**[Insert Security Classification once completed]**

**Assurance of Action Plan (AAP)**

**[Insert Department and Programme / Project Title]**

|  |  |
| --- | --- |
| **Template Version** | V1.0 2021 |
| **Report Version:** | [Insert Draft 0.1, 0.2, 0.3 or Final 1.0] |
| **Senior Responsible Owner (SRO):** | [Insert name] |
| **Date of Osmotherley Appointment letter issued to SRO:** | [Insert date] |
| **Programme or Project Title** | [Insert name and acronym (if applicable)] |
| **Does this review cover the entire Project/ Programme?** | [Yes / No] |
| **Department/Organisation of the programme/project** | [Insert name] |
| **Agency or NDPB (if applicable):** | [Insert name] |
| **Programme/Project Director (or equivalent):** | [Insert name and acronym (if applicable)] |
| **Business Case stage reached:** | Delete as appropriate:  No HM Treasury Approval Required  Pre-Approval  Strategic Outline Case or equivalent  Outline Business Case (OBC) or equivalent  Full Business Case (FBC) or equivalent |
| **Decision/approval point this report informs:** | Delete as appropriate:  MPRG Panel  Treasury Approval Point (TAP)  Departmental decision/approval point  Not applicable |
| **Review Start Date:** | [Insert dates dd/mm/yyyy] |
| **Review End Date:** | [Insert dates dd/mm/yyyy] |
| **Review Team Leader:** | [Insert name of team leader] |
| **Review Team Members:** | [Insert name(s) of team member(s)] |
| **Report Distribution** | Final report: AO, SRO, HMT [where DCA is Red, add COO Civil Service, if requested] |
| **Previous Review:** | [Insert review type]  [Insert dates]  [Insert Delivery Confidence Assessment] |
| **IPA ID Number:** | [Insert designated number] |
| **GMPP ID Number** | [Insert number] |

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***[Please remember to click on “update table” once the report is completed to ensure that the contents table above is accurate]***

**About this report**

This report is an evidence-based snapshot of the programme’s/project's status at the time of the review. It reflects the views of the independent review team, based on information evaluated over the review period, and is delivered to the SRO immediately at the conclusion of the review.



# **Assurance of Action Plan (AAP) Recommendation**

|  |  |
| --- | --- |
| **Delivery Confidence Assessment** | |
| **[Insert status: Red, Amber, Green]** | |
| *Insert a short summary in support of the AAP recommendation - descriptions at Annex A.*  The Review Team finds that [Insert a statement outlining the Review Team’s view of progress on recommendations from the previous assurance review].  [Insert ***either***: ‘Based on these findings, the Review Team considers there is sufficient evidence to support the programme/ project in proceeding to the next phase’ ***or*** ‘Based on these findings, the Review Team considers there is insufficient evidence to support the programme/project in proceeding to the next phase’]  *[Note: the statements should be an overview of the key risks and issues that the Review Team considers have the greatest impact on the outcome of the AAP. Additional evidence based views and recommendations should be included in the body of the report]* | |

# **Progress of issues, risks and recommendations from the previous assurance review**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Priority** | **Recommendation** | **Risk\* and Issue Identified with Evidence** | **Critical/**  **Essential/**  **Recommended** | **Current status - has the risk / issue been mitigated?** |
| **1** |  |  |  |  |
| **2** |  |  |  |  |
| **3** |  |  |  |  |
| **4** |  |  |  |  |

[Add or delete rows as required]

# **Current status of blockers from the previous assurance review**

|  |  |  |
| --- | --- | --- |
| **Refer. No** | **Summary of blockers and related recommendations from the original review** | **Current status – has the blocker been resolved? Action Update** |
| **1** |  |  |
| **2** |  |  |
| **3** |  |  |
| **4** |  |  |

[Add or delete rows as required]

# **Further Risk Based Recommendations (Optional)**

The Review Team makes the following recommendations which are recorded in order of priority impact and should be recorded as Critical, Essential or Recommended.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Priority** | **Recommendation** | **Risk or Issue Identified with Evidence** | **Classification**  **Insert Reference Number** [insert the classification reference number from Annex D] | **Critical, Essential, Recommended** |
| **1** |  |  |  |  |
| **2** |  |  |  |  |
| **3** |  |  |  |  |
| **4** |  |  |  |  |

[Add or delete rows as required]

All recommendations should be categorised as Critical, Essential or Recommended:

* **Critical (Do Now)**: To increase the likelihood of a successful outcome it is of the greatest importance that the programme/project should take action immediately.
* **Essential (Do By)**: To increase the likelihood of a successful outcome the programme/project should take action in the near future. *[Note to review teams – whenever possible Essential risk based recommendations should be linked to programme/project milestones e.g. before contract signature and/or a specified timeframe e.g. within the next three months.]*
* **Recommended**: The programme/project should benefit from the uptake of this recommendation.*[Note to review teams – if possible Recommended risk based recommendations should be linked to programme/project milestones e.g. before contract signature and/or a specified timeframe e.g. within the next three months.*

# **Comments from the SRO**

|  |
| --- |
| **SRO Comments** |
| [Insert comments here] |

# **Review Team findings and recommendations**

Insert findings – brief paragraphs setting out key findings relating to key risks and blockers identified during this review, and how they may impact time, cost, quality, scope and benefits. This should include a clear summary of the risk/blocker, the cause, summary of evidence, impact, and clear, succinct recommendations relating to individual findings.

**1.**

**2.**

**3. etc**

# **Areas of good practice**

In addition to sharing findings and recommendations, we suggest you add specific detail on what is being delivered successfully and the areas that you commend the team on. Please add detail to the below table where delivery is successfully taking place.

|  |  |
| --- | --- |
| **Commending delivery of** [insert the classification reference number from Annex D] | **Describe specific details of successful delivery** [include examples where possible] |
|  |  |
|  |  |

[Add or delete rows as required]

# **Acknowledgement**

|  |
| --- |
| **Review Team Acknowledgement** |
| [Insert a note of thanks to the SRO and the client team e.g. ‘The Review Team would like to thank the Project/Programme Team for their support and openness, which contributed to the Review Team’s understanding of the Programme and the outcome of this review.’] |

# **Next Assurance Review**

|  |
| --- |
| **Next Assurance Review** |
| [Insert suggested next review type, timing, areas to be covered and/or milestone(s) to be achieved.] |

# **ANNEX A – Stage Gate Assessment (SGA) Descriptions**

From 1 April 2021, the IPA has moved to a 3 tier SGA RAG status (Red, Amber, Green). The SGA will be based on the following definitions:

|  |  |  |
| --- | --- | --- |
| Colour | Criteria Description | |
| Green | Successful delivery of the programme/project to time, cost and quality appears highly likely and there are no major outstanding issues that at this stage appear to threaten delivery.  *Recommendation: The programme/project is ready to proceed to the next stage*. | |
| Amber | Successful delivery of the programme/project to time, cost and quality appears feasible but significant issues already exist requiring management attention. These appear resolvable at this stage and, if addressed promptly, should not present a cost/schedule overrun.  *Recommendation: This programme/project can proceed to the next stage with conditions but the programme/project must report back to the IPA and HMT on the satisfaction of each time bound condition within an agreed timeframe.* | |
| Red | Successful delivery of the programme/project to time, cost and quality appears to be unachievable. There are major issues which, at this stage, do not appear to be manageable or resolvable. The programme/project may need re-baselining and/or its overall viability re-assessed.  *Recommendation: This programme/project should not proceed to the next phase until these major issues are managed to an acceptable level of risk and the viability of the project/programme has been re-confirmed.* | |

# 

# **ANNEX B – Scope/ Terms of Reference for Review**

|  |
| --- |
| **[Insert the Scope/Terms of Reference for the review]** |

# 

# **ANNEX C - List of Interviewees**

The following stakeholders were interviewed during the review:

|  |  |
| --- | --- |
| **Name** | **Organisation and role** |
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# **ANNEX D – Recommendation Classifications and Priority Order**

There are 13 classifications in the classification set, Review Teams are asked to record the classification reference number of each recommendation as per the table below.

|  |  |  |
| --- | --- | --- |
| **#** | **Classification** | **Definition** |
| 1 | Governance | Recommendations related to the oversight, structure and decision making of a project/ programme. This theme also includes recommendations relating to alignment with pan-government priorities, strategies and controls. |
|
|
| 2 | Stakeholder Management | Recommendations related to relationships with all parties with an interest in the outcome of the project/programme, whether internal to the agency, internal to government or external. |
|
|
| 3 | Programme and Project Management | Recommendations related to all aspects of project, programme and portfolio management, but excludes recommendations on Risk, Issues and Dependency Management (Theme 9) and Resource Management (Theme 10) |
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| 4 | Change Management & Transition | Recommendations related to the Management of Business Change – all the work required with and in the business and with the customer to make ready for the initiative, in terms of changes to business processes including: business continuity planning, changes to work processes and resourcing, changes to organisational structures and staffing to support transformational or process changes to business delivery to ensure a smooth transition to BAU It does not include Technology Readiness for Service (Theme 12). |
|
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|
| 5 | Financial Planning and Management | Recommendations related to financial planning, organising, directing and controlling of financial activities. |
| 6 | Benefits Management & Realisation | Recommendations related to the identification, ownership, measurement and realisation of benefits and dis-benefits. Benefits can be either financial or non-financial. |
| 7 | Commercial Strategy & Management | Recommendations related to the end-to-end procurement process including: Procurement strategy and planning, Approaches to the market, Contract negotiation and Contract management. |
|
|
| 8 | Context, Aim & Scope | Recommendations that are aimed at the clarity of the change to be implemented. It covers alignment to vision, strategy and policy; the purpose, objectives, justification and description of the change; and the determination of success and the necessary environment to ensure success. |
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| 9 | Risk, Issues & Dependency Management | Recommendations related to the identification, analysis, impact assessment, response and the on-going review and management of Risks, Issues and Dependencies (i.e. outputs that are required by a project to succeed, but which will be delivered by parties not under the direct control of the project). |
|
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| 10 | Resource & Skills Management | Recommendations related to all aspects of the identification, supply, optimisation, prioritisation and maintenance of resources and appropriate skills. |
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| 11 | Knowledge Management | Recommendations related to the process of capturing, developing, sharing, and effectively using organizational knowledge. It includes sharing knowledge and experiences or Lessons Learnt. |
|
| 12 | Technology | Recommendations related to all technology  issues, including the alignment of the technology solution to the technology  and business strategy, the integration of one or more technology solutions,  the operational readiness of the solution (including testing of the  solution), and all aspects of security relating to the technology solution. |
|
|
|
| 13 | Other | To be used only when other classifications do not apply. |

Each risk-based recommendation will be recorded as Critical / Essential or Recommended:

* **Critical (Do Now):** To increase the likelihood of a successful outcome it is of the greatest importance that the programme/project should take action immediately.
* **Essential (Do By):** To increase the likelihood of a successful outcome the programme/project should take action in the near future. [Note to review teams – whenever possible Essential risk-based recommendations should be linked to programme/project milestones e.g. before contract signature and/or a specified timeframe e.g. within the next three months.]
* **Recommended:** The programme/project should benefit from the uptake of this recommendation. [Note to review teams – if possible Recommended risk-based recommendations should be linked to programme/project milestones e.g. before contract signature and/or a specified timeframe e.g. within the next three months.]