Infrastructure
and Projects
Authority

Gate Review Process

Gate 1 Review: Business Justification

Version: V1.0

Contents

Introduction to the
Gate Review Process

Why Getting Programmes and Projects Right Matters

Good management and control of programmes and projects is essential to the successful delivery of government objectives and protecting value for money. The Infrastructure and Projects Authority's (IPA) Gate Review process is designed to provide a realistic view on a programme and project's ability to deliver agreed outcomes to:

- time;

- cost;

- benefits; and

- quality.
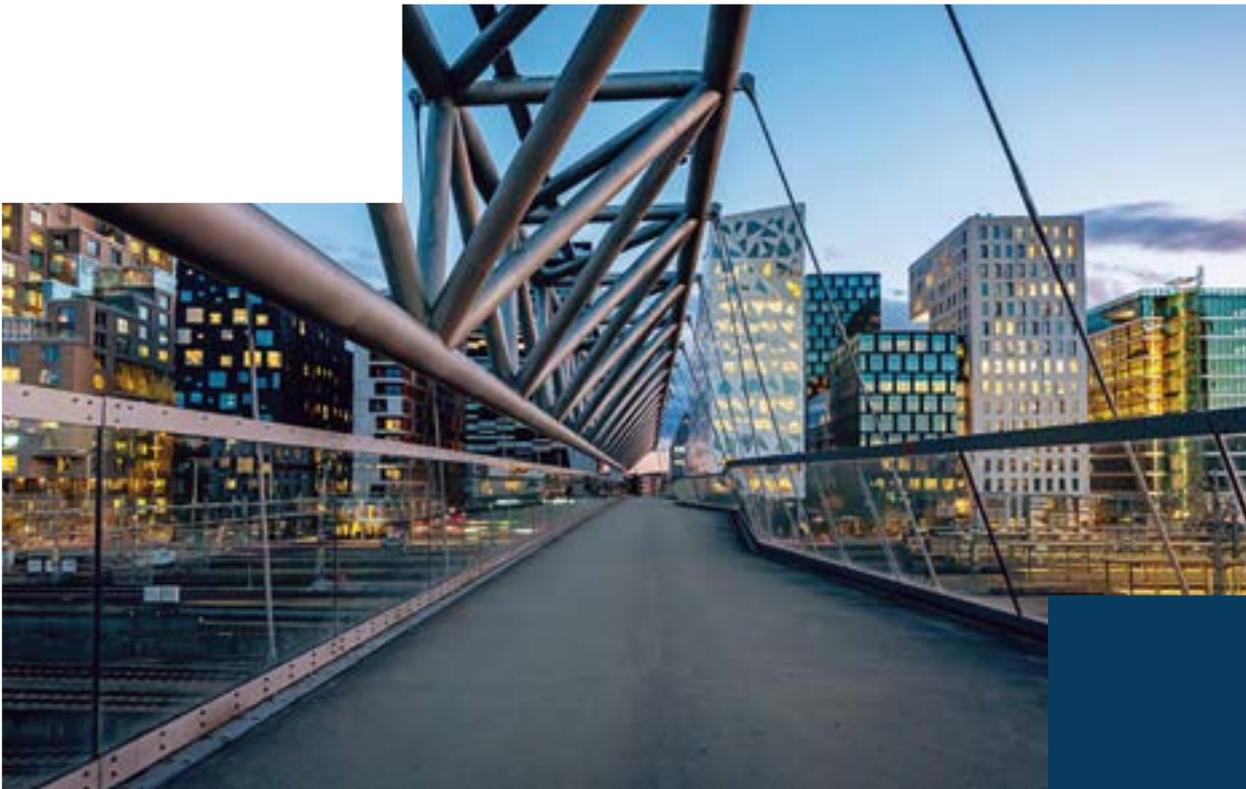
The Gate Review Process

The Gate Review process gives 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. For programmes and projects on the Government Major Project Portfolio (GMPP) review outcomes will be shared with the Accounting Officers (AOs), HM Treasury (HMT) and Cabinet Office (CO) Leadership to further support successful delivery.

This process is anchored to the Five Case Business Case Model and looks to examine programmes and projects at key decision points in their lifecycle to provide assurance that they can progress successfully to the next stage. Refer to the Government's Project Delivery Functional Standards for more information on the project delivery lifecycle and key decision points.

SROs and AOs should be aware of the extent and limitations of the various review processes – for example, the fact that a Gate Review has taken place does not replace the need for a full audit opinion on the effectiveness of risk management, control and governance in the audited area.

The Gate Review Process as part of the Assurance Framework

Every public sector body will have its own structures and resources for carrying out internal reviews, health checks and audits of their activities, including programmes and projects. The Gate Review process provides a snapshot view of progress at a point in time and, therefore, should be seen as complementary to these internal processes, and not a replacement for them.

Organisations should have in place an effective framework to provide a suitable level of assurance for their portfolio of programmes and projects. This requires management to map their assurance needs in an Integrated Assurance and Approvals Plan (IAAP) and identify the potential sources for providing them. Public sector bodies are encouraged to ensure adequate and timely coordination and sharing of information, including plans, between the various internal review functions.

Further, none of these review processes is a substitute for a rigorous governance framework in the organisation to manage key processes including business planning, investment appraisal and business case management (including benefits management), programme and project portfolio management, risk management, procurement/acquisition, and service and contract management.

Tailoring the Gate Review

The Gate Review Workbooks are published by the UK Government and provide guidance on:

■ The structure of each Gate Review;

■ The areas of investigation to be addressed by the Review Team; and

■ Examples of the evidence which would demonstrate to the Review Team the satisfactory nature of responses to the various topics.

These topics and the examples of evidence should be regarded as indicative and not prescriptive. The Review Team should consider whether additional or different topics need to be addressed, and the evidence to be sought. Approaches may vary according to the context of the programme and project. Supplementary guidance is provided for the following major project and programmes types:

■ Infrastructure;

■ Transformation;

■ Defence; and

■ Digital/Information and Communications Technology (ICT).

Using the Gate Review Workbooks

The questions and evidence captured in this workbook align to the Five Case Business Case Model to ensure a consistent approach is followed throughout the Gate Review Process.

The Review Team should start with the core questions captured in this Gate Review Workbook, and also review the specific programme and project type questions and make any amendments as required to ensure the Gate Review is adapted based on the project and programme type. Care should be taken not to adopt a tick box approach, as much attention should be paid to actual progress as to the presence of products.

Net zero and climate adaptation as part of the gate review process

For the first time, the Gate Review Workbooks include tests for **net zero** and **climate adaptation**. Although these are high level and have been defined as such to cater to a wide range of project typologies, they are **likely to be most applicable to infrastructure and building projects**.

For transformation, defence and digital/ICT we would expect review questions to be tailored and aligned with the principles and spirit of these tests namely:

■ very early consideration of climate mitigation and adaptation, biodiversity and wider environmental targets and the incorporation of these in project definition and option assessment,

■ use of relevant Green Book and Supplementary Guidance,

■ strategic alignment with departmental or sectoral strategies and plans as they become available,

■ consistent estimation, measurement and reporting of GHG emissions, where applicable

■ proportionality in the application of relevant tests.

Please bear in mind this will be subject to periodic updates to reflect the latest available Government and scientific guidance as well as departmental strategies and plans as they become available.

We would greatly appreciate feedback from project teams regarding the coverage, relevance and applicability of the tests at gateway.helpdesk@ipa.gov.uk.

Gate 1 Review: About this Gate Review Workbook

This Gate Review Workbook supports the Gate 1 Review: Business Justification. This is the first project gate review which investigates the Strategic Outline Case (SOC) and a proposed way forward to confirm that the project scope is clear and achievable and the project is likely to deliver what is required.

This Gate 1 Review checks that:

- Stakeholders approve the intended benefits from the project;

- The linkage with programme and organisational objectives are clear;

- The optimum balance of cost, benefits and risk has been identified;

- Adequate resources are in place; and

- Availability of funding.

Business Justification

The project initiation process produces a justification for the project based on business needs and an assessment of the project's likely costs and potential for success. This first Gate 1 Review comes after the SOC has been prepared and before finalisation and approval by a Project Board, executive authority or similar group for authority to proceed and prior to any required HMT spending approval.

The Gate 1 Review focuses on the project's business justification. It provides assurance to the Project Board that the proposed approach to meeting the business requirement has been adequately researched and can be delivered. It also confirms that the benefits to be delivered from the project have been identified at a high level, and that their achievement will be tracked using a defined measurement approach.

Purpose of the Gate 1 Review

The purpose of the Gate 1 Review is to:

- Confirm that the project is still aligned with the objectives and deliverables of the programme and/or the organisational business strategy to which it contributes, if appropriate evaluation of actions taken to implement recommendations made in any earlier assessment of deliverability;

- Confirm that the SOC is robust – that is, in principle it meets the business needs, is affordable, achievable, with an appropriate range of shortlisted options explored and likely to achieve value for money;

- Ensure that there is internal and external authority, if required, and support for the project;

- Establish that the project is likely to deliver its business goals and that it supports wider business change, where applicable;

- Ensure that the full scale, intended outcomes, timescales and impact of relevant external issues have been considered;

- Ensure that the desired benefits have been clearly identified at a high level, together with measures of success and a measurement approach;

- Confirm that appropriate expert advice has been obtained as necessary to identify and/or analyse potential options;

- Confirm that overarching and internal business and technical strategies have been taken into account;

- Where appropriate, establish that the feasibility study has been completed satisfactorily and that there is a preferred way forward, developed in dialogue with the market where appropriate;

- Confirm that the market's likely interest has been considered;

- Establish that quality plans for the project and its deliverables are in place and ensure there are plans for the next stage;

- Confirm there is a clear understanding of the capabilities required to deliver the project, and a plan to build these capabilities where they do not already exist; and

- Confirm planning assumptions and that the Project Team can deliver the next stage.

Assessment of the Proposed Solution

Core Questions and Evidence

#	Category	Question	Evidence
1.1	**Strategic**	Is the project sufficiently mature to be considered at Gate 1?	■ The project should demonstrate that piloting has been considered and either rejected with rationale or built into the plan before committing to a delivery approach or long term cost.
			■ The project should demonstrate that it has conducted a feasibility study, which has examined a wide enough range of options that will meet the business requirement. This should include the advantages and disadvantages for each option to determine its potential for meeting the Critical Success Factors. Options should be appraised and ranked in accordance with principles of the Treasury Green Book and internal guidance and provide clear analysis of whole life cost.
			■ The project should demonstrate that there has been an evidence based assessment in order to evaluate and select the most suitable commercial model. The commercial model should be signed off in the commercial strategy and there should be evidence of regular review.
			■ The project should demonstrate that contract management issues have been considered.
			■ The Project should demonstrate that it has conducted a feasibility study, which has examined a wide enough range of options that will meet the business requirement. This should include the advantages and disadvantages for each option to determine its potential for meeting the critical success factors. Options should be appraised and ranked in accordance with principles of the Treasury Green Book and internal guidance and provide clear analysis of whole life cost.

#	Category	Question	Evidence
			■ The Project should demonstrate that it has a benefits strategy and has identified the financial and non-financial benefits at a high level and had initial discussion with the stakeholders to seek their views. The benefits for each economic option should be clear and the differences explained. The benefits strategy should be included in the Project Execution Document (PED). ■ The project should have a Greenbook compliant Strategic Outline Case (SOC) drafted and in the process of review and approval. The SOC should pay equal attention to final operational factors as it does to buy/build assets.
1.2	**Strategic**	How has policy and strategic alignment, (must include a cross- departmental network or system level alignment) been considered for this programme/project?	■ Evidence of continual review of policy and strategic alignment at a cross- departmental network and system level. ■ Clear articulation and evidence of how the project links to priority outcomes at a department and government level, as set out in the Public Value Framework and agreed through Outcome Delivery Plan. ■ Use of the Project Outcome Profile to demonstrate the link between cross-government priorities, department priorities and project priorities and outcomes. ■ Assessment against the list of wider government objectives, standards and business change programmes. ■ Assessment against the list of current organisational strategy and business objectives and policy initiatives; confirmation of the role of this project in a wider programme or policy initiative. ■ Assessment of business justification as stated in the SOC. There is a consensus amongst key project stakeholders in relation to the project vision.

#	Category	Question	Evidence
1.3	**Strategic**	Is there a clear and agreed understanding of business goals and how the project will deliver these? Is there a clear narrative as to how the outcomes fit into the wider organisation thinking and has this been approved by key stakeholders?	■ Business objectives for the project are clearly stated, Specific, Measurable, Agreed, Realistic and Timely (SMART), and meet the business needs of the organisation. ■ Each main objective has defined critical success factors. ■ A strategy for achieving business benefits defined and agreed with stakeholders. ■ Total scope, including timescales, expressed as a range and identifying expected phases of delivery, are documented and agreed with stakeholders (including end-users or their representatives) and technical authorities. ■ Scope and requirements specifications are realistic, clear and unambiguous. ■ Delivery approach and mechanisms defined and agreed with stakeholders. ■ For IT-enabled projects: IT developments defined as component(s) of wider programme of business change/new services to the citizen. ■ A longlist of options has been reviewed and there is clear justification for the shortlisted selection.

#	Category	Question	Evidence
1.4	**Strategic**	Is the project compliant and does it contribute to the successful implementation of The Climate Change Act 2008 (2050 Target Amendment) Order 2019 (hereafter The Climate Change Act 2008 as amended) and other subsequent and relevant legislation, regulations, strategies and or plans/roadmaps?	■ Evidence that the project is part of an overarching Net Zero strategy and aligned with defined pathways. ■ Evidence that the principles and policies of the 25 YEP and sustainability as defined by the 1987 UN Commission "meeting the needs of the present without compromising the ability of future generations to meet their own needs" have been incorporated both in the definition and consideration of the strategic options available ■ Evidence that the project is compliant with and contributes to the Climate Change Act 2008 as amended and other subsequent and relevant legislation, regulation, strategy and or plan/roadmap such as the BEIS Net Zero Strategy. For projects with long lifespans such as infrastructure and building projects basic compliance principles to be followed are: ■ project should not imply a breach in future budgets/targets, ■ consider the "touch-it-once" principle – generally easier and more cost-effective to build infrastructure that is zero-emission (or low-emission) by design, rather than to retrofit later, ■ prioritise use of low-carbon materials and energy, ■ take into account a range of future behaviour patterns, including low-carbon behaviours. ■ Evidence that climate mitigation (understood as reducing the direct and indirect greenhouse gas emissions impact of climate change) has been incorporated. Projects are expected to provide evidence that they are part of an overarching departmental or sector specific net zero strategy and plan and aligned with the legally binding net zero target and legislated Carbon Budgets. ■ Evidence that the HM Treasury Green Book and any relevant Supplementary Green Book Guidance, such as Accounting for the effects of climate change, Valuation of energy use and greenhouse gas emissions for appraisal, Valuing infrastructure spend has been applied.

#	Category	Question	Evidence
1.5	**Strategic**	Is the project compliant with and does it contribute to climate resilience of the populations and systems it is part of or it affects?	■ Evidence that climate adaptation (understood as reducing the vulnerability and exposure to climate change) has been incorporated. Projects are expected to use the most recent UK Climate Change Risk Assessment (CCRA) to identify key climate risks that are relevant for the project. Projects should also ensure that, where their parent organisation has a specific climate change and adaptation plan, the project takes these into consideration early on (e.g. Network Rail Route Weather Resilience and Climate Change Adaptation Plan). For larger/national infrastructure projects the use of the UK CCRA might not be sufficient and a more bespoke assessment early in the project definition stage should be considered. Where relevant projects are expected to include in their climate resilience plans the Environment Agency's climate change allowances for flood risk. ■ Evidence that the HM Treasury Green Book and any relevant Supplementary Green Book Guidance, such as Accounting for the effects of climate change, Valuation of energy use and greenhouse gas emissions for appraisal, Valuing infrastructure spend has been applied.

#	Category	Question	Evidence
1.6	Strategic	Is the project compliant and does it contribute to the successful implementation of The 25 Year Environmental Plan (25 YEP) and other subsequent and relevant legislation, regulations, strategies and or plans/roadmaps?	▪ Evidence that the principles and high level goals and outcomes of the 25 YEP have been considered, incorporated and an impact assessment has been carried out, where relevant. To understand whether the project is likely to have an impact on natural capital that would require further assessment, consider whether the answer to one or more of the questions below is "yes" or "maybe". Is the project likely to affect directly or indirectly: ▪ the use or management of land, or landscape? ▪ the atmosphere, including air quality, GHG emissions, noise levels or tranquillity? ▪ an inland, coastal or marine water body? ▪ wildlife and/or wild vegetation, which are indicators of biodiversity? ▪ the supply of natural raw materials, renewable and non-renewable, or the natural environment from which they are extracted? ▪ opportunities for recreation in the natural environment, including in urban areas? ▪ Evidence that sustainability as defined by the 1987 UN Commission "meeting the needs of the present without compromising the ability of future generations to meet their own needs" has been considered ▪ Evidence that, where applicable, the project has considered the need to deliver biodiversity net gain as set out in legislation or policy applicable at the time and whether there are links to the Environmental Land Management scheme (ELM)
1.7	Strategic	Has the project considered how it will contribute to the United Nations Sustainability Goals (SDGs) and departmental targets?	▪ Evidence that the relevant UN SDGs have been considered (at Goal, Target or Indicator level) and incorporated into department strategic goals. ▪ Demonstration of how these goals have been incorporated into the CSFs. ▪ Evidence that an assessment has been made of any potential detrimental effects of project activities to the SDGs.

#	Category	Question	Evidence
1.8	**Strategic**	How has the project aligned objectives across sectors/tiers/allied organisations?	■ Objectives must be agreed and shared amongst the project and to wider areas within Government to ensure a clear view of the interdependencies are understood. ■ The project should understand how they have identified sectors/tiers/allied organisations that align to their objectives. ■ Evidence that this has been agreed with key stakeholders. ■ Where relevant, the project should demonstrate: 　■ Evidence of NetZero in the strategic aims of the project, the procurement strategy and implementation, and a clear quantifiable demonstration of the project's contribution to the Government's NetZero target. 　■ Evidence of continual review of policy and strategic alignment at a cross-departmental network and system level.
1.9	**Strategic**	Do stakeholders support the project and is the organisation still fully committed? Do stakeholders support the shortlist?	■ Documented involvement of, and endorsement by, stakeholders of the approach. ■ Clear approach for continued consultation, involvement, support and endorsement. ■ There is consensus amongst key project stakeholders in relation to the project vision. ■ There is evidence that stakeholders support the shortlist. ■ The project has a high-level communications strategy and plan including a compelling narrative setting out the case for change.
1.10	**Strategic**	Has the feasibility study examined a wide enough range of options that will meet the business requirement?	■ Options explored for collaboration with other public sector organisations and programmes/projects. ■ Options have been discussed with key stakeholders. ■ Where applicable, options have been assessed in accordance with Regulatory or Policy Related Impact Assessments . ■ The advantages and disadvantages for each option to determine its potential for meeting the Critical Success Factors (CSF). ■ Market sounding indicates that suitable solutions can be provided. ■ Options cover project contributions to the SDGs and other UK sustainability and environmental goals and commitments..

#	Category	Question	Evidence
1.11	**Strategic**	Has a robust short-list been identified from the long-list on the basis of alignment to spending objectives and CSF? Has this been endorsed by key stakeholders?	▪ Options appraised in accordance with principles of the Treasury Green Book and internal guidance. ▪ Options ranked. Examination of all options that are acceptable in principle. ▪ Clear analysis of whole-life costs for each option. ▪ Evidence of endorsement by key stakeholders.
1.12	**Strategic**	Does the organisation have the skills and capability to undertake the selected option?	▪ Evidence of analysis between skills and capability required and available. ▪ Evidence of commitment to key roles and responsibilities for the project from within the business within current corporate priorities, and capacity made to enable delivery of the project's objectives. ▪ The project should demonstrate that it has the right resources with the right experience including a bottom-up resource model with underpinning assumptions that supports the delivery of the plan. ▪ The Project should demonstrate evidence of robust resource estimation and planning and resource allocation to ensure delivery of the project objectives. ▪ Evidence that the Project Initiation Routemap has been considered.
1.13	**Strategic**	Has, and will, the project follow the principles of making benefits-focussed announcements, and when a cost and schedule are announced expressing them as a range that will narrow as the project progresses through delivery?	▪ The benefits strategy details the principles of benefit focused announcements, tied into the phases of delivery. When cost and schedule are announced they should be expressed as a range that will narrow as the project progresses through delivery. ▪ Ministers are actively encouraged to make benefits focused announcements rather than cost based ones.

#	Category	Question	Evidence
1.14	Strategic	Has the project embedded the National Infrastructure Commission (NIC) four recommended design principles? ■ Carbon emissions mitigation and adaptation to climate change; ■ People-based outcomes and community engagement; ■ Local identity and improving environment; and ■ The realisation of economic, environmental and social benefits to the population	■ The project has embedded the four recommended design principles as set out by the NIC.
1.15	Strategic	What long term impact will the project have on the UK economy including opportunities to maximise the scheme's benefits by joining up different sectors and tiers of government (e.g. transport and housing)?	■ The benefits strategy must detail the wider and long term impact the project will have on the wider UK economy and a benefits map which details how the project will impact wider areas of government included in the benefits strategy. ■ Evidence of a comprehensive benefits realisation plan.
1.16	Strategic	Does the project have a Greenbook Compliant SOC?	■ The project should have a Greenbook compliant SOC drafted and in the process of review and approval. The business case should pay equal attention to final operational factors as it does to buy/build assets. ■ The SOC should be produced following HMT guidance.

#	Category	Question	Evidence
1.17	**Strategic**	Does the list of identified risks, constraints and dependencies include climate mitigation, adaptation, sustainability, environmental and systemic considerations, if applicable?	■ Projects are expected to consider climate change in terms of: uncertainty, thresholds or tipping points, long-term time horizons, interdependencies, early interventions, lock-in/flexibility. ■ Evidence that the project has considered the implications of these considerations, including in terms of legal and planning consent matters, if applicable. Projects should bear in mind that current national planning policies for infrastructure differ in the extent to which climate impacts are covered: ■ Environmental Impact Assessment regulations – evaluation of the infrastructure's vulnerability to climate change for new major infrastructure and may require support from statutory consultees ■ National Policy Statements – climate change actively considered for major new energy, transport, waste water and water projects ■ National Planning Policy Framework & Planning Guidance – for smaller projects, only considers flood risks ■ Evidence that the systemic and interdependent nature of net zero and decarbonisation pathways has been considered and implications understood. Projects are expected to identify and assess what other projects or decarbonisation pathways they depend on or enable within their organisation or wider Government portfolio. ■ Evidence that any relevant Supplementary Green Book Guidance, such as Accounting for the Effects of Climate Change, has been followed in the appraisal of options.

#	Category	Question	Evidence
2.1	**Economic**	Have the Net Present Values been calculated for the short-listed options on the basis of preliminary analysis of their costs and benefits, including optimism bias for uncertainty?	■ Sensitivity analysis of all appropriate options on key variables e.g. volumetrics, channel shift detailed in the business case. ■ Major sensitivities included in the risk register. ■ Interviewees can explain how the project has approached option appraisal with an open mind (rather than retrofitting the analysis to pick the already preferred option). ■ The project should demonstrate a broad range of business case options at this stage, showing the relative benefits, disbenefits, costs, risks and opportunities of each. The affordability of each option should also be considered.
2.2	**Economic**	Have the benefits and outcomes identified in the strategic case been captured as part of the economic appraisal (either monetised or non-monetised)?	■ Evidence that the main economic, social, environmental and climate benefits (and disbenefits, where applicable) have been identified. ■ Evidence that any relevant Supplementary Green Book Guidance, such as Accounting for the Effects of Climate Change, has been followed in the appraisal of options. ■ The project should demonstrate what long term impact it will have on the UK economy including opportunities to maximise the scheme's benefits by joining up different sectors and tiers of government (e.g. transport and housing). ■ The Project should demonstrate the macroeconomic factors that could impact the ability of government and the supply chain to deliver the project effectively. A clear benefits map should include the macroeconomic factors and potential impacts.

#	Category	Question	Evidence
2.3	**Economic**	Have the main economic, social, environmental and climate benefits (and disbenefits, where applicable) been identified?	■ Evidence that any relevant [Supplementary Green Book Guidance](#), such as [Accounting for the effects of climate change](#), [Valuation of energy use and greenhouse gas emissions for appraisal, Valuing infrastructure spend](#) has been followed in the appraisal of options. As a minimum, it would be expected that the assessment of options is undertaken under a 2°C and 4°C climate scenario and systemic risks are considered. ■ Evidence that all possible options including: "no-regret/low regret options" (e.g. development control; reducing leakage; flood/heat resilient construction), "win-win options" (e.g. improving preparedness, low energy solutions, support biodiversity objectives, improve natural capital and other broader environmental objectives), "building nothing", "adapting existing" and "natural infrastructure/solution", to solve the identified problem/need have been identified and considered in the option assessment. Projects should consider sensitivity to plausible changes in climate over their lifetime and whether that means adaptation plans will need to be developed or, indeed, whether the range of options analysed so far is truly sufficient. Where "future flexibility" (e.g. building climate headroom or allowing for future modification) have been considered, the rationale for including this should be supported by evidence. Alternatively, the need for "future flexibility" should be reflected in the application of another suitable appraisal method. ■ Evidence that a whole life approach (cradle to cradle or cradle to grave as a minimum) has been taken into account in the identification and consideration of main benefits (and disbenefits). Projects are expected to use the whole life carbon assessment framework early on in their option definition and assessment as advised in the [Construction Playbook](#) and report the early stage estimates to the IPA, either as part of the Government Major Projects Portfolio (GMPP) returns, the IPA Benchmarking Hub or other reporting mechanisms set up in place by the Government Construction Metrics Working Group chaired by IPA.

#	Category	Question	Evidence
3.1	**Commercial**	Is the project likely to be attractive to the market? Has the attractiveness to market been considered for the shortlist?	■ Market sounding has been undertaken, including an examination of recent similar procurements by others, and indication of suitable suppliers available to deliver requirements. ■ There is adequate capacity, capability and competitive interest in the market to meet the requirement. ■ Early supply-side involvement to help determine and validate what outputs and outcomes are sought for the project, including proof of concept exercises. ■ Senior management are sufficiently engaged with the industry to be able to assess supply-side risks across all phases of delivery.
3.2	**Commercial**	Have contract management issues been considered?	■ Requirements for 'intelligent customer' capability considered. ■ Arrangements for managing single/multiple suppliers considered. ■ Where multiple suppliers are likely to be appointed, high level plans exist for managing the interfaces. ■ Appropriate relationships determined and optimum scale of contract(s) appropriately considered.
3.3	**Commercial**	How have re-competition issues been addressed with incumbent suppliers, if relevant?	■ Arrangements are in place to provide continuity of service up to transition to new supplier(s). ■ Agreements with current suppliers on how they will support due diligence during the procurement phase. ■ Clear separation of roles where the incumbent supplier is bidding for a replacement contract. ■ Consideration of workforce issues such as Transfer of Undertaking, Protection of Employment (TUPE) regulations, where applicable.
3.4	**Commercial**	Commercial model – has the project determined an evidence based assessment in order to evaluate and select the most suitable commercial model?	■ Commercial strategy considered and documented. ■ Viable options have been identified with a focus on optimising Value for Money.

#	Category	Question	Evidence
4.1	Finance	Does the project have a comprehensive financial management process in place?	■ The project can demonstrate that: 　■ It has a comprehensive financial management process in place and risk/contingency calculations have been included in the budget and show that the baseline has an appropriate allowance for risk/contingency. 　■ An appropriate cost baseline including an assured, resource loaded schedule that demonstrates cost by component in accordance with the project work breakdown structure. 　■ Costs are within current budgets, whole life funding is affordable, supported by stakeholders, and committed by departmental Finance and HM Treasury. 　■ How it has been calculated and that it is appropriate for the lifecycle stage – Cost Risk Assessment (QCRA)/Revolving Credit Facility (RCF)/optimism bias. 　■ Evidence that optimum bias has been factored into the overall project. 　■ Risks should be presented as a range rather than a single-figure estimate, i.e. an estimate at both the P50 and P80 levels. 　■ A bottom-up approach on how the risk/contingency allowance is calculated. 　■ Where risks cannot be reduced, the costs of managing these risks separately identified and included as a risk allocation provision. 　■ Analysis undertaken of the effects of slippage in time, cost, scope or quality.
4.2	Financial	How has the project approached cost baselining?	■ The project should demonstrate that cost estimates have been built up using a number of planning and estimating techniques and cost benchmarking.

#	Category	Question	Evidence
4.3	**Financial**	Are the cost and time implications of managing the risks included in the cost and time estimate or treated as a separate risk allocation?	■ Costs and time for managing risks separately identified. ■ Costs and time estimated for risk countermeasures and, where appropriate, contingency and business continuity plans. ■ Where risks cannot be reduced, the costs of managing these risks separately identified and included as a risk allocation provision. ■ Analysis undertaken of the effects of slippage in time, cost, scope or quality at each phase of delivery. ■ Decisions on how residual risks are being managed.
4.4	**Financial**	Are there processes to identify, assess, allocate, manage and monitor current, anticipated and emerging risks and issues that might impact the project's financials?	■ List of risks and key issues, categorised as strategic, political/reputational, legislative, implementation and operational service risks (including business, technical, financial and commercial/contractual risks within these categories as appropriate). In addition: for IT-enabled projects, information security risks; for construction projects, risks relating to health and safety. ■ Risk management strategy developed in accordance with best practice. ■ Individual with responsibility for managing risk across the project, mitigation options and contingency plans. ■ Defined roles, responsibilities and processes for managing issues and risk across the project, with clearly defined routes for bringing issues and risks to the attention of senior management.
4.5	**Financial**	Is budgetary provision confirmed?	■ SOC contains an analysis of the indicative Whole of Life Costs and the detailed costs to get to the next stage against budget. The Whole of Life Costs should be shown as a range.

#	Category	Question	Evidence
5.1	**Management**	Does the project have clearly defined outcomes which have been approved by key stakeholders?	■ The Project should demonstrate a clear understanding of: ■ Business objectives stated and Specific, Measurable, Agreed, Realistic and Timely (SMART), and meet the business needs of the organisation. ■ The outcomes to be delivered which are soundly based, with leading and lagging indicators. ■ What constitutes success, and the critical success factors. ■ How the required quality of performance will be measured. ■ Risks, dependencies, constraints which may impact the project outcomes. Each should have clear owners. ■ Contingency plans which will be activated to mitigate risk of failure. ■ Business continuity plans where appropriate. ■ The required engagement with delivery chains, and the market to achieve the outcomes. ■ Where suppliers are in place, their ability to deliver has been considered. ■ Evidence that outcomes have been approved by key stakeholders.
5.2	**Management**	What are the macroeconomic factors that could impact the ability of the government and the supply chain to deliver the project effectively?	■ A clear benefits map should include the Macroeconomic factors and potential impacts included in the benefits map at each phase of delivery.

#	Category	Question	Evidence
5.3	**Management**	Have programmes and projects defined an integrated plan for undertaking assurance and approvals (IAAP)?	▪ A defined and integrated plan for undertaking assurance and approvals in place, is regularly reviewed, updated and maintained, with a plan to do so until closure. ▪ Assurance measures to include: ▪ 'Critical friends' to the project (e.g. internal audit, procurement, specialists and/or peer reviewers co-opted onto the Project Board) appointed. ▪ Health-checks and/or policy reviews incorporated into plans. ▪ 2nd Line of defence assurance through the Department Portfolio Office. ▪ Gate assurance through the IPA.
5.4	**Management**	Is there a realistic plan to reach the next phase?	▪ Objectives, planning assumptions, constraints, activities, quality plans, deliverables and milestones defined and agreed for the next phase as well as for the remaining phases. Detail should be high for the immediate next phase. ▪ A dependency management process has been established which ensures that dependencies are managed, and the impacts are understood. ▪ Assessment of the validity of current assumptions. Assumptions have been costed if relevant. ▪ Evidence that the project addresses both short term and long-term business requirements. ▪ Evidence that suitable solutions are available from the market and that it has sufficient capacity. ▪ For projects with a design phase, such as construction projects, evidence that the project timescale allows enough time for the development of the required design quality. ▪ For IT-enabled projects, evidence of consideration of a proof of concept stage and compliance with ICT government standards.

#	Category	Question	Evidence
5.5	**Management**	Have all the likely stakeholders been identified and their needs clearly understood?	■ Internal and external stakeholders identified and documented. ■ Stakeholders' roles and responsibilities, and their potential influence on the project, defined and agreed. ■ End-users for the project identified and documented. ■ Evidence that the decision-making process is inclusive of all of the relevant stakeholders and is both efficient and effective. ■ Results of consultations documented as part of project stakeholder engagement/communications strategy. ■ If the project traverses organisational boundaries, there are clear governance arrangements to ensure sustainable alignment with the business objectives of all organisations involved. ■ Stakeholder engagement should be included in the Project Execution Document and demonstrate: 　■ A key list of stakeholders, and statement of their needs and support for the project. 　■ Stakeholders' roles and responsibilities, and their potential influence on the project, defined and agreed. 　■ End-users for the project identified. 　■ Evidence that the decision-making process is inclusive of all the relevant stakeholders and is both efficient and effective. 　■ Results of consultations documented as part of project stakeholder engagement/communications strategy. 　■ If the project traverses organisational boundaries, there are clear governance arrangements to ensure sustainable alignment with the business objectives of all organisations involved.
5.6	**Management**	Are all relevant government initiatives being addressed?	■ Evidence that the SRO or equivalent is undertaking their responsibilities as required in relevant policy initiatives such as the Construction Playbook and Transformational Government (including Shared Services).

#	Category	Question	Evidence
5.7	**Management**	Is the project risk exposure within the organisation's risk appetite?	■ List of risks and key issues, categorised as strategic, political/reputational, legislative, implementation and operational service risks (including business, technical, financial and commercial/contractual risks within these categories as appropriate). In addition: for IT-enabled projects, information security risks; for construction projects, risks relating to health and safety.
5.8	**Management**	Does the project have mechanisms in place to learn lessons?	■ The project should demonstrate that it has conducted a lessons learnt exercise pre-gate 1 and learnt lessons from other recent similar projects across UK gov and help inform its business case and delivery approach. ■ The project should demonstrate that there is a mechanism in place to learn lessons from its own delivery regardless of the stage in the project delivery lifecycle. ■ This mechanism should lead to Project Board reports on lessons learnt when appropriate action is taken. Lessons should also be provided to the Department Portfolio Office for inclusion in Portfolio system learning.
5.9	**Management**	Does the project have an in-depth understanding of risk, and is there a process to identify, assess, allocate, manage and monitor current, anticipated and emerging risks and issues?	■ Risk management processes are outlined in the RAID Log. ■ Project risks are identified through engagement with stakeholders and articulated in terms of serierty, proximity and likelihood with comprehensive mitigating actions and residual risks articulated in the risk tab of the projects RAID log. ■ The risk register should show risks relating to the strategy, economics, commercials, financials and management (focusing on deliverability) of the project. Each business case that is produced should include the relevant risks in the relevant case and show how the risk has changed since the last Gate.

#	Category	Question	Evidence
5.10	**Management**	Does the project have a robust reporting process?	■ The project should demonstrate a mature suite of interconnected reports are maintained where content and insights are identifiable across the suite. Reports are continually reviewed, focussed to support key organisational decision making and strategy and evolve as improved information or technology becomes available. Benchmarking plays a key role in recommended decisions and options based on analytics. ■ The Project should demonstrate plans and processes are in place to publish key cost, schedule and performance data for each stage of the project delivery lifecycle.
5.11	**Management**	Does the project have all of the required products in place, and approved, required for this gate?	■ The project should have all of the required products produced, and approved by the Project Board before coming to the gate. *Refer to the Project Documentation section for a summary of the products required.*
5.12	**Management**	Does the project have the right leadership in place?	■ The project should demonstrate that it has adequate leadership which includes a definitive SRO and Programme, and Project Directors (where the projects are of a certain size and complexity). The governance framework should be clearly outlined with a clear owner for the project. ■ An SRO appointment letter must be in place. ■ The SRO must demonstrate that they are undertaking their responsibilities as required in relevant policy initiatives.

#	Category	Question	Evidence
5.13	**Management**	Does the project have proper controls that hold the project team to account for timely and quality delivery?	■ The Project Execution Document should set out: ■ The overall programme controls (progress tracking, risk management, issue identification and resolution, impact assessment) are defined. ■ Interdependencies between other programmes and projects defined, with adequate plans for managing them. ■ For collaborative programmes, accountabilities and governance arrangements for different organisations defined and agreed. ■ Parties in the delivery chain identified and an approach to them working together established. ■ Processes to manage and record key project information and decision-making. ■ Clear governance structure with a RACI in place.
5.14	**Management**	Does the project have a clearly defined architecture?	■ Project & Programme business cases and Project Delivery Documents should include a project structure and business case structure that shows: ■ The perimeter of the programme and its respective Projects. ■ All business cases that will be included in the project. ■ How costs and benefits will be tracked and aggregated from Projects to the overarching Programme. ■ Approved programme/project and business case structures will be reviewed at each gate, any changes must clearly demonstrated and must have gone through formal change controls.

#	Category	Question	Evidence
5.15	**Management**	Has the project used robust planning and estimation techniques?	■ Planning and estimation techniques include: Analogous estimation, Parametric estimation, Delphi method, 3 Point Estimate, Expert Judgment, Published Data Estimates, Vendor Bid Analysis, Reserve Analysis, Bottom-Up Analysis, and Simulation. ■ Projects should demonstrate objectives, planning assumptions, constraints, activities and quality plans alongside schedules. Deliverables and milestones should be defined and agreed for all stages. Detail should be high for the immediate next stage. ■ The Programme/Project should demonstrate that it is controlling its schedule, and the impact of delays on benefits and cost. The schedule should be baselined at each business case stage and changes to the baseline should be reflected in the costs and benefits of the project.
5.16	**Management**	Does the project have an adequate Project/Programme Management Office (PMO) capability?	■ The project should demonstrate that the PMO is maintaining the integrity of the business cases (programme and project level), managing the collation and escalation of risk, issues, dependencies, constraints, and reporting at project level. ■ Programmes and projects are expected to demonstrate that they have a project office in their project organisation.
5.17	**Management**	Do stakeholders support the case for change and the long list of options? This includes the potential or recommended delivery approach and mechanisms. Do stakeholders support the project? Is the organisation still fully committed?	■ Consultation, involvement, support and endorsement. ■ Documented involvement of, and endorsement by, stakeholders.

Infrastructure Specific Questions and Evidence

#	Category	Question	Evidence
1.1	**Strategic**	Does the project's objectives align with the objectives of the National Infrastructure Strategy (NIS) and other government priorities?	■ The project can articulate and evidence how it supports the strategic objectives described in the NIS, and agreed with departments via the Public Value Framework.
1.2	**Strategic**	Have climate mitigation and resilience considerations been taken into account with regards to strategic aims and critical success factors?	■ Reference to Net Zero and other departmental plans. ■ Details of carbon considerations and referenced documents. ■ Details of potential impacts of climate change.
2.1	**Economic**	How does the project fit within a national context, including existing and planned infrastructure projects, networks and systems?	■ There must be a clear understanding of the benefits that the project brings. For example how does the project align with the national context and future infrastructure projects? This must be documented within the benefits strategy. ■ Evidence of a dependencies/benefit map and evidence of consideration of impact to future infrastructure projects. ■ Clear articulation and evidence of how the project links to priority outcomes at a department and government level, as set out in the Public Value Framework and agreed through single department plans (or their successor). ■ Use of the Project Outcome Profile to demonstrate the link between cross-government priorities, department priorities and project priorities.
3.1	**Financial**	Has the project based prospective costs on reference class forecasting and how do they compare?	■ Evidence of base prospective costs on reference class forecasting. ■ There is suitable relevant data both in terms of sample size and quality. ■ The data supports the planning and costs. ■ Where disparity exists (either positive or negative) between the benchmark and the project's actual position there is a clear evidence based explanation as to why. ■ Where no Revolving Credit Facility (RCF) exists the project attempted it, but could not through lack of data.

#	Category	Question	Evidence
4.1	**Management**	Is there a detailed plan for managing planning, consenting and regulatory requirements, and is the schedule optimised to progress with work in parallel where reasonable to do so?	■ The Comprehensive plan should include benchmarking of the schedule broken down into agreed project stages: Feasibility, Appraise & Select, Define, Delivery, Operate and justification for how the proposed schedule compares against the benchmarks. ■ The impact of planning/consents should be appropriately reflected in the schedule.
5.1	**Other – Innovation**	How are off-site construction methods being applied in this programme and project?	■ The project team are aware of and exploring the use of digital technologies and standardisation of assets e.g. the adoption of best. ■ Practice from the manufacturing sector, such as off-site construction. ■ Off-site construction methods have been considered by the project team with a clear rationale for recommendations to use/not use evident.
5.2	**Other – Innovation**	How has the programme/project explored opportunities for incorporating emerging digital and manufacturing technologies, such as Artificial Intelligence (AI) and smart sensors?	■ Evidence of consideration for the use of emerging digital and manufacturing technologies in their work. ■ Clear articulation of recommendations to use/not use.
5.3	**Other – Innovation**	How is the supply chain being incentivised to use emerging digital and manufacturing technologies to achieve for example increased productivity and whole life requirements?	■ Clear thinking on collaborative business models, better integrated supply chain management practices creating skilled jobs in manufacturing and digital design. ■ Consultation with supply chain and delivery partners.

Transformation Specific Questions and Evidence

#	Category	Question	Evidence
1.1	**Strategic**	Does the vision drive clarity around the social outcomes whilst defining how the department will operate?	■ The vision describes the social outcomes of the transformation and defines how the Department will operate . ■ Evidence that the programme vision aligns with the portfolio/business strategy. ■ Evidence that there is a clear narrative of how it supports the overall delivery of the organisation's goals. ■ Vision and purpose workshops have been held to create cohesion between team members. ■ The vision is owned by those at the top of the Department or Agency but created by people who represent the breadth of the business. Agreed organisational vision has been approved by the SRO, signed off at ministerial level and shared with the wider audience. ■ The vision shows a compelling picture of the future that aligns stakeholders around the purpose of the transformation, the scale of the ambition and the nature of the benefits. Criteria, principles, prioritisation etc., can be traced back through the vision. ■ The vision reaches a compromise between (short term political aims vs. long term transformation; external events vs. staying true to the vision; ambitious vs. feasible)
1.2	**Strategic**	What is the impact of the recommended option on customer experience and journey? How has this been assessed?	■ The Project has built an understanding of user preferences and are incorporating these into delivery. ■ The Project has clearly documented assumptions about user behaviour and these have been regularly challenged and updated. Assumptions are robust. The Project is able to demonstrate that there has been significant thinking about how to test these assumptions with stakeholders. ■ Evidence that the project has a plan to review and take account of the impact on customer and user experience during the project. ■ The Project is able to demonstrate that thinking has been done about the impact of the recommended option to government as well as the impact to industry, citizens and users.

#	Category	Question	Evidence
1.3	**Strategic**	How well is the project collaborating across boundaries?	■ The project is engaging across teams, departments, government, private sector and third sector to align outcomes. ■ Regular stakeholder analysis and strong relationships factored into options appraisal. ■ Evidence of joint decisions being made. ■ Roles reflect the need for collaboration across boundaries. ■ Collaborative behaviours displayed at all levels. ■ Decisions, designs etc., have been changed on the basis of stakeholder feedback.
1.4	**Strategic**	Does the project have a view of the outcomes and benefits that they are targeting?	■ There are cleared wanted outcomes and the benefits that are to be targeted. This should be displayed in a range of options that can be explored by the project team. ■ The Project should be able to demonstrate that they are not trying to fit the outcomes and benefits around a predetermined solution.
1.5	**Strategic**	Is there sufficient operational experience in the leadership team for the transformation and throughout the delivery teams?	■ Evidence that the leadership team is supportive of the change. ■ Evidence that the leadership team has the required operational leadership experience.
1.6	**Strategic**	Is the proposed design realistic?	■ The Project is able to demonstrate that the design has been tested by operational elements of the business and operational Subject Matter Experts (SMEs) to ensure it is robust. ■ There is evidence that testing has been done prior to full delivery.
2.1	**Financial**	Has the project appropriately accounted for the effort and cost of behavioural change, and is there an understanding of the importance of this aspect of transformation?	■ There is a common understanding of what behaviour change means in the context of the transformation. ■ There are elements of cost that directly relate to behavioural change. ■ The business case is realistic about what is achievable given current resources and capabilities and what skills will be required to deliver the project. ■ Assumptions around anticipated behaviour change are clearly documented and have been appropriately challenged.

#	Category	Question	Evidence
2.2	**Financial**	How is the project managing uncertainty? How will the financial forecasts be adjusted to take account of iterative working cycles and updating assumptions? How has contingency been approached in the financial model?	■ Evidence that an iterative approach has been used for financial planning and the management of benefits. ■ There should be quantification of outputs from each iteration of their financial planning and management of benefits – in agile software development Story Points can be used. ■ There should be application of rules around the cost of an iteration. For example, each iteration is a fixed time period, uses a fixed team size and produces a fixed number of Story Points as outputs. So productivity is fixed. Implementation of these measures serve to install some level of control and certainty around the iterations. In turn they can feed into more certain financial planning in an interactive context.
3.1	**Management**	Has the project used the 7 lenses approach to frame the Transformation conversation? Does the project understand its maturity level and have a plan to increase it?	■ Evidence the project makes use of the 7 lenses (Vision, Design, Plan, Transformational Leadership, Collaboration, Accountability and People). ■ Evidence the project has used the Maturity Matrix tool to assess and determine the degree of maturity of its transformation and this approach is baked into delivery. ■ The project has set out and has a good understanding of its clear strengths and weaknesses as a result of applying the maturity matrix. Improvement plans are in place if required and are actioned. ■ At this early stage the project may have chosen to prioritise and focus on the Vision, Design and Plan first, instead of focussing on all 7 'lenses'.

#	Category	Question	Evidence
3.2	**Management**	Does the project understand the scale of behavioural change?	- The programme understands; - How much of the organisation/wider ecosystem the project will affect - How these parts of the organisation/ecosystem are incorporated into the transformation activity - How the change will involve staff, customers, citizens, supply chain, 3rd parties, other technology solutions and standard operating procedures - How substantial will the change be for each group - The impact a changing operating model will have on stakeholders. - How much time is required for the system to adapt - Understands the dependencies and constraints. - Relevant people outcomes (as well as comms, engagement, training). There should be a clear people plan with clear dependency mapping between people and technical elements (which has been validated with key stakeholders). - Plans to address the above are part of the project's core work and cost. - There is a plan for the Design Authority (or equivalent) to ensure that user perspective continues to be core to the project and that core design principles are not breached as things are changed and adapted. - Evidence of a clear Communication and engagement strategy.

#	Category	Question	Evidence
3.3	**Management**	Is the design really transformational?	■ The design sets out how the component parts of the organisation will be configured and integrated into the wider whole. It is ■ clear, complete, joined up and coherent; ■ covers people, process, organisation, technology and information; ■ clearly aligned to the outcomes required; ■ forward looking; ■ ambitious; and ■ puts the citizen or public sector user at the heart of its development.
3.4	**Management**	Does the high level delivery timetable account for the combination of Business as Usual (BAU) work during transition and protecting BAU work?	■ The Project is able to demonstrate that the high level delivery timetables account for BAU work during transition.

Defence Specific Questions and Evidence

#	Category	Question	Evidence
1.1	**Commercial**	Is there an introduction to service strategy and plan?	■ Evidence of the need to introduce a service strategy which effectively utilises the Defence Lines of Development (DLODS) framework and is aligned with contractual requirements for key suppliers.
2.1	**Management**	Has the project team used recognised Military good practice in its planning? Is there adequate appreciation of the risks of customisation to "off-the-shelf" equipment/scope creep? Does the risk threat change and are subsequent necessary scope upgrades considered during the programme/project lifetime?	■ A systematic approach has been conducted which utilises the DLODS framework to ensure training, personnel, equipment and infrastructure requirements etc are identified and are included in the planned scope. ■ User requirements have been captured in a User Requirements Document (URD) signed off by the Joint Requirements Oversight Committee (JROC)

Digital/ICT Specific Questions and Evidence

#	Category	Question	Evidence
1.1	**Strategic**	Has the project involved users in defining the requirements and the required support?	■ User involvement and minutes of actions are catalogued. ■ Users have the correct level of experience. ■ Process to include users to help define and breakdown requirements is in place. ■ All concerns that the end users have are documented and clearly evaluated to serve end-users better.
1.2	**Strategic**	Has the project considered the use of emerging technologies?	■ Evidence that the project has considered emerging technologies (i.e., Artificial Intelligence, Machine Learning, Robotic Process Automation) and incorporated them into the benefits management approach.
2.1	**Economic**	How has the benefits management approach been flexed to accommodate the use of Emerging Technologies?	■ The project makes use of flexible technology components and platforms to create an environment where emerging technologies can be used and integrated at scale. ■ Technology standards are in place to protect users (benefits). ■ Best practice with regard to the specific emerging technology has been shared.
3.1	**Financial**	Does the project budget include security as a specific item?	■ Security is a separate line item in the budget. ■ The estimate for security is a bottom-up approach and the appropriate assumptions are in place to support the build-up of the budget. ■ Project budgets should incorporate maintenance/upgrades of underlying technologies/licences/DevOps costs in place (dependent on the planned delivery approach) so full life costing is properly understood. The SOC financial case should cover capex and opex funding elements.

#	Category	Question	Evidence
3.2	**Financial**	Have changes to the operating model and future budgeting/maintenance been considered? For example if DevOps is being implemented/used, how will the team be funded in future years? Has maintenance and upgrade of underlying/enabling technologies been built into the Financial Case and do they remain accurate?	■ The Financial Case should take account of changes to the operating model in future budgeting. We would expect to see maintenance/licences/DevOps costs in place dependent on the planned delivery approach to ensure full life costing is properly understood. ■ The Financial Case should cover Capital Expenditure capex) and Operating Expense (opex) funding elements.
4.1	**Management**	How is the project applying Government Digital Services (GDS) Design Principles?	■ Clear explanation of how the project has approached these design principles.
4.2	**Management**	How is the project complying with the GDS Technology Code of Practice?	■ Documented as part of the Business Case or spend approval controls. ■ Close engagement with GDS is expected.
4.3	**Management**	How is the project following the GDS Service Standard?	■ Clear explanation of how the project has applied the Service Standard requirements.
4.4	**Management**	What are the overarching elements the client has to drive? i.e. any system architecture considers security in its design.	■ The project has security principles/guardrails in place. ■ A technical design review authority (or similar) is in place and this forum is made up of knowledgeable experts to review the design.
4.5	**Management**	What is the design methodology (e.g. Agile, Waterfall or Hybrid)? How was the approach decided and who was involved?	■ An audit trail of how the approach was decided and who was involved in taking the decisions.

#	Category	Question	Evidence
4.6	**Management**	What new stakeholders come into play as the Target Operating Model (TOM) changes as a consequence of the digital transformation? For example, new lines of defence e.g. Risk potential Assessment (RPA) and AI governance bodies? What is the planned approach for engaging with these new stakeholders?	■ A Stakeholder Management Plan should be in place to understand which stakeholders are relevant for the TOM (and consider the RACI (Responsible, Accountable, Consulted, and Informed) model, not just decision takers). ■ The Stakeholder Management Plan should detail the approach to engaging with these stakeholders and the most effective form of engagement. Dependent on maturity of the programme/project, we would expect to see evidence of engagement with these new stakeholders having taken place. ■ A Technical Design Authority should be in place.
4.7	**Management**	What is the impact to the customer experience and customer journey? How has this been assessed?	■ A plan to understand how customer experience and journey can be measured.
5.1	**Other – Data**	Are data requirements/ information aligned to the stated data strategy and do the data/information outputs cover the CSF/Key performance Indicators (KPIs) that are needed to measure the strategy/ objectives and analyse whether the benefits are being achieved?	■ A high level data strategy. ■ Consideration of the type of data required and clear approach to identifying it elsewhere in government. ■ Consideration of data storage and volumes and how it will be managed for the shortlisted options. ■ Data security is clearly considered with legal advice sought and built in as required. ■ Impacted end user considerations have been made.

Project Documentation

The areas of investigation together with examples of evidence should be available before the Gate Review starts. The information is likely to be found in the documents and products suggested below, but may be located in other programme or project documents or elsewhere in the organisation's documentation system:

- **A Greenbook compliant SOC** drafted and in the process of review and approval. The business case should pay equal attention to final operational factors as it does to buy/build assets.

- **Project Execution Document (PED)** which sets out:

  - The overall project scope, objectives and intended delivery outcomes (including project plans);

  - The overall programme controls (progress tracking, risk management, issue identification and resolution, impact assessment);

  - The overall governance and structure of the project (including roles and responsibilities, Terms of References, resourcing plan and a work breakdown structure);

  - Communication and stakeholder strategy and plan;

  - Interdependencies between other programmes and projects defined, with adequate plans for managing them;

  - For collaborative programmes, accountabilities and governance arrangements for different organisations defined and agreed;

  - Parties in the delivery chain identified and an approach to them working together established;

  - Processes to manage and record key project information and decision-making;

  - Approach to assessing and piloting the proposed delivery outcomes;

  - An assessment of the market attractiveness of the project, including outcomes of any business, commercial or technical benchmarking;

  - Benefits management strategy; and

  - Contingency plans.

- **Stakeholder Map** which visually represents all of the people who can influence the project and how they are connected.

- **Risk, Assumptions, Issues and Dependencies (RAID) log** which includes the Risk Register (with risks categorised by the 5 case business case model and baselined at each gate with updates showing changes since the last gate), an Issues Register, a Dependencies Register, an Assumptions Register, a Decisions Register, a Constraints Register. Each register should reference the other, and should show which level in the project structure an item relates to, and if it has been included in Project Board reporting, or escalated.

- **Lessons learned register.**

- **Project financial tracker**, which can demonstrate the following:

  - A comprehensive financial management process in place and risk/contingency calculations included in the budget and show that the baseline has an appropriate allowance for risk/contingency.

  - An appropriate cost baseline has been established and includes an assured, resource loaded schedule that demonstrates cost by component in accordance with the project work breakdown structure.

  - That costs are within current budgets, whole life funding is affordable, supported by stakeholders, and committed by Dept. Finance and HMT.

- **Planning Products** which include a: Resource Plan; High Level Plan and Work Breakdown Structure; and Schedule.

- **A Commercial Strategy and Plan** that set out the Project's vision and objectives that align with the Project's overall strategy and financial plan. The commercial strategy and plan should include: Commercial Model; Roadmap for delivery; and required resources and targets.

- **A Benefits Statement** which is based on, and tied to, the project's objectives and outcomes. It should describe the benefits that the project will deliver and the measurable change it seeks to effect.

- The Project should supply the last three months of **Project Executive Reporting and Board Papers.**

- **Accounting Officer Assessment**.

- **Risk Potential Assessment**.

- Last **quarterly GMPP** return.

- **Integrated Assurance and Approval Plan.**

- Signed **SRO Appointment Letter**.

Supporting Guidance

- **Gate Review Book:** A Workbook for each Gate Review provides detailed questions and evidence points to support each review. The workbooks can be downloaded from the IPA Assurance Toolkit on GOV.UK

- HMT Green Book: Appraisal and Evaluation in Central Government – and supporting supplements

- HMT Orange Book: Management of Risk, Principles and Concepts

- IPA Assurance Toolkit

- Treasury Approval Process for Programmes and Projects

- Project Delivery Functional Standards

- IPA Principles for Success

- The Art of Brilliance

- Project Initiation Routemap

- 7 Lens of Maturity

- Accounting Officer Assessment

- The role of the SRO

- Achieving NetZero

- UN Sustainable Development Goals

- Modern Methods of Construction

- Resilient Infrastructure Systems

- National Infrastructure Commission (NIC) principals

- Transforming Infrastructure Performance

- Project Outcome Profile

Infrastructure and Projects Authority