of reference and ways of working to ensure they are working as intended.</p>	<p>Minor amendments to schedule 2 (PB) and schedule 6 (ESB) would be needed to meet review requirements.</p>
5	<p>Portfolio director should be appointed before May</p>	<p>It would be difficult to see how though this could be accommodated within the funding arrangements already established for the</p>

	2019 to ensure continuity of the SBCD	<p>Regional Officer, without some additional amounts having to be provided.</p> <p>In theory it could perhaps be achieved without having to make any amendment to the JCA, because it relates to the structure of the Regional Office however if the Jt Cttee wanted to enshrine that role within the JCA and ensure clear reporting channels (i.e. increased transparency and accountability). This could be achieved through an additional schedule into the JCA which sets out the role of the Programme Director and some minor amendments to clauses 6-9 and the other schedules.</p>
6	SBCD should be managed as a Portfolio not as a set of predetermined and immutable projects	These relate to overarching principles which need to permeate through all decision making. This falls outside of the JCA therefore no amendments needed
7	Yr Egin and Swansea Waterfront – reach a swift conclusion to ensure that funding flow is met	This falls outside of the JCA