



Llywodraeth Cymru
Welsh Government

Welsh Government Integrated Assurance

Risk Potential Assessment Form (RPA)

(IAH-RPA)

Version 2.0 – March 2019

INTRODUCTION

About OGC Gateway™:

Programmes and projects provide an important vehicle for the efficient and timely delivery of government aims. Good and effective management and control of programmes and projects is therefore essential to the successful delivery of government objectives. The Welsh Government Assurance Process (consistent with the OGC Gateway) is the responsibility of the Integrated Assurance Hub (IAH) and authorised to deliver assurance under accredited licence from the Infrastructure and Projects Authority (IPA), which is part of the UK's Cabinet Office. This process is designed to provide independent guidance to Senior Responsible Owners (SROs), programme and project teams and to the departments who commission their work, on how best to ensure that their programmes and projects are successful.

The OGC Gateway Process examines programmes and projects at 'key decision points' in their lifecycle, and looks ahead to provide assurance that they can progress successfully to the next stage. The OGC Gateway Process is regarded as best practice in central civil government throughout the UK, and applicable to a wide range of programmes and projects, including:

- policy development and implementation
- organisational change and other change initiatives
- acquisition programmes and projects
- property/construction developments
- IT-enabled business change
- procurements using or establishing framework arrangements.

Value of the OGC Gateway Process

OGC Gateway Reviews deliver a 'peer review', in which independent practitioners from outside the programme/project use their experience and expertise to examine the progress and likelihood of successful delivery of the programme or project. They are used to provide a valuable additional perspective on the issues facing the programme/project team, an external challenge to the robustness of plans and processes, and support to SROs in the discharge of their responsibilities to achieve their business aims, by helping to ensure:

- the best available skills and experience are deployed on the programme/project
- all the stakeholders covered by the programme/project fully understand the programme/project status and the issues involved
- there is assurance that the programme/project can progress to the next stage of development or implementation and is well managed in order to provide value for money on a whole life basis
- achievement of more realistic time and cost targets for programmes and projects
- improvement of knowledge and skills among government staff through participation in Reviews
- provision of advice and guidance to programme and project teams by fellow practitioners.

The Welsh Government's Risk Potential Assessment Form (IAH-RPA) is designed to provide a standard set of high-level criteria for assessing the **risk potential** of a programme/project in a strategic context.

The RPA enables a conversation to be had about the risks and responsibilities that the SRO has for delivery and that the programme/project in respect of visibility, reporting and assurance in a wider portfolio management context. The RPA can also help the programme/project to identify areas where specific skills sets, commensurate with the level of complexity, may be required.

The OGC Gateway Process offers an independent assurance for all potential high and medium risk programmes/projects within Welsh Government and Wider Welsh public sector. In order to determine the applicability of an OGC Gateway Review, the RPA **must** be completed by the SRO for the programme/project.

The RPA form is in five sections :

- Section 1 - (Programme/Project General Information) – gathers some basic information about the programme/project
- Section 2 - gathers a brief synopsis of the programme/project, its key objectives and the stage of the programme/project at the current time. This will provide context for the assessment by the IAH.
- Section 3 - is designed to build on information provided in Section 2, by capturing a standard set of high-level criteria for further assessing the **risk potential** of a proposed programme/project. This section is also used to determine if an Assessment Meeting with the SRO is appropriate to discuss whether an OGC Gateway Assurance might be of value to the programme/project. At the end of each question within this section the SRO is required to make a self assessment of the level of risk the programme/project carries. Further information and an explanatory note is required to support the self assessment.
- Section 4 – The SRO is required to provide an overall self assessment of the level of risk the programme/project is at.
- Section 5 – SRO sign off for the RPA form.

Completed forms must be sent directly for assessment to the Integrated Assurance Hub (IAH) Mailbox Assurance@gov.wales

SECTION 1 :	Programme/Project General Information
1. Is this a Portfolio/Programme or Project?	Programme
2. Programme/Project name	A Healthier Mid and West Wales – Capital Infrastructure Programme Business Case
3. Your Division/Department	Capital Planning
4. Programme/Project Type	Capital
5. SRO Contact Details (to include telephone number, mobile number and e-mail address)	Steve Moore Chief Executive Officer Hywel Dda University Health Board Steve.moore2@wales.nhs.uk 01267 239581
6. Programme/Project Manager details (to include telephone number, mobile number and e-mail address)	Paul Williams Assistant Director of Strategic Planning Hywel Dda university Health Board Paul.Williams19@wales.nhs.uk 01267 239633/07812 990160
7. Primary contact point for administration of the OGC Gateway™ Review (to include telephone number, mobile number and e-mail address)	Eldeg Rosser Head of Capital Planning Hywel Dda university Health Board Eldeg.Rosser@wales.nhs.uk 07813769310
8. Finance Officer details: Review (to include telephone number, mobile number and e-mail address) <i>(N.B. review costs will initially be met by the Integrated Assurance Hub but will be recouped via journal at the end of the review)</i>	Huw Thomas Director of Finance Hywel Dda University Health Board Huw.thomas6@wales.nhs.uk 01267 239682
9. Date of previous Gateway Review if applicable – <i>please include previous Gateway Product & IAH unique number).</i>	Click here to enter a date. N/A at this stage Choose an item. AH/XX/XX

SECTION 2 : PROGRAMME / PROJECT DETAILS

Please provide a brief synopsis of the programme/project, the key objectives and at which stage the programme/project is currently at:

The capital assumptions associated with the Health & Care Strategy were set out in a Pre-PBC following Hywel Dda University Health Board's (HDdUHB) extensive public consultation and was shared with WG colleagues in November 2019. Progress on the PBC is now being pursued with HDdUHB funding for both in-house and external resources.

The strategic case will set out the case for change including the key clinical drivers. The UHB will not be able to fulfil its ambitious plans without significant infrastructure modernisation. These have been captured in the following specific planning objectives endorsed by the Board at the September 2020 Public Board.

The specific planning objectives relating to this work were as follows:

- Produce a Final Business Case (FBC) by March 2024 for the implementation of a new hospital in the south of the HDdUHB area for the provision of urgent and planned care (with architectural separation between them). This will be on a site between Narberth and St Clears. Using the experience and change brought about by the COVID-19 pandemic, the plan should be focussed on minimising the need for patients and staff to attend and, for those who require overnight care, the shortest clinically appropriate length of stay.
- Ensure the new hospital uses digital opportunities to support its aims to minimise the need for travel, maximise the quality and safety of care and deliver the shortest, clinically appropriate lengths of stay.
- FBC for the repurposing of the Glangwili General Hospital (GGH) and Withybush General Hospital (WGH) sites completed and submitted by March 2024, in line with the strategy published in November 2018.
- Develop with relevant partners a plan by 2024 to address access, travel, transport and the necessary infrastructure to support the new hospital configuration taking into account the learning from the COVID pandemic

HDdUHB are seeking to drive this timeline at pace and the following external appointments are now in place:

- Business case writers and health care planners – Price Waterhouse Coopers (PwC) supported by Strategic Healthcare Planning (SHP).
- Master Planners – Building Design Projects (BDP).
- External Project Manager – Mace.
- Land Acquisition advisors – Savills.

Work on the strategic case has already commenced and the service model focus groups have commenced during November 2020 and will lead to a workshop or workshops in early 2021 to define the:

- Spending objectives.
- Critical success factors.
- Long list of options.
- Short list of options.

The focus groups also include a group to discuss the non-clinical assumptions and options.

Work is also underway to:

- Review the capacity model which will be used to model service options.
- Produce a document for discussion with WG to agree the detailed expectations for each element of the PBC.
- Establish a communications and engagement group to ensure stakeholder engagement in the PBC development process. This will include advice from the Consultation Institute.
- Consider the work to build on the Equality Impact Assessment conducted for the transforming clinical services consultation.
- Liaise with the Future Generations Commissioners Office to ensure full compliance with the spirit and letter of the legislation and that lessons are learnt from other similar developments.
- Provide background information for all external support mapping and gapping purposes.

The land acquisition process has been set out with a timeline including stakeholder involvement currently being finalised.

Of key importance is the work which is now underway to detail and dovetail the many workstreams into a single programme plan with a defined critical path. The expectation is that the PBC will be completed in summer 2021.

SECTION 3 : GUIDANCE

Section 3 of the RPA assesses the potential risk for the programmes/project. The overall RPA assessment process at this point is an **indicator** of risk potential and is not an exhaustive risk analysis model. However, it can be the starting point for a more exhaustive risk assessment of a programme/project.

This section is made up of a series of five key short assessments, which will determine the basic and initial risk rating of the programme/project. These assessments are made using the knowledge and judgement of the SRO and programme/project team and should be considered in the light of a programme/project's strategic context. Each question requires an answer using the drop down boxes, a self assessment of the level of risk and a short explanatory note of the reasoning for the self assessment mark. This will provide further detail for the IAH and an audit trail of the considerations.

After completion, the SRO should e-mail the RPA Form directly to the IAH for initial assessment. The IAH will then formally write to the SRO to notify them of the outcome.

The initial assessment will normally be used throughout the life of the OGC Gateway Review process. However, and even though the score might decline during the programme/project lifecycle, should the programme/project's risk assessment increase, the higher assessment may take precedent.

If you have further questions about the use or completion of this section, please contact the Integrated Assurance Hub on 0300 025 0149 or 0300 025 3901 or you can e-mail us on Assurance@gov.wales

SECTION 3.1 Strategic Alignment & Commitment

3.1.1: Does the programme/project satisfy a ministerial commitment?	Yes
If YES, please state who is the responsible minister(s)	Vaughan Gethin
3.1.2: Does the programme/project cut across ministerial portfolios	Yes
3.1.3: Does the programme/project satisfy a major policy commitment?	Yes
If YES, Which policy?	Enables delivery of A Healthier Wales
3.1.4: Does the Programme/Project impact Key Organisational Objectives?	Critical link to delivery of key strategic objectives /targets
3.1.5: Does the Programme/Project impact Business Change?	Extensive change to Business operations

Strategic Alignment & Commitment – Self assessed risk rating	Very High
Further information & explanatory note:	

SECTION 3.2: Financial/funding impact	
3.2.1: How much is the projected budget for the programme/project? <i>N.B. when completing this part of the form, please take into account the <u>whole-life costs</u> of the programme/project (as defined by HM Treasury Green Book)</i>	£5M and above
3.2.2: How long is the programme/project expected to run?	5 Years +
3.2.3: Is funding secured and in place for the entire lifecycle of the programme/project?	No
3.2.4: Does the programme/project receive external funding?	Yes - Capital Revenue
3.2.5: How is the Programme/Project budget managed?	Budget management outside of organisations spend delegations
Financial/Funding Impact – Self assessed risk rating	Very High
Further information & explanatory note:	

SECTION 3.3 Stakeholder Engagement	
3.3.1: Has the Programme/Project identified all stakeholders?	Yes - Identified, not yet engaged For PBC Staff engagement has commenced. PBC follows wide consultation previously undertaken for Transforming our Clinical Services Strategy 2018. Further engagement to be undertaken for options around site/services. Advice received from the Consultation Institute and will be discussed with WG colleagues.

3.3.2: How complex is stakeholder management?	General public and large number of external stakeholders across organisation
3.3.3: Impact on resources	most resources in place
3.3.4: How many staff within the organisation will be affected by the programme/project?	100+
3.3.5: Impact on Public	Very high public profile - Ministerial Involvement Required
Stakeholder Engagement – Self Assessed Risk Rating	High
Further information & explanatory note:	
<p>Lessons learnt in respect of Stakeholder involvement has been shared by the Consultation Institute along with previous feedback received from the Community Health Council following completion of the Health Board's Transforming Clinical Services Strategy consultation process in 2018.</p> <p>A Communications Strategy and Plan for the PBC is currently being developed.</p>	

SECTION 3.4 Governance	
3.4.1: Has the programme/project undertaken a scoping exercise to ensure there is no duplication of work in any other part of the organisation?	Yes
3.4.2: Are the Programme/Project Governance arrangements in place?	Yes
3.4.3: Are the Programme/Projects Time & Quality Targets Achievable?	Yes noting risks identified to date
3.4.4: Has the Programmes/Projects benefits been identified?	Stakeholder workshop planned December 2020 to develop benefits register
3.4.5: Has the programme/project considered and implemented security standards in compliance with regulatory Acts e.g. GDPR?	
3.4.6: Governance – Self Assessed Risk Rating	Medium
Further information & explanatory note:	
<p>The start-up governance documentation has and continues to be developed. Discussion has been held with Capital Audit to engage them and ensure best practice and the PBC will be the subject of an independent Gateway zero review as it nears completion.</p>	

SECTION 3.5 Programme/Project Dependencies

3.5.1: Is the Programme or Project dependant on or connected to wider initiatives?	Dependancies on local initiatives across a number of organisations
3.5.2: Does the programme/project depend on key components, consent or approvals which are outside the organisations direct control?	significant approval and consent required from a number of agencies
3.5.3: Does the programme/project key objective require new IT systems and/or the need to develop interfaces with existing IT systems?	key component requires new IT system and/or interface with internal systems
3.5.4: How complex are the commissioning/procurement arrangements for the programme/project	Large multi-organisational procurement from multiple suppliers
Programme/Project Dependencies – Self Assessed Risk Rating	Very High

Further information & explanatory note:

A risk register for the progression of the PBC and approval process has been developed and will be monitored by the appropriate groups and Committees as per the Programmes Governance arrangements and reporting structures.

Section 4: Programme/Project overall self assessment risk rating

High

Section 5: SRO ENDORSEMENT

I am satisfied that the Risk Potential Assessment provides an accurate reflection of the programme/project at this stage of development.

Signed	Date 19/2/2020
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I will re-asses the programme/project if there is a significant change to the programme/project scope or budget or if significant changes emerge that may threaten successful delivery.

Signed (Senior Responsible Owner)	Date
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