

THE TREASURY

Kaitohutohu Kaupapa Rawa

Gateway Review Process

Best Practice – Gateway to success

Review 0

Strategic Assessment

March 2018

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Further information

New Zealand Investment Reviews Unit

Telephone: +64 (4) 917 6925

E-mail: investmentreviews@treasury.govt.nz

For up to date copies of the workbooks and further information visit:
www.treasury.govt.nz/statesector/investmentmanagement/review
www.treasury.govt.nz/statesector/investmentmanagement/review/gateway

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Introduction to the Gateway process

Why getting programmes and projects right matters

Programmes and projects are the key vehicles for delivering government strategies and implementing changes as a result of government policies. Procurement expenditure through programmes and projects is a significant proportion of total government expenditure. Good and effective management and control of programmes and projects is therefore essential to the successful delivery of Government objectives, to realise their intended benefits for citizens.

The Investment Management and Asset Performance (IMAP) team at Treasury has portfolio oversight of the Crown's investment in the Crown estate.

The IMAP team assists ministers and agency chief executives to have confidence that:

- investment decisions are informed and prioritised well and align with government's long-term goals
- the investment portfolio is delivering high public value
- investment decision making and asset management across the State sector is robust, transparent, effective and efficient.

IMAP aims to ensure the Crown owns the right assets, manages them well, funds them sustainably, and that any risks are managed and all benefits promised are realised.

The **Gateway process** is one of a suite of investment reviews facilitated by IMAP.

The Gateway process is designed to provide confidential, independent guidance to Senior Responsible Owners (SROs), and indirectly to programme and project teams, on how best to ensure that their programmes and projects are successful. Gateway reviews provide Ministers with the assurance that at key points in a high-risk project or programme the SRO has been provided with peer-level independent advice to help improve the initiative's chances of success.

The Gateway process

The Gateway Review process examines programmes and projects at key decision points in their lifecycle. It looks ahead to provide assurance that they can progress successfully to the next stage; the process is recognised as best practice by the United Kingdom, Australian and New Zealand Governments.

Cabinet mandate for Gateway

In 2007, Cabinet Minute 07 44/1 gave initial direction for Gateway's application to projects.

In 2010, Cabinet Circular CO (10) 2 refined the requirement and directed that Gateway Reviews be mandatory for all projects and programmes, in departments and crown agents, identified as high risk through Central Agency assessment of a Risk Profile Assessment.

In 2015, Cabinet Office Circular CO (15) 5¹ extended the scope of Gateway to the following types of organisation (agencies):

- all departments (including departmental agencies) as defined by the Public Finance Act 1989 (PFA)

1 Cabinet Office Circular CO(15) 5 can be downloaded from the DPMC website: www.dPMC.govt.nz/cabinet/circulars/

- the following types of Crown entities:
 - Crown agents
 - Autonomous Crown entities
 - Independent Crown entities
 - Crown entity companies, including Crown Research Institutes
- companies listed on Schedule 4A of the Public Finance Act.

Gateway reviews are mandatory for high risk projects and programmes of the following types, regardless of the source of funding:

- acquisition/procurement programmes and projects, whether capital expenditure, asset disposals, lease arrangements, or “as a service” investments
- ICT-enabled business change
- property/infrastructure/construction developments.

The principles and process in this workbook can also be applied to management of other areas of expenditure in the organisation:

- policy development and implementation
- organisational change and other change initiatives (with no ICT component).

Qualifying projects and programmes

The process for determining whether a project is ‘high risk’ and thus eligible for Gateway is:

- 1 Agencies must complete risk profile assessments (RPA) for all significant² investments identified on multi-year plans.
 - Download the RPA from: www.treasury.govt.nz/statesector/investmentmanagement/think, or
 - email IMAP for a copy: investmentmanagement@treasury.govt.nz
- 2 Agencies must provide to Treasury the RPA for any investment proposal that is assessed as medium or high risk through this process. We recommend, but do not require, that agencies send low risk RPAs to IMAP so that the Corporate Centre is aware that a risk assessment has been done.
- 3 IMAP circulates the RPA to Functional Leaders and other Corporate Centre groups for review, moderates their comments, and confirms a final risk assessment for the project. The RPA is used to identify Corporate Centre involvement, monitoring and assurance requirements including eligibility for Gateway.
- 4 Alternatively, a Minister may request that a project be subject to Gateway even if it is not formally identified as high risk.

² Significant means a high degree of importance of an investment issue, proposal, or decision in terms of its likely impact on, and likely consequences for:

- the Crown or the agency or sector, customers or clients, or the capacity of State services agencies to perform their functions
- the government's fiscal strategy, or
- the government's investment strategy.

In terms of financial or risk thresholds, significant generally means investments that require Cabinet or Ministerial approval, that is, high risk proposals, or proposals with whole of life costs (WoLC) in excess of \$15 million, however funded

Value of the Gateway process

Gateway Reviews deliver a peer review in which independent practitioners from outside the programme/project use their experience and expertise to examine the progress and likelihood of successful delivery of the programme or project. They are used to provide a valuable additional perspective on the issues facing the internal team, and an external challenge to the robustness of plans and processes.

The Gateway Review process provides support to SROs in the discharge of their responsibilities to achieve their business aims, by helping the SRO to ensure:

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

Gateway Reviews as part of the assurance framework

Every agency should have its own structures and resources for carrying out internal reviews, healthchecks and audits of its activities, including programmes and projects. The Gateway Review process provides a forward-looking 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 and identify the potential sources for providing them. Agencies are encouraged to ensure adequate and timely co-ordination and sharing of information, including plans, between the various internal review functions.

In addition, SROs should be aware of the extent and limitations of the various review processes. For example, the fact that a Gateway 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.

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 management, portfolio management, risk management, procurement/acquisition, and service and contract management.

Role of the Senior Responsible Owner

A Gateway Review is conducted on a confidential basis for the Senior Responsible Owner (SRO), who has prime responsibility for initiating the Review. The ownership of the Review Report rests with the SRO, who is accountable for the implementation of the recommended remedial action and the programme/project progression.

The SRO is the individual responsible for ensuring that a programme of change or a project meets its objectives and delivers the projected benefits. The SRO should be the owner of the overall business change that is being supported by the project, and should ensure that the change maintains its business focus, has clear authority and that the context, including risks, is actively managed.

The SRO must hold an executive role in the organisation and must take personal responsibility for successful delivery of the programme/project. He/she should be recognised as the owner throughout the organisation.

Tailoring the Gateway Review

The workbooks published by the Treasury IMAP Gateway team provide guidance on the structure of each Gateway Review and the areas of investigation to be addressed by the Review Team, together with examples of the evidence which would demonstrate to the Review Team that the project team has taken an adequate approach to the topic.

These topics and the examples of evidence should be regarded as indicative and not prescriptive, within the overall objectives of each review stage.

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 or project, for example, IT-enabled business change, property/infrastructure/construction, or policy development/implementation.

Differences between projects and programmes

A **project** has definite start and finish dates, a clearly defined output, a well defined development path, and a defined set of financial and other resources allocated to it; benefits are achieved after the project has finished and the project plans should include activities to plan, measure and assess the benefits achieved by the project.

- Project reviews are carried out under Gateway Reviews 0 to 4; typically a project will undergo all five of these reviews during its lifecycle – four before commitment to invest, and one looking at readiness for service. In the early stages reviews are often combined (eg, Gate 0/1).
- Project reviews may be repeated as necessary depending on the size, scope and complexity of the project.
- A review of a project must take into account the programme context within which the project is located, and possible inter-dependencies with other projects in the programme. The review will also indicate how far procurements align with strategic and policy objectives.

Programmes typically comprise a number of related projects that are selected, planned and managed in a co-ordinated way to deliver outcomes and benefits related to the organisation's strategic objectives. Programmes are able to deal with uncertainty about achieving the desired outcomes. During a programme, projects are initiated, executed and closed. Programmes provide an umbrella under which projects can be coordinated. Programmes typically comprise a number of related projects that will be completed in several tranches over an extended period.

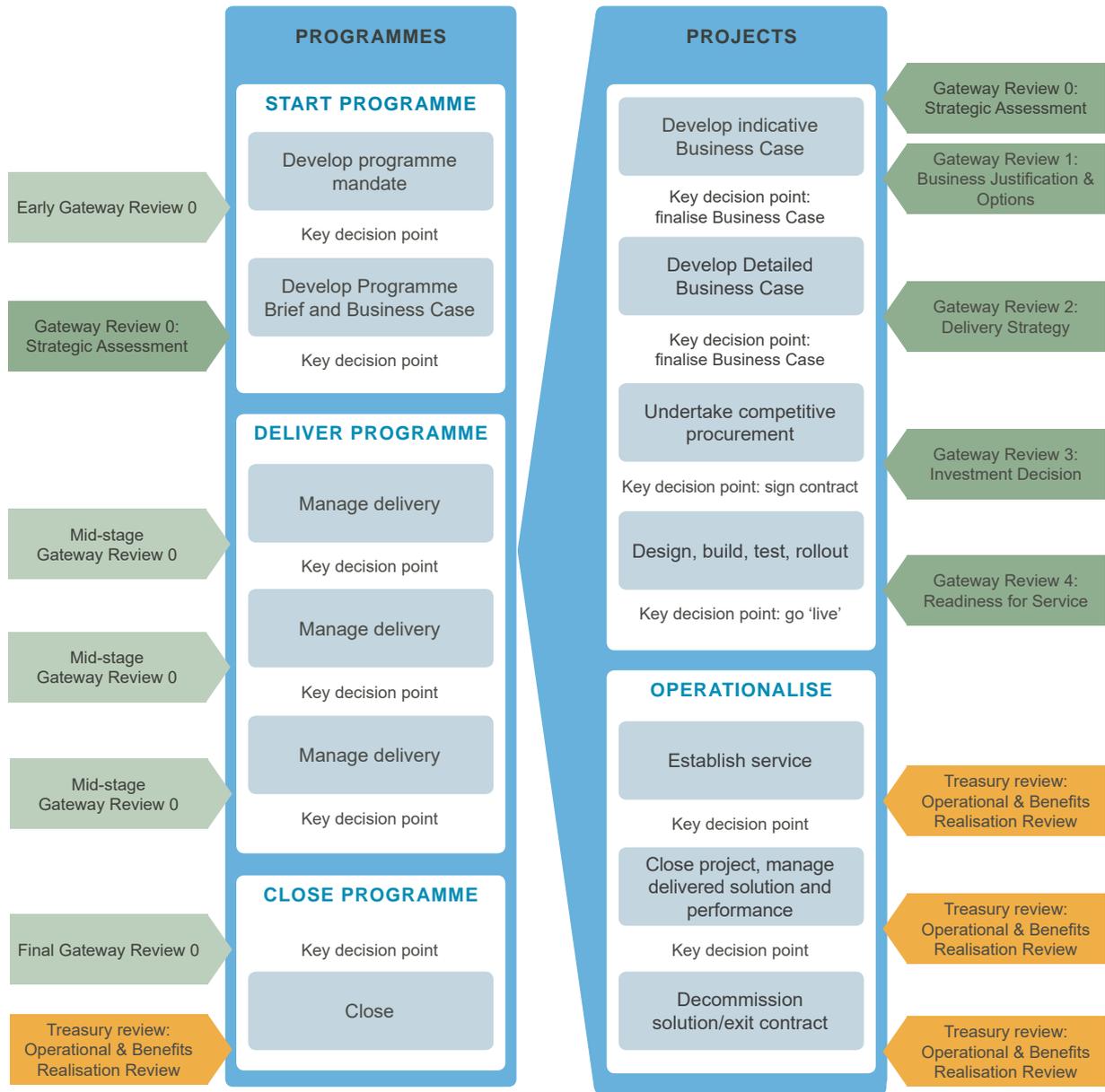
A programme approach should be flexible and capable of accommodating changing circumstances such as opportunities or risks materialising. It co-ordinates delivery of the range of work (including projects) needed to achieve outcomes, and benefits, throughout the life of the programme.

- Programme reviews are carried out under Gateway Review 0: Strategic assessment.
- A programme will generally undergo three or more Gate 0 Reviews: an early review, one or more reviews at key decision points during the programme (eg, inter-tranche boundaries), and a final review at the conclusion of the programme.

Each of these reviews is described in the appropriate Gateway Review Workbook.

In addition, for both programmes and projects there is a mandated, repeatable Operational & Benefits Realisation review which is also facilitated by IMAP. This review focusses on contract management, benefits and operational performance after transition into service. It is designed to be repeated throughout the life of the service, with an early review typically 6-10 months after project handover to operational service; this informs the mandated report to Cabinet on delivery of benefits 12 months after transition into service. The review can then be repeated at intervals as agreed, until the benefits have been realised or the asset reaches the end of its life.

Overview of the Gateway process



Gateway Review 0: Overview

About this workbook

This workbook supports **Gateway Review 0: Strategic Assessment**. This is a broad, strategic review that may be undertaken:

- at the start-up stage of a programme or project, to inform decision-making
- during implementation to confirm continued alignment to the delivery of outcomes and benefits.

A Gate 0 Review considers the programme or project in the wider policy or corporate context; it investigates the direction and planned outcomes, together with the progress of constituent projects or work streams. It can be applied to any type of programme or project, including policy and organisational change.

In a broader sense, this type of review provides assurance to the Sponsoring Agency responsible for the programme or project, via the Senior Responsible Owner (SRO), that the scope and purpose has been adequately assessed, communicated to stakeholders, and contributes to the agency's overall business strategy and/or whole-of-government strategies and policies. It also aims to test whether stakeholders' expectations of the programme or project are realistic, by reference to planned outcomes, resource requirements, timetable and achievability.

Where a Review 0: Strategic Assessment is undertaken at the start-up stage of either a programme or project, it occurs when the preliminary justification for the programme or project is drawn together. It is based on a strategic assessment of business needs, an analysis of the stakeholders whose co-operation is needed to achieve the objectives, and a high level assessment of the programme's or project's likely costs and potential for success. In this case, a Review 0: Strategic Assessment comes after the business need has been identified, before any further development proposal goes forward for approval.

An early Gateway Review 0 is particularly valuable as it helps to confirm that the way forward is achievable, before plans have been finalised.

Programmes: for a Programme, mid-stage Gate 0 Reviews are expected to occur infrequently and can be undertaken at the recommendation of the Gateway Unit, when an agency specifically requests a review and obtains the Gateway Unit's concurrence, or where the review is commissioned by the Government. The Review can be repeated whenever appropriate key decision points are reached or whenever the programme's usefulness or viability comes into doubt.

Projects: mid-stage Gate 0 reviews may be undertaken throughout the life of particularly complex projects, in addition to the other reviews that would occur in the normal application of the Gateway Review Process – for example, during a long development stage between Gate 3 (Investment Decision) and Gate 4 (Readiness for Service). Unlike other Gateway reviews it is likely that this will be determined by circumstances particular to the project, rather than before a particular decision point.

The wider context of programme delivery

Programmes are delivered in the wider context of carrying forward policy and strategic objectives and improving organisational performance.

Policy-making is defined as “the process by which governments translate their political vision into programmes and actions to deliver ‘outcomes’ – desired changes in the real world.” Once a way forward for delivery is identified, major policies and organisational change are often implemented as

a programme. At the time policies – or change programmes – are announced, the means by which some aspects of them need to be implemented is clear, while other aspects need considerable policy development. Programme structures provide a means of managing progress at different rates while ensuring coherence and keeping the focus on the overall outcomes. The programme's potential to succeed is checked as it is established, using a Gateway Review 0.

The programme will contain a number of linked sub-programmes, projects and other pieces of work. These are delivered in a co-ordinated sequence that will achieve the programme outcomes with the optimum balance of cost, benefit and risk. The programme's projects, if themselves assessed as High Risk, are reviewed at key decision points from start-up through to the point where they have contributed the benefits set out in the project's business case. Feedback from this final project Review informs the ongoing programme Reviews.

The programme will be managed as part of a corporate portfolio of organisational programmes, which may be competing for resources and may have changing priorities. Programme managers should be aware of any interdependencies between their programme and other programmes in the organisation's portfolio and, where relevant, those in other organisations. In central government the organisation's portfolio should be kept under review by the senior management team who resolve any major priority or resource issues.

Types of programme

Different types of change may be delivered by a programme:

- making and delivering new facilities – typically, led by specification of the outputs required; clear view of what is required and scope well defined
- changing the way the organisation works – led by a vision of the outcomes and benefits; typically some uncertainty about the change, but clear delivery approaches that can be used to achieve the vision
- policy change focused on changes and improvements in society, driven by desired outcome but likely to be very ambiguous and complex to define in terms of what it will involve. The scope may need to be revisited as uncertainty is resolved
- if a project is very complex, it is usually best broken down into a series of related projects and managed as a programme.

Purposes of the Gateway Review 0

At this Gate, the Gateway Review Team would be expected to:

- review the outcomes and objectives for the programme (and the way they fit together) and confirm that they make the necessary contribution to the overall organisational strategy
- confirm that the programme is supported by key stakeholders
- confirm that the programme's potential to succeed has been considered in the wider context of government policy and procurement objectives, the organisation's delivery plans and change programmes, and any interdependencies with other programmes or projects in the organisation's portfolio and, where relevant, those of other organisations
- review the arrangements for leading, managing and monitoring the programme as a whole and the links to individual parts of it (eg, to any existing projects in the programme's portfolio)

- review the arrangements for identifying and managing the main programme risks (and the individual project risks), including external risks such as changing business priorities
- check that provision for financial and other resources has been made for the programme (initially identified at programme initiation and committed later) and that plans for the work to be done through to the next stage are realistic, properly resourced with sufficient people of appropriate experience and authorised
- after the initial Review, check progress against plans and the expected achievement of outcomes
- check that there is engagement with the market as appropriate on the feasibility of achieving the required outcome
- where relevant, check that the programme takes account of joining up with other programmes, internal and external
- review governance structures; that representatives at the appropriate decision-making level from all contributing organisations are involved, that their role is understood (eg, documented in a Terms of Reference document) and that decision-making, escalation and other processes are in place and are being appropriately used.

Tailoring the Gateway Review 0

The same set of questions is used for every Gateway Review 0, but their focus is adjusted depending on the nature of the programme or project and the stage in its lifecycle. For example, the governance arrangements and stakeholder involvement may be the most difficult aspect of a cross-cutting programme or project. In contrast, the smooth management of transition to new ways of working may require the most attention where there is complex change. At the start of the programme or project the strategic priorities should be clear and the main focus will be on realism about what can be achieved. At subsequent stages managing the impact of change, risks and resources will become more important; and there may be the additional complexity of changing policy priorities. At programme closure, evaluating outcomes, the final review of the achievement of outcomes and identifying the lessons learned for future programmes will be the main features of the Review. The SRO and Review Team should agree the particular focus of each Review when the Review is planned.

Strategic assessment: When to repeat Gateway Review 0

Programmes:

Gateway Review 0 is applied at the start-up of a programme, is repeated at appropriate key decision points during the programme and is applied at the end of the programme.

- First Gateway review 0
- Mid-stage Gateway Review 0 – for a large programme, a mid-stage review is run approximately annually or at appropriate decision-points
- Final Gateway Review 0.

Projects:

A project will normally have only one Gateway Review 0, at the start-up stage.

For a large or complex project a Gateway Review 0 may be repeated, for example as a mid-stage review if there is a very long development phase between a Gate 3 (Investment Decision) and a Gate 4 (Readiness for Service).

- First Gateway review 0
- Mid-stage Gateway Review 0.

First Gateway Review 0 overview

The programme or project start-up process draws together the justification for the programme or project based on the policy or organisational objectives that are to be secured, an analysis of the stakeholders whose co-operation is needed to achieve the objectives, and an initial assessment of the programme or project's likely costs and potential for success. The first Gateway Review 0 comes after the broad strategy for change has been set before a public commitment is made and before a development proposal is put before a Programme or Project Board, executive authority or similar group for authority to proceed. It focuses on the justification for the programme.

Typically a Gateway Review 0 will take place following the production of the Programme Brief or Project Initiation Document, which contains an outline description of the programme or project's objectives, desired benefits, risks, costs and timeframe. However, the management of the organisation may consider it appropriate to conduct an earlier Gateway Review 0, or an internal checkpoint, following the issue of the Programme Mandate; this is the trigger for identifying a programme, and defines the overall objectives for the programme in line with the policy or organisational objectives. The issue of the Programme Mandate may be the outcome of a workshop held by the organisation to consider delivery of policy.

The first Gateway Review 0 provides assurance to the Programme or Project Board that the scope and purpose of the programme has been adequately researched, that there is a shared understanding of what is to be achieved by the key stakeholders, that it fits within the organisation's overall policy or management strategy and priorities; that there is a realistic possibility of securing the resources needed for delivery and that any procurement takes account of prevailing government policies eg, sustainability. The Review will, in addition, examine how the work-strands will be organised (in sub-programmes, projects, etc) to deliver the overall programme objectives, and that the programme management structure, monitoring and resourcing is appropriate.

In short, the first Gateway Review 0 aims to test whether stakeholders' expectations of the programme or project are realistic, by reference to costs, risks, outcomes, resource needs, timetable and general achievability.

Mid-Stage Gateway Review 0 overview

Subsequent Gateway Reviews 0 revisit the same questions to confirm that the key stakeholders have a common understanding of desired outcomes and that the programme is likely to achieve them. The Gateway Review 0 will be repeated at appropriate key decision points during the programme, such as:

- at scheduled milestones such as the completion of a set of projects in the programme portfolio
- when there is a significant change to the desired outcomes
- when the way outcomes are delivered must change (perhaps as a result of government changes), or when it becomes apparent that the programme will not provide the necessary outcomes and needs to be reshaped
- when the programme or project's sponsors have concerns about the programme or project's effectiveness
- when there is a change in Senior Responsible Owner for the programme or project
- to learn lessons to transfer to other programmes or projects when a substantial amount of successful delivery has taken place.

Repeated Gateway Reviews 0 will be particularly concerned with establishing the continued validity of the Business Case for the programme, and with ensuring that the outcomes and desired benefits of the programme or project are on track.

Final Gateway Review 0 overview

Finally, a Gateway Review 0 will take place at the conclusion of a programme, to assess the overall success of the programme and the extent to which the desired outcomes and benefits have been achieved, and to check that the lessons learned have been analysed and promulgated.

1: Policy and business context

How to use this section for:

<p>First Gateway Review 0 (programme or project)</p>	<p>At programme/project initiation all areas in this section will need thorough investigation, as they provide the foundation for successful delivery.</p> <p>If this is very early in the programme/project lifecycle, information may be uncertain because options are being explored for the way forward. There must be demonstrable linkage to the business strategy – why is this programme/project needed?</p> <p>The governance framework will be in outline, but there should already be a clear owner for the programme/project. Capability to deliver will be considered at a high level, ideally supported by indicative estimates based on evidence from similar initiatives.</p> <p>There should be mechanisms in place to learn lessons regardless of the stage in the programme/project lifecycle. High-level risks should have been identified even at a very early stage.</p>
<p>Mid-stage Gateway Review 0 (programme or project)</p>	<p>The focus on each area is whether assumptions or circumstances have changed – eg, a change in policy direction; continued availability of skilled resources.</p>
<p>Final Gateway Review 0 (programmes only)</p>	<p>The critical area at this final stage is to confirm that the programme's linkage to business strategy is still robust and supported by senior management, eg, ministers or the management board.</p>

AREAS TO PROBE	EVIDENCE EXPECTED
<p>1.1 Is the business strategy to which this programme/project contributes agreed with the sponsoring group (eg, Ministers or the organisation's management board) and robust?</p>	<p>A clear direction set out in the business strategy, which is owned by key stakeholders and informs all investment in public service reform or organisational change.</p>

<p>1.2 Does the programme/project reflect the current policy and organisational environment and does the scope fit with the strategy?</p>	<ul style="list-style-type: none"> ▪ Documented evidence that the sponsoring group (eg, Ministers or the Board) have agreed the scope of the programme/project and its alignment with policy objectives, organisational strategy and/or change priorities ▪ Where there are significant changes in policy priorities or the key objectives, in stakeholders' views, evidence that there has been a re-appraisal of the programme/project ▪ Investment Logic Mapping (ILM), Benefits Logic Mapping (BLM) or another methodology has been used to understand the need for the programme/project and the benefits and outcomes to be delivered ▪ Evidence that required benefits and outcomes are the drivers for the programme, rather than being afterthoughts.
<p>1.3 Is the governance framework fit for purpose and, in particular, is there commitment to key roles and responsibilities for this work within current corporate priorities?</p>	<ul style="list-style-type: none"> ▪ Evidence of commitment from the sponsoring group (eg, top management, key partners and Ministers), a willingness to take ownership, and a clear understanding of their roles in achieving successful outcomes ▪ Key roles have been identified and assigned, (eg, responsible Minister, SRO, Programme Director, Programme Manager, Business Change Manager, sub-programme managers or equivalent roles) with named individuals with responsibility for the transition to new ways of working ▪ For cross-functional or cross-agency programmes/projects, evidence that all parties involved know how they are engaging in the programme/project and are committed to its delivery; clear governance arrangements to ensure sustainable alignment with the business objectives of all organisations involved.
<p>1.4 Are the required skills and capabilities for this programme/project available, taking account of the organisation's current commitments and capacity to deliver?</p>	<ul style="list-style-type: none"> ▪ Evidence that the organisation has brought together (or has credible plans for bringing together) the skills and capabilities it needs to plan and achieve the desired outcomes, and has access to external sources of expertise where necessary ▪ Evidence that it is realistic about the complexity of the changes and how they can be managed (learning from previous/other programmes where that is appropriate) ▪ Key roles within the programme/project identified with named individuals ▪ Key individuals have an appropriate track record of successful delivery ▪ Where appropriate, the programme/project has access to expertise which can benefit those fulfilling the requisite roles ▪ Evidence of appropriate allocation of key programme/project roles between internal staff and consultants or contractors.

<p>1.5 Is the organisation able to learn from experience with this programme/project and other programmes/projects?</p>	<ul style="list-style-type: none"> ▪ Evidence that the organisation has processes in place to incorporate lessons learned from this programme/project, and its components, into wider best practice ▪ Evidence that the organisation learns from the experiences of others.
<p>1.6 Is the programme/project aware of the Government standards that might apply to it?</p>	<ul style="list-style-type: none"> ▪ Evidence that appropriate standards and Cabinet directives have been considered when assessing the options for delivering the outcomes, eg, Public Private Partnerships, Shared Services, and other all-of-government initiatives ▪ Legislation, policy and regulatory issues taken into account, including: <ul style="list-style-type: none"> ▪ Building Act ▪ Health & Safety Act ▪ Regulatory Impact Assessment if needed ▪ Official Information Act ▪ Privacy Act ▪ Public Records Act. ▪ For IT-enabled projects: <ul style="list-style-type: none"> ▪ compliance with Department of Internal Affairs e-government frameworks such as e-GIF (see the supporting guidance section for a full list) ▪ consideration of information assurance requirements in relation to business objectives ▪ compliance with the GCSB New Zealand Information Security Manual.
<p>1.7 Have the internal and external factors affecting the project been identified and assessed?</p>	<ul style="list-style-type: none"> ▪ Assessment of the objectives, timescales and scale of the project ▪ Legislation, policy and regulatory issues taken into account ▪ Assessment of the stability of the current business environment and strategic direction ▪ Assessment of dependencies (eg, other programmes and projects) that could affect current priorities ▪ Assessments of impact on existing physical and technical environment (eg, brownfield site, current infrastructure and legacy systems) ▪ Assessment of the skills and knowledge required by the project for successful implementation, the availability of skills in the project team, and access to external expertise; appropriate allocation of key project roles between internal staff and consultants or contractors.

2: Business case and stakeholders

How to use this section for:

<p>First Gateway Review 0 (programme or project)</p>	<p>At programme/project initiation all areas in this section will require thorough investigation.</p> <p>Even at the very early stages of the programme/project, there must be a clear understanding of the outcomes needed, but the overall scope and way forward will not yet be clear. Measures of success will be in outline. Key stakeholders should already have been identified, especially for cross-agency programmes/projects.</p> <p>The components of the programme (sub-programmes and projects) and its resource requirements will not be certain at this stage. There should be early indicators of the additional factors that could affect success, which will vary significantly depending on the programme/project. The programme/project controls will not have been established in detail.</p>
<p>Mid-stage Gateway Review 0 (programme or project)</p>	<p>Assumptions will need to be revisited; particular areas to probe are:</p> <ul style="list-style-type: none"> ▪ whether stakeholders remain supportive ▪ whether any organisational strategic changes jeopardise the viability of the programme/project ▪ whether the programme/project is still affordable ▪ management of issues relating to additional factors that could affect success ▪ the effectiveness of programme/project controls.
<p>Final Gateway Review 0 (programme only)</p>	<p>The main areas to investigate are continued clarity of understanding about the required programme outcomes and supportiveness of stakeholders as the programme closes.</p>

AREAS TO PROBE	EVIDENCE EXPECTED
<p>2.1 Is there a clear understanding of the outcomes to be delivered by the programme and are they soundly based?</p>	<ul style="list-style-type: none"> ▪ A description of the programme/project's business/policy drivers/objectives and how they contribute to the overall objectives for a particular public service or the organisation's change agenda ▪ An outline of the required outcomes and their relationship to each other ▪ Definition of the benefit profiles for the programme/project, for each of the benefits expected ▪ Evidence that required benefits and outcomes are the drivers for the programme, rather than being afterthoughts ▪ Evidence that the way forward is likely to achieve the intended outcomes and benefits ▪ For policy implementation, a rationale and objectives statement, appraisal of options and evaluation plan for the option being pursued ▪ Where applicable, description of linkage to government performance and delivery targets and/or commitments of senior management.
<p>2.2 Does the programme demonstrate a clear link with wider government objectives?</p>	<ul style="list-style-type: none"> ▪ Analysis to show the programme/project's relationship to relevant cross-cutting government policies ▪ Account has been taken of relevant impact assessment and appraisal issues such as Regulatory Impact, Sustainable Development and Environmental Appraisal ▪ Linkage between strategic objectives and outcomes and the programme/project's deliverables.
<p>2.3 Is there an understanding of the scope of the programme?</p>	<ul style="list-style-type: none"> ▪ A description of the programme/project scope as far as it is known – what is in and out of scope ▪ Evidence that the team has considered how changes to scope will be identified, sized, approved and managed.

<p>2.4 What will constitute success?</p>	<ul style="list-style-type: none"> ▪ Definition of key critical success factors and how the required quality of performance will be measured ▪ Description of main outcomes and analysis of the leading and lagging indicators of them ▪ Relationship between programme/project outcomes and government targets, or major policy initiatives, where applicable ▪ Projected performance over the life of the programme/project, with key performance targets and measures agreed with stakeholders ▪ Evidence that the programme/project can be evaluated in a practical and affordable way.
<p>2.5 Who are the stakeholders and are they supportive?</p>	<ul style="list-style-type: none"> ▪ A list of key stakeholders and statements of their needs and support for the programme/project ▪ Plan for communicating with and involving stakeholders in appropriate ways, and securing common understanding and agreement ▪ For cross-cutting programmes, clear lines of accountability for resolving any conflicting stakeholder requirements ▪ Recognition of the need to involve external delivery partners and industry and the supply side where appropriate.
<p>2.6 What are the components of the programme or project and why is it structured in this way? (eg, projects and sub-programmes of the programme or project work streams)</p>	<ul style="list-style-type: none"> ▪ Description of programme strands and/or sub-programmes and main projects, with explanation of how each will contribute to the required outcomes; key deliverables and identification of key interdependencies ▪ Evidence that implementation will be broken up into manageable steps and phased delivery where appropriate, and will avoid 'big-bang' approaches.
<p>2.7 Is the proposed programme affordable?</p>	<ul style="list-style-type: none"> ▪ An estimate of the programme/project costs based on previous experience/comparison with other similar endeavours, broken down as appropriate by the programme or project components ▪ Available funds identified and methods of securing additional necessary funding determined ▪ Provision in current spending review allocation, including an allowance for risk ▪ Market soundings and assessment of likely cost profiles.

<p>2.8 What are the additional factors that could affect success?</p>	<ul style="list-style-type: none"> ▪ Main risks identified at the outset, with nominated risk owners; options for mitigating these risks considered; and need recognised for contingency plans and, where appropriate, business continuity plans ▪ Description of dependencies/other factors/ programmes already under way that could affect the outcomes of the programme or project ▪ Engagement with delivery chains and/or the market to determine capability to meet the need and, where appropriate, to identify suitable options for delivery ▪ Where suppliers/partners are already in place, evidence that their ability to deliver has been considered ▪ The legal framework for the programme/project and its components exists, is comprehensive and is sound.
<p>2.9 Have governance controls been determined, especially where constituent components will be 'joined up' with other organisations?</p>	<ul style="list-style-type: none"> ▪ Overall governance controls defined (progress tracking, risk management, issue identification and resolution, impact assessment) ▪ Interdependencies between other programmes and projects defined, with high-level plans for managing them ▪ For collaborative programmes/projects, 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 information and decision-making.

3: Management of intended outcomes

How to use this section for:

First Gateway Review 0 (programme or project)	At programme/project initiation all areas must be investigated in depth to confirm that expectations for delivery are realistic and that performance can be measured with reasonable accuracy. If the first Review is very early, the key aspects to investigate in depth are: <ul style="list-style-type: none"> ▪ Main outcomes identified ▪ Relationships between outcomes. Plans for achieving the outcomes are likely to be unclear at an early stage, but there should be evidence of high level plans for the way forward (or a set of options for consideration, with a preferred option identified) and a reasonably clear indication of how success will be measured.
Mid-stage Gateway Review 0 (programme or project)	The main focus of this mid-stage Review is to check that plans for delivery of outcomes remain achievable.
Final Gateway Review 0 (programme only)	The topics in this section may not need to be covered at programme closure.

AREAS TO PROBE	EVIDENCE EXPECTED
3.1 Have the main outcomes been identified?	Up-to-date list of the main outcomes and desired benefits, linked to strategic outcomes and to the deliverables from specific projects in the programme.
3.2 Are the planned outcomes still achievable, or have any changes in scope, relationship or value been properly agreed, and has the Business Case been reviewed?	<ul style="list-style-type: none"> ▪ Outcomes identified, together with their relationships to each other ▪ Credible plans for the achievement of outcomes ▪ Ongoing commitment from stakeholders to the outcomes and their achievement.
3.3 Are key stakeholders confident that outcomes will be achieved when expected?	<ul style="list-style-type: none"> ▪ Confirmation that planned outcomes have been achieved to date ▪ Mechanisms for collecting performance data in place and a plan for evaluating impact of the programme/project in operation ▪ Governing body confident that planned milestones will result in good quality deliverables that will, in turn, deliver the necessary outcomes ▪ Commitment from key stakeholders that programme/project deliverables will achieve the desired outcomes.

<p>3.4 Is there a plan for achieving the required outcomes?</p>	<ul style="list-style-type: none">▪ A benefits management strategy, and a plan to ensure that outcomes are delivered in terms of performance measures/ KPIs▪ Plans to identify appropriate baseline measures against which future performance will be assessed▪ Plans to carry out performance measurement against the defined measures and indicators▪ Where planned outcomes have not been achieved, evidence that the problems have been identified and plans are in place to resolve them▪ Clarity on how the objectives of sub-programmes/ projects link to the outcomes of the programme.
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4: Risk management

How to use this section for:

First Gateway Review 0 (programme or project)	At programme/project initiation all aspects of risk management must be probed in depth. If the first Review is very early, the major risks must be identified at high level, with an indication of how they will be managed and initial consideration of the requirements for contingency plans.
Mid-stage Gateway Review 0 (programme or project)	The main focus is on checking that risk management is effective.
Final Gateway Review 0 (programme only)	The status of the risk register at programme/project closure will be the principal area to investigate – which risks have now been removed and which risks (if any) will be transferred to the risk register for a new initiative, or corporate risk log.

AREAS TO PROBE	EVIDENCE EXPECTED
4.1 Have the major risks been identified?	<ul style="list-style-type: none"> ▪ Up-to-date list of major risks to the overall programme (strategic, political/reputational and legislative) analysed by likelihood and impact ▪ Early warning indicators identified ▪ Evidence that the risks of success (eg, take-up or usage greater than expected) have been considered and contingencies identified ▪ Evidence of regular review of risks, mitigation options and contingency plans.
4.2 How will risks be managed?	<ul style="list-style-type: none"> ▪ Identification of a governance framework and procedures for risk management in the programme/project, and allocation of responsibilities ▪ Details of the risk allocation (to whom allocated and why) with high level plans for managing them ▪ Action to manage the risks identified and, where appropriate, action taken ▪ Evidence of regular and frequent review of risks ▪ Evidence of escalation procedures.

<p>4.3 Have assurance measures for the programme been put in place?</p>	<ul style="list-style-type: none"> ▪ ‘Critical friends’ to the programme/project (eg, internal audit, procurement, specialists and/or peer reviewers co-opted onto the Programme/Project Board) appointed, with evidence that they challenge assumptions, decisions and risks ▪ Gateway Reviews, health-checks and/or policy reviews incorporated into plans ▪ Evidence that Review recommendations are turned into action plans ▪ Evidence that advice from ‘critical friends’ is acted upon ▪ Where appropriate, evidence of audit arranging for complementary assurance (about control and processes) from audit functions through the delivery chain ▪ Evidence that the programme/project is subject to the organisation’s assurance framework for its portfolio of programmes and projects ▪ Evidence that market/supply considerations are understood and acted upon.
<p>4.4 Is there a contingency plan and, where appropriate, business continuity plans?</p>	<ul style="list-style-type: none"> ▪ Decisions about contingency and, where necessary business continuity arrangements made with appropriate plans ▪ Programme/project’s effects on public services analysed and decisions taken about those for which contingency arrangements will be needed ▪ Milestones relating to contingency measures are in plans, and the milestones are being achieved as expected.

5: Review of current outcomes

How to use this section for:

First Gateway Review 0 (programme or project)	This section would not normally apply, but some of the topics may need to be considered.
Mid-stage Gateway Review 0 (programme or project)	All areas will need to be investigated in depth to confirm that the programme remains on track and that issues are being managed effectively.
Final Gateway Review 0 (programme only)	This section of the Review concentrates on confirming that the expected outcomes have been achieved and that no outstanding issues remain.

AREAS TO PROBE	EVIDENCE EXPECTED
<p>5.1 Is the programme or project on track?</p>	<ul style="list-style-type: none"> ▪ Programme/project report and plans are updated ▪ Master Plan and supporting plans are integrated and consistent ▪ Milestones have been achieved as planned – no consistent pattern of slippage ▪ Plan for benefits measurement and achievement is on track and regularly monitored ▪ Risk Register is up to date ▪ Evidence that issues are being actively addressed, resolved and closed ▪ Highlight Reports for constituent work-streams exist and are consistent ▪ Resources and funding are being tracked and records are up to date ▪ Confidence from delivery partners that future milestones and plans are realistic ▪ Confidence from the Programme/Project Board that future milestones and plans are realistic ▪ Interdependencies with other programmes/projects are being managed ▪ Contract management is appropriate and relationships are professional and supportive rather than litigious ▪ Scope changes are being controlled and managed and there aren't large numbers of changes.

5.2 Have problems occurred and if so how have they been resolved?	<ul style="list-style-type: none">▪ Issues documented, with details of action taken▪ Governance framework with escalation routes to senior management; evidence of use of the framework▪ Programme/Project Plan updated to reflect changing issues and risks▪ Recommendations from last Gateway Review actioned.
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6: Readiness for next phase: Business Justification and Options – Indicative Business Case

How to use this section for:

First Gateway Review 0 (programme or project)	<p>At programme/project initiation all areas would apply to this Review, with the main focus on ensuring that everything is in place to start delivering the required outcomes.</p> <p>For a project, the next phase after an initial Gateway 0 is the development of an Indicative Business Case (IBC).</p> <p>For a programme, there is no IBC so the next phase should be about:</p> <ul style="list-style-type: none"> • readiness to develop IBC for any individual projects • readiness to define the next tranche of projects • evidence of RPAs for component projects • evidence of funding to manage component projects separately using MSP or similar • solid base for the inter-tranche transfer etc <p>If the first Review is very early, plans may be in too early a stage of development to provide reliable evidence.</p>
Mid-stage Gateway Review 0 (programme or project)	All areas should be probed in depth.
Final Gateway Review 0 (programme only)	This section would not normally apply at programme closure, but some of the topics may need to be considered.

AREAS TO PROBE	EVIDENCE EXPECTED
6.1 Is there a continuing need for the programme?	<ul style="list-style-type: none"> ▪ The desired outcomes of the programme/project are still aligned to the organisational strategy ▪ Continuing commitment from stakeholders ▪ Confidence that the programme/project is organised to deliver the outcomes when needed ▪ The Programme/Project Brief or Programme Business Case/ Project Detailed Business Case has been updated as necessary and is still valid.
6.2 What assumptions have been made about the programme/project?	<ul style="list-style-type: none"> ▪ A listing of major assumptions made in preparing the Programme/project Brief, updated to reflect any changes that could affect success, together with current assessments of the validity of all assumptions.
6.3 How will change be managed?	<ul style="list-style-type: none"> ▪ Plans for managing the transition to new ways of working/ structures/policies, with any key barriers identified (such as cultural resistance to change) and the approach to overcoming them agreed.

<p>6.4 Affordability: are the funds to reach the next phase available?</p>	<ul style="list-style-type: none"> ▪ Budget provision for the programme/project ▪ Adequate approaches for estimating, monitoring and controlling the expenditure on the programme/project.
<p>6.5 Are the required internal/ external individuals and organisations suitably skilled, available and committed to carrying out the work?</p>	<ul style="list-style-type: none"> ▪ Information showing who needs to be involved, when and what they must deliver ▪ Identification of the key skills – specialist and management – required for the next phase of the programme/project ▪ Key roles in place, with skills matched to the nature of the work ▪ Evidence that these resources will be available when needed throughout the next phase.
<p>6.6 Achievability: are the plans for the next phase realistic?</p>	<ul style="list-style-type: none"> ▪ Plan developed showing: streams of work (sub-programmes, projects, etc); deliverables/ milestones and the route map to achieve them; timescales; organisation; costs and resourcing; stakeholder involvement; risk management and benefits management ▪ Evidence that the robustness of the plans has been tested and found to be adequate.
<p>6.7 Are appropriate management controls in place?</p>	<ul style="list-style-type: none"> ▪ Accountabilities allocated to SROs ▪ Programme/project management controls and reporting mechanisms defined and operational ▪ Plans for ongoing management of the delivery chain are in place.
<p>6.8 Where procurement is a part of the programme: how is capability and capacity for acquisition to be managed?</p>	<ul style="list-style-type: none"> ▪ Procurement strategy in place and evidence of its application to programme and its projects ▪ Market management plan in place and evidence that a good understanding exists of supply side capability and capacity.

Gateway Review 0: Typical documentation

The areas of investigation, together with examples of evidence, should be available before the Gate 0 Review starts.

The information is likely to be found in the documents suggested below, but may be located in other programme/project documents or elsewhere in the organisation's documentation system:

- The business strategy and business plan, where applicable: this should set out the organisation's strategy and policy objectives in relation to a set of public services or explain the objectives of the organisation's change agenda.
- Documentation which provides the mandate for the project or programme to be initiated.
- Any relevant statement of intent, programme brief, project terms of reference or initiative strategic assessment which may cover associated targets and delivery plans.
- *Evidence of thinking about benefits management*, showing how projected benefits contribute to strategic goals and objectives, preferably linked to an organisational Benefits Management Strategy. At the initial Gate 0 review early in the programme or project, the following information should be available:
 - output of a benefits workshop showing how the benefits are the driver for the programme or project
 - initial benefits map identifying high-level benefits and relationships, including linkages to intended outcomes
 - strategic alignment map establishing how outcomes and benefits align to strategy
 - initial benefit profiles for each known benefit, including early thinking about measures
 - outline benefits realisation plan
 - identification of risks to each benefit's achievement.
- Investment Logic Map (ILM) or other evidence that a strategic articulation methodology has been used to understand the need for the programme/project and the benefits and outcomes to be delivered.
- A programme business case: this document will be loosely formed at the outset and developed over the life of the programme. For an early Gate 0 the Strategic Assessment part of the programme business case should be nearing completion but other parts are likely to be light.
- The programme business case should provide progressively more detailed information about:
 - objectives: a description of the purposes, outcomes sought, key deliverables and timescales plus the main success criteria against which the programme will be measured
 - background: outline of the key drivers for the programme, showing how it will contribute to policy outcomes or the business strategy
 - a model of the intended outcome(s) as a vision of the future and how the vision will be delivered through the organisation(s) involved, delivery agents, new services, etc
 - scope: the boundaries of the programme
 - the required benefits from the programme; these will be elaborated in a benefit profile for each defined benefit, covering a description of the benefit, when it will be realised, and the measures and performance indicators which will be used to assess achievement levels and their costs

- the main assumptions and constraints on which the programme will be founded and dependencies with other programmes or strategies
- stakeholders: a list of the key stakeholders and their role in the programme, with a strategy and plan for communicating and engaging with them
- finance: the financial provision made for the programme and its components
- organisation: the way in which the programme is to be organised, led and linked into other related programmes
- risks: the main risks so far identified, a strategy for managing them and need for any contingency arrangements
- issues: a strategy for capturing and resolving issues
- outcomes: a strategy for measuring the results and achieving benefits
- components and dependencies: a list of the projects in the programme's portfolio and interdependencies that have to be delivered successfully if the programme is to achieve its objectives and their current status.
- A plan covering the work to be done over the short/medium term:
 - identifying the programme/project components, together with the main deliverables and milestones for each one and contribution each is to make to the programme/project outcomes
 - resource estimates (eg, funding for delivery bodies, people, systems).
- Clear documentation describing the governance arrangements to ensure sustainable alignment with the business objectives of all organisations involved, and describing how all parties involved are to engage with the programme/project and commit to its delivery.

Supporting guidance

- **Department of Prime Minister and Cabinet** www.dpmc.govt.nz
 - Investment Management and Asset Performance in the State Services – Cabinet Office Circular CO (15) 5 (mandating document for the Treasury Investment Management and Asset Performance processes, including Gateway process: www.dpmc.govt.nz/cabinet/circulars)
- **New Zealand Treasury** www.treasury.govt.nz
 - Investment management and asset management in the state sector: www.treasury.govt.nz/statesector/investmentmanagement
www.treasury.govt.nz/statesector/investmentmanagement/think
 - Benefits management, including guidance and templates www.treasury.govt.nz/statesector/investmentmanagement/plan/benefits
 - Better Business Cases (BBC), including guidance and templates: www.treasury.govt.nz/statesector/investmentmanagement/plan/bbc
 - Cost Benefit Analysis (CBA) including public sector discount rates: www.treasury.govt.nz/publications/guidance/planning/costbenefitanalysis
 - Investment reviews, including Gateway: www.treasury.govt.nz/statesector/investmentmanagement/review
 - Investor Confidence Rating (ICR): www.treasury.govt.nz/statesector/investmentmanagement/statesector/investmentmanagement/review/icr
 - Long term investment plans (LTIP): www.treasury.govt.nz/statesector/investmentmanagement/statesector/investmentmanagement/think/ltip
 - Monitoring and reporting for Major Projects and Programmes: www.treasury.govt.nz/statesector/investmentmanagement/do
 - Public-Private Partnerships, including guidance and standard form agreements: www.treasury.govt.nz/statesector/ppp
- Information available only to government agencies, on the Public Sector Intranet (PSI):
 - Capital Asset Management in the state sector (Public Sector Intranet): www.psi.govt.nz/home/guidance/investment-management/capital-asset-management/
- **Ministry of Business, Innovation and Employment (MBIE):**
 - Procurement website: www.business.govt.nz/procurement
 - Procurement lifecycle with emphasis on the planning: www.business.govt.nz/procurement/for-agencies/guides-and-tools
 - Guide to Mastering Procurement – structured approach to strategic procurement: www.business.govt.nz/procurement/for-agencies/strategic-procurement
- **Department of Internal Affairs/Office of the Government Chief Digital Officer:**
 - Major projects and programmes should consult with the DIA GCDO to understand the ICT common capabilities which are available for use, and which services they have been directed to adopt.
 - Information about ICT common capabilities which are generally available, and the ICT common capability roadmap, can be found on www.ict.govt.nz
 - For more information, contact gcdo@dia.govt.nz, or call 04 475 5775.
- **New Zealand Government Communications Security Bureau (GCSB):**
 - New Zealand Government Information Security Manual: <https://www.gcsb.govt.nz/publications/the-nz-information-security-manual/>

- **New Zealand Office of the Controller and Auditor-General:** search for the following documents in www.oag.govt.nz/reports
 - Achieving public sector outcomes with private sector partners (2006): www.oag.govt.nz/2006/public-private
 - Managing conflicts of interest: Guidance for public entities (2007): www.oag.govt.nz/reports/docs/conflicts-public-sector.pdf/view
 - Procurement guidelines for public entities (2008): www.oag.govt.nz/2008/procurement-guide
- **Standards New Zealand:** www.standards.govt.nz
 - AS/NZS 8016:2013: Governance of IT enabled projects <https://shop.standards.govt.nz/catalog/8016%3A2013%28AS%7CNZS%29/view>
 - AS/NZS ISO 31000:2009: Risk Management – Principles and guidelines (supersedes AS/NZS 4360:2004: Risk Management, 2004) <https://shop.standards.govt.nz/catalog/31000%3A2009%28AS%7CNZS+ISO%29/view?client=html5>
 - SA/SNZ TS 8019:2016 Governance of benefits realization for IT enabled investments: <https://shop.standards.govt.nz/catalog/8019%3A2016%28SA%7CSNZ+TS%29/view>
- **Australian Government**
 - Australian Audit Office: www.anao.gov.au/Publications
 - Better Practice Guide: Developing and Managing Contracts, February 2012.
 - Better Practice Guide: Implementation of Programme and Policy Initiatives, October 2006
 - Better Practice Guide: Public Sector Governance, July 2003
 - Better Practice Guide: Business Continuity Management – Building resilience in public sector entities, June 2009
- **UK Government**
 - All UK government methodologies and best practices are now available from the official Axelos site: www.axelos.com, including:
 - ITIL – Information Technology Infrastructure Library: www.axelos.com/best-practice-solutions/itil
 - MoP – Management of Portfolios: www.axelos.com/best-practice-solutions/mop
 - MoR – Management of Risk: Guidance for Practitioners: www.axelos.com/best-practice-solutions/mor
 - MSP – Managing Successful Programmes: www.axelos.com/best-practice-solutions/msp
 - P3M3 – Portfolio, Programme, and Project Management Maturity Model: www.axelos.com/best-practice-solutions/p3m3
 - P3O – Portfolio, Programme and Project Offices: www.axelos.com/best-practice-solutions/p3o
 - Prince2 – Managing and Directing Successful Projects with PRINCE2: www.axelos.com/best-practice-solutions/prince2
- **Project Management Institute**
 - Project Management Body of Knowledge Fifth Edition (PMBOK® Guide) www.marketplace.pmi.org/Pages/ProductDetail.aspx?GMProduct=00101388701
 - Construction Extension to the PMBOK® Guide Third Edition www.marketplace.pmi.org/Pages/ProductDetail.aspx?GMProduct=00101025801
 - Software extension to the PMBOK® Guide Fifth Edition www.marketplace.pmi.org/Pages/ProductDetail.aspx?GMProduct=00101457501
 - The Standard for Program Management Third Edition www.marketplace.pmi.org/Pages/ProductDetail.aspx?GMProduct=00101388801
- **Change Management Institute**
 - Change Management Body of Knowledge First Edition www.change-management-institute.com/buycmbok