



Change Request Form

WHAT CONSTITUTES A WMCA CHANGE REQUEST?

Change Control is the process through which all requests to change the approved baseline of a project, programme or portfolio are captured, evaluated, and then approved, rejected or deferred. This **Change Request Form** is required when the tolerances that were set out in the approved Business Case are or will be breached. These include changes to Time, Cost and Scope.

The Change Control Process should be initiated by the Project Team in the following circumstances:

- There is a cost implication that cannot be managed within the existing contingency budget and results in the requirement of 10% or more of the originally approved budget
- There is movement of over 10% of total project/programme timings (measured in months) which impacts key milestones, the project start/end date and any associated dependencies
- The scope of the project/programme has changed and the outputs, outcomes and benefits which were approved have been impacted (if an output is to be changed, this is also known as a material change)

CHANGE REQUEST FORM GUIDANCE

- Text shown in **grey** is to be used as guidance in the writing of this form, it should be deleted prior to submission.
- Parts 1 and 2 should be completed by the Applicant / Project Team
- Parts 3 and 4 should be completed by the Programme Assurance and Appraisal Team / Finance Business Partner
- Please refer to the original WMCA approved Business Case when detailing any variance within this form
- Requested appendices will be shown in **orange** to support this form, these are to be attached with the submission
- If a partial or full Business Case re-write is required, you will be informed by WMCA

For further information regarding the Change Request Process or to submit this form for review, please contact ProgrammeAssuranceandAppraisal@wmca.org.uk



1 CHANGE REQUEST DETAIL

CHANGE SUMMARY	
Project Name:	UK Central Infrastructure Programme
Programme Name (if applicable)	UK Central Infrastructure Programme
Directorate (if WMCA internal):	
Organisation (if WMCA external):	Solihull Metropolitan Borough Council (SMBC)
This Change Request is seeking additional WMCA funding of:	<i>If applicable, insert amount in £m</i> None
This Change Request is seeking a time extension of:	<i>If applicable, insert amount in months</i> Various as detailed in Appendix B : Extensions range from 3 months (to allow for closure reports to be finalised) to as much as 6 years (where projects are effectively being paused to allow for efforts to be directed towards agreed priorities) across 21 projects.
This Change Request is seeking the following change to the scope:	<i>If applicable, detail scope change</i> None

STAKEHOLDER INVOLVEMENT	
Provide the names of the following stakeholders who have been sighted on this business case prior to submission, note this is a mandatory requirement:	
Governance:	Considered and approved by the SMBC UKC Programme Board on 07/12/22 and subsequently ratified by Paul Johnson (S151 Officer) on the 14/12/22.
Senior Responsible Owner (SRO):	Alan Smith, Head of Growth Programmes
Programme SRO (if applicable)	Perry Wardle, Assistant Director Growth & Development
WMCA Executive Director:	Ian Martin, Investment and Commercial Activities Director
Finance Lead:	Ian Riley, UKC Programme Finance Manager
Legal Representative:	Andrew Kinsey, Legal Services Manager and



	Solicitor to the Council
Procurement Lead:	N/A
Other (i.e., HR / Health & Safety):	N/A

VERSION CONTROL			
Version:	V1.1	Date:	20/12/2022
Change Prepared by:	Alexander Heath	Job Title:	Group Manager Programme Development

2 BASELINE ASSESSMENT, CHANGE REQUEST DESCRIPTION AND RATIONALE

2A WHICH BUSINESS CASE STAGE IS THIS CHANGE AGAINST? (SELECT ONE OPTION BELOW)

Business Justification Case (BJC)

Strategic Outline Case (SOC)

Outline Business Case (OBC)

Full Business Case (FBC)

Programme Business Case (PBC)

Project Case

2B ROOT CAUSE

Determine the root cause of this change request i.e. the source of the change requirement from the list below:

Table 1		
Root Cause Categories		Tick if Applicable
Political	This is due to the need for WMCA to demonstrate to Central Government that WMCA is working towards its Strategies and Policies i.e., Strategic Economic Plan (SEP)	<input type="checkbox"/>
Governance	WMCA must spend in accordance with agreed terms and conditions and abide by public sector procurement requirements and devolved funding assurance frameworks as approved by Central Government	<input checked="" type="checkbox"/>



Reputational	There is a high chance of repercussion for organisations' reputation due to the potential of it leading to destruction of trust and relations	<input type="checkbox"/>
Operations	Disruption to delivery of key business functions that support wider business operations	<input checked="" type="checkbox"/>
Delivery	Impact on delivery and performance against delivery commitments in the area	<input checked="" type="checkbox"/>
Economic	Uncertainty with external factors such as inflation and interest rates	<input checked="" type="checkbox"/>
Financial	Seeking safe delivery options with little residual financial loss only if it could yield upside opportunities.	<input type="checkbox"/>
Opportunity	The ability to deliver more outputs, outcomes, and benefits	<input type="checkbox"/>

2C CHANGE DESCRIPTION AND RATIONALE (MAX 500 WORDS)

The UK Central Infrastructure Programme (UKC IP) is a collection of projects under one "umbrella" or programme of sub-projects. The purpose of this Change Request is to update and re-schedule individual project business case reporting timelines. This is necessary due to the disruption primarily caused by impact of the COVID emergency. This Change Request also streamlines and prioritises the programme given the limited available Investment Programme funding and the award of City Region Sustainable Transport Settlements (CRSTS) funding. This is a technical and non-material Change Request to 're-base' the UKC IP and inform the WMCA of the latest timescales for business case submissions. There are therefore no material changes of scope or additional cost to the WMCA resulting from this Change Request. The revised timings of individual project business case submissions are detailed in Section 3B and **Appendix B**, together with the reasons for any movement.

Should this programme level Change Request to rebase the UKC IP not be approved, then multiple interrelated individual project level Change Requests would need to be submitted now and throughout the year with an associated administrative burden and cost to UK Central PMO and WMCA, impeding delivery of both individual projects and the programme as a whole.

3 IMPACT ASSESSMENT

Complete the following sections to determine the impact of this Change Request, if a section is deemed not applicable, briefly explain why.

3A COST IMPACT (£)

There is no overall cost impact resulting from this Change Request however several changes to the individual project funding allocations within the programme are being proposed.



At its inception, it was envisaged that the WMCA Investment Programme would provide £288.000million of grant funding for the UKC IP. This is split between three distinct categories:

- Approved - £34.633 million - This is funding which has been awarded and made available for the UKC IP to date.
- Affordable - £9.006 million - This is the additional funding which has been earmarked for the UKC IP from within the overall Investment Programme affordable limit. This funding, when combined with the approved funding, totals £43.639million. This is the current affordable limit for the UKC IP.
- Unaffordable - £244.361 million - This is the balance of the overall £288.000million of funding which is currently understood not to be available.

Approved funding (£34.633million)

Because of the changing timescales, prioritisation and requirements for each project, a number of proposals to adjust the approved funding for individual projects (whilst remaining within the overall £34.633million of approved funding) are being made. These are detailed in **Appendix A1**.

It is proposed that the continuing elements of the Local Strategic Network (LSN) project be combined with the Low Carbon Future Mobility (LCFM) project, with £411,000 of remaining funding moving from LSN to LCFM. This change is appropriate because of close alignment of their project objectives and activity, and it provides efficiencies through streamlining and integrating project delivery.

Affordable funding (£9.006million)

As with the approved funding, several proposals to adjust the funding allocated to individual project in the UKC IP are being made. Again, these remain within the £9.006million which remains within the affordable limit. The proposed changes are detailed in **Appendix A2** and outlined below:

Accelerated Housing Discrepancy

The WMCA is currently working to the funding allocations as set out in the WMCA's UK Central Programme Update report (29 Jun 2021). That report stated in error that £6.800million of affordable funding was allocated against the Accelerated Housing – Simon Digby project. Instead, the funding should correctly be allocated against the Accelerated Housing – Utilising Solihull Assets project.

UKC Hub Access drawdown against Balsall Common sub-project

There is a proposal to assign £550,000 that is earmarked to the UKC Hub Access and Transport Modelling Programme to the NEW UKC Hub Access - Balsall Common Multimodal Transport Package. This is the first of several specific sub-projects which are envisaged to be required as part the UKC Hub Access and Transport Modelling Programme. It is intended that this proposal will be supported by the submission of a SOC for full consideration by the WMCA.

Unaffordable funding (£244.361million)



It is understood that the balance of the original £288.000million (being £244.361million) is currently not available (or at least not from the WMCA's devolution deal-based Investment Programme as was originally envisaged). It is however recognised that in many cases the indicative allocations from this original £288.000million are no longer reflective of current priorities and expectations for delivery.

An attempt to develop an updated picture of the funding needs of each project has been undertaken. As with the approved and affordable funding, several proposals to adjust the funding allocation are being made and are detailed in **Appendix A3**.

When reviewing the allocation of the unaffordable funding, the following principles have been adopted:

- Where there is agreed and accepted estimates arising from professional appraisals of the costs of a scheme, indicative allocations have been adjusted.
- Where projects are at an early stage of development and there is no evidence, or insufficiently robust evidence to support adjusting the project costs, no adjustment has been made. Whilst it is recognised current estimates may now be inaccurate and need to be reviewed, they will only be updated once a robust evidence-based estimate is available.
- Historically, for some projects there have been (relatively minor) discrepancies between the unaffordable funding figures within the SMBC and WMCA records. For projects where no substantive changes to funding are being requested, it is being proposed the funding be adjusted to align with the SMBC position.

Whilst figures have been updated with more considered estimates, there are still some allocations where projects are at a less developed stage and will require further refinement in future. Having completed the exercise to review the allocations and to ensure the original funding envelope is maintained, there is a residual balance of £12.493million. This balance has been assigned to the Kingshurst Village Centre Redevelopment project with the rationale being that as a key priority for SMBC, if any further funding from the WMCA were to become affordable, then this project would be a priority recipient.

WMCA Consultation

The approach to varying the funding allocations within the programme to reflect revised needs and priorities has been discussed with colleagues at the WMCA (Serena Dhanoa & Nicholas Alamanos) and it was agreed this was a sensible and proportionate response to address the value of changes required.

Financial Profile and Cost Composition

The intention (based on discussions with the WMCA) is that full details of the revised financial profile and cost composition (including any key cost assumptions) will be developed for inclusion in updated PDPs to support the agreement of variations to project funding agreements. The latest detailed UKC IP forecast as contained in the UKC Infrastructure (SMBC) 2022/23 Period 8 return which was submitted to WMCA on 22/12/22 will be used to inform this work.

NPV and VFM assessment



As most projects are still at a developmental stage, calculations of project Net Present Values (NPVs) and Value for Money (VfM) assessments are still to be completed in full, however these will be developed as part of the business case development.

Resourcing

The proposed funding allocations for each project are based on the current best estimates of the resourcing required to achieve the required outputs to reach the agreed milestones. It is (and has always been) incumbent on those officers managing project finances to ensure this is done in a disciplined manner ensuring value for money is maximised and that outputs and outcomes are delivered at the lowest cost to the programme.

Inflation

It is recognised that in the current economic climate, inflationary pressure has become a significant challenge to delivering projects within the finite resources available. The prevailing and future forecast rates for inflation have been given full consideration in the development of the revised cost estimates which the proposed funding allocations are based on. Further consideration of the longer terms inflationary impact on the costs of project delivery will be given as part of the individual business case development and submission.

Project Extensions

Whilst it is not envisaged that there should be any need for further extensions to the timelines for the delivery of the project milestones being proposed here, it is accepted that in the event of any delays, these will need to be proactively managed and funded from within the proposed funding allocation for each project.

3B TIME IMPACT

Throughout the COVID-19 pandemic, the UK Central PMO closely managed the impact and risks to the UK Central Infrastructure Programme. This work included the integration of COVID-19 monitoring into reporting mechanisms, streamlining governance arrangements and establishing an overarching COVID-19 Resilience Plan to prioritise and manage resources to maintain momentum across the programme.

Projects within the UKC IP have been impacted both directly and indirectly by COVID-19, the main impacts can be summarised into the three key areas below:

- Resource constraints both internally and externally (contractors and key stakeholders).
- Re-phasing of activity due to limitations on stakeholder and public engagement.
- Limitations of survey work due to short- and medium-term impact on travel demand patterns/behaviour.

Recognising the constraint of available Investment Programme funding and the successful allocation of CRSTS funding, the UKC IP has been both streamlined and prioritised to maintain momentum and support overall delivery.



The updated timing of individual UKC IP project business case submissions are detailed in **Appendix B** together with the reasons for any movement. Longstop dates have been identified to provide a reasonable time allowance for the approvals process, finalisation of any technical work, project closure/pause if next stage funding is not approved and payment of any retention/final invoices.

The UKC IP latest High-Level Programme is contained in **Appendix C**. Project extensions range from 3 months (to allow for closure reports to be finalised) to as much as 6 years (where projects are effectively being paused to allow for efforts to be directed towards agreed priorities) across 21 projects. A full breakdown of the time extensions across the programme on a project-by-project basis are included in **Appendix B** to this request.

3C SCOPE IMPACT

There are no changes of scope related to this Change Request.

3D DEPENDENCIES IMPACT

A detailed review of both internal and external programme interdependencies (direct and indirect) has identified no material impact resulting from the Change Request.

An updated UKC Interdependencies Matrix is contained in **Appendix D**.

3E STAKEHOLDER IMPACTS AND STRATEGY CHANGE IMPACTS

There are no stakeholder or strategy change impacts relating to this Change Request.

3F OUTPUTS, OUTCOMES AND BENEFIT IMPACTS

There are no changes to Outputs, Outcomes or Benefits related to this Change Request.

Table 2

Previously Approved Outputs	Change to Outputs (+/-)	Planned delivery and measurement

Table 3

Previously Approved Outcomes	Change to Outcomes (+/-)	Planned delivery and measurement



3G RISK IMPACT

(UNCERTAIN EVENT(S) THAT SHOULD THEY OCCUR WILL HAVE AN EFFECT ON THE ACHIEVEMENT OF OBJECTIVES)

There are no risk impacts relating to this Change Request.

This programme level Change Request will re-base the UKC IP, thus negating the need for multiple interrelated individual project level Change Requests throughout the year and avoiding the associated administrative burden and cost to UK Central PMO and WMCA.

3H ISSUE IMPACT

(EVENT(S) THAT HAVE OCCURRED WHICH WERE NOT PLANNED AND REQUIRE MANAGEMENT ACTION)

This Change Request addresses reporting issues relating to project delays, primarily caused by the COVID pandemic, and streamlines and prioritises the programme given the constraint of available Investment Programme funding and the successful allocation of CRSTS funding.

3I PROCUREMENT IMPACT

There are no procurement impacts relating to this Change Request. Furthermore, all existing contracts have been reviewed and there are no ramifications arising because of this Change Request.



4 GOVERNANCE AND DECISION – INTERNAL USE ONLY

TO BE COMPLETED BY WMCA PROGRAMME ASSURANCE AND APPRAISAL / FINANCE BP

4A APPRAISAL RECOMMENDATION

Change Reference Number:	038
Has this change been reviewed by WMCA Appraisal?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Appraisal Recommendation:	
<p>The purpose of this Change Request (CR) is to update and re-schedule individual project business case reporting timelines within the UK Central Infrastructure Programme (UKCIP).</p> <p>Although the CR was approved by the UKC Programme Board on 07/12/22, the Appraisal recommends that the Change is referred to Investment Panel & Investment Board for endorsement due to the significant time extensions for some of the projects within the programme:- The extensions range from 3 months to 6 years across 21 projects.</p> <p>Please note: Without approval of the programme-level CR (to re-base the UKCIP), then multiple interrelated individual project-level Change Requests would need to be submitted now, and throughout the year. Individual submissions would have an associated admin burden and cost to UK Central PMO as well as the WMCA, requiring separate approvals for each CR. This would impede delivery of both individual projects and the programme as a whole.</p> <p>Ian Martin approved the recommendation to share the CR with Investment Panel and Investment Board for a decision in January 2023.</p>	

4B STAKEHOLDER INVOLVEMENT

WMCA Finance Business Partner Name:	Ian Monks
CR sent to Ian Monks for review. No feedback received.	
WMCA Legal Representative Name:	SMBC Legal
<p>Observations and Legal Statement:</p> <p>There has been no input from WMCA Legal. Andrew Kinsey from SMBC has had oversight of the CR. The appraisal has not sought feedback from Andrew Kinsey.</p> <p>The Investment Panel report has had input from Peter Geach.</p>	
Other (i.e., HR/ Health and Safety): If external to WMCA, state any other WMCA stakeholders who have input or had oversight of this change?	Serena Dhanoa and Nicholas Alamos & Investment Programme SRO



Observations and Comments:

S Dhanoa & N Alamos: The approach to varying the funding allocations within the programme to reflect revised needs and priorities has been discussed with colleagues at the WMCA (Serena Dhanoa & Nicholas Alamanos) and it was agreed this was a sensible and proportionate response to address the value of changes required.

Ian Martin (Investment Programme SRO) queried a figure within the appendix regarding the proposed allocation for Kingshurst. This was resolved during the Appraisal.

4C DECISION AND GOVERNANCE

	Approval Body	Date of Meeting
G O V E R N A N C E	Executive Director (state if Delegated Authority or SRO)	Email authorisation required from Linda Horne (Exec Director Delegated Authority) & Ian Martin (SRO) by 18/01/2023. Ian Martin approved the recommendation to share the CR with Investment Panel and Investment Board for a decision in January 2023.
	Statutory Officer Approval	N/A
	Investment Panel	27/02/2023
	Investment Board	20/03/2023
	WMCA Board	N/A

	Approved <input type="checkbox"/>	Rejected <input type="checkbox"/>	Deferred <input type="checkbox"/>
D E C I S I O N	Decision Maker and Comments:		
	Date of Decision:		
	If rejected, what was the reason for this?		



	If deferred, what was the reason and what are the next steps?	
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