



THE TREASURY

Kaitohutohu Kaupapa Rawa

# New Zealand Gateway Reviews

## Lessons Learned Report 2017

Fourth Lessons Learned Report:  
New Zealand Gateway Reviews 151-200

Further information

The Treasury  
PO Box 3724  
Wellington  
New Zealand

Website: [www.treasury.govt.nz/statesector/investmentmanagement/review/gateway](http://www.treasury.govt.nz/statesector/investmentmanagement/review/gateway)

Email: [gatewayunit@treasury.govt.nz](mailto:gatewayunit@treasury.govt.nz)

Phone: +64 4 472 2733 (main phone)  
+64 4 917 6925 (Gateway Unit)

ISBN: 978-1-98-853419-0 (Online) 978-1-98-853420-6 (Print)

Copyright / Terms of use

Crown copyright © 2017



This work is licensed under the Creative Commons Attribution 4.0 International licence. In essence, you are free to copy, distribute and adapt the work, as long as you attribute the work to the Crown and abide by the other licence terms. To view a copy of this licence, visit <https://creativecommons.org/licenses/by/4.0/>. Please note that no departmental or governmental emblem, logo or Coat of Arms may be used in any way which infringes any provision of the Flags, Emblems, and Names Protection Act 1981. Attribution to the Crown should be in written form and not by reproduction of any such emblem, logo or Coat of Arms.

# Contents

<b>Executive summary</b> .....	<b>2</b>
<b>Content of this report</b> .....	<b>4</b>
What is Gateway?.....	4
The Gateway reviews .....	5
Good practice and positive lessons .....	6
<b>Changes in key themes over time</b> .....	<b>9</b>
Performance Audit of the Gateway process in New Zealand .....	11
Gateway effectiveness and continuous improvement.....	12
<b>Analysis of the recommendations, reviews 151–200</b> .....	<b>13</b>
Theme 1 Governance .....	14
Theme 2 RAID (Risks, Assumptions, Issues & Dependencies).....	16
Theme 3 Business Case.....	18
Theme 4 Transition into Service .....	20
Theme 5 Sourcing Strategy and Management.....	22
Theme 6 Programme & Project Management .....	24
Theme 7 Stakeholder Management .....	25
Theme 8 Resource Management .....	26
Theme 9 Benefits Realisation and Management.....	27
Theme 10 Management of Change .....	28
Theme 11 Financial Planning and Management .....	29
Theme 12 Programme & Project Planning .....	31
Theme 13 Capturing Lessons Learned .....	32
Theme 14 Methodology .....	33
<b>Appendix 1: Reviews 151-200 – analysis by type</b> .....	<b>35</b>
<b>Appendix 2: Purpose and development of Gateway in New Zealand</b> .....	<b>39</b>
<b>Appendix 3: Good Practice Guidance</b> .....	<b>43</b>

# Executive summary

This is the fourth New Zealand Gateway Unit report presenting lessons learned from the New Zealand Government’s Gateway reviews. We analyse and publish recommendations for tranches of 50 numbered reviews. All our lessons learned reports are on our website: [www.treasury/investmentmanagement/review/gateway/lessons](http://www.treasury/investmentmanagement/review/gateway/lessons)

This report provides an analysis of 45 Gateway reports (numbered 151-200<sup>1</sup>) conducted across 40 projects and programmes in 27 agencies between September 2014 and May 2016.

## Key messages

The Gateway Unit analyses the recommendations arising from Gateway reviews and categorises them by 14 themes. The table below shows the top eight themes, by frequency, across the four Lessons Learned reports published to date.

Themes	This report (reviews 151-200)	Report 3 (reviews 101-150)	Report 2 (reviews 051-100)	Report 1 (reviews 001-050)
Governance	1	1	3	6
RAID (Risks, Issues, Assumptions & Dependencies)	2	4	2	3
Business Case	3	3	1	1
Transition into Service	4	9	5	-
Sourcing Strategy & management	5	2	4	9
Programme & Project Management	6	5	6	2
Stakeholder engagement	7	6	8	4
Resourcing	8	7	7	5

The top eight themes have remained fairly consistent over the 200 New Zealand Gateway reviews to date, but the rankings are changing over time. Analysis of the trends in theme ranking identifies some key issues:

- ▶ **Governance** is a significant and growing concern, in part because the increasing trend towards large complex multi-agency and all-of-government projects requires a lift in capability. There are significant concerns that expectations are exceeding capability in this area.
- ▶ **RAID** (Risks, Assumptions, Issues and Dependencies) management is a consistently weak area in the majority of projects reviewed.

<sup>1</sup> Five reviews were cancelled or deferred after a review number had been assigned.

- ▶ Although the number of recommendations around **Business Cases** has dropped since the introduction of Better Business Cases (BBC), it remains a key theme and there is still significant uncertainty about use of the BBC process.

The findings from Gateway reviews are in alignment with issues identified by other corporate centre processes including the Investor Confidence Rating.

Gateway Lessons Learned analysis, with information derived from other central agency processes<sup>2</sup> contributes to the Treasury's understanding of the issues, underlying problems and trends in government projects and has helped to identify key areas of focus for the Corporate Centre, for example:

- ▶ The Procurement Functional Leadership (PFL) programme is working to improve government's procurement capability and performance and deliver better value through its procurement activity. It has developed system-wide initiatives to develop government's commercial skills and practice, improve supplier engagement and development, and deliver benefits through collaborative procurement.
- ▶ The Corporate Centre, led by SSC, is considering what could be done for further develop commercial capability across government.
- ▶ The Treasury's Investment Management and Asset Performance group (IMAP) is working to further develop Better Business Cases to increase support to agencies, in particular by the extension of Business Case Clinics beyond 'capital intensive' agencies and introduction of a tailored version suited to projects following an agile development methodology.
- ▶ Treasury's introduction of the Investor Confidence Rating will enable Corporate Centre to target monitoring and interventions to focus on agencies and projects which require more assistance.

Positive lessons learned tend to emerge as projects progress to second and later reviews. In the period covered by this report, seven initiatives were reviewed at Gate 4, 'Readiness for Service'. All have since successfully transitioned into service.

---

2 Eg, Major Projects Monitoring and Portfolio Performance data collection, Investor Confidence Rating.

# Content of this report

We analyse and publish recommendations every 50 reviews – frequent enough to identify issues that are still current, while covering enough reviews to identify trends. All the reports are on our website: [www.treasury/investmentmanagement/review/gateway/lessons](http://www.treasury/investmentmanagement/review/gateway/lessons)

This is the fourth report presenting lessons learned from the New Zealand Government's Gateway reviews.

- ▶ This report provides analysis of 45 Gateway reviews (numbered 151-200<sup>3</sup>) run across 40 projects and programmes in 27 agencies between September 2014 and May 2016.
- ▶ Analysis of these 45 reviews by various criteria is in Appendix 1.

The Gateway Unit identifies lessons learned by reviewing reports from completed Gateway reviews, and through ongoing communication with agencies and reviewers. We identify trends in emerging issues through recommendations to improve deficient practices; or through recognition by a review team of good practice already being applied by an agency to a project.

'**Lessons learned**' in this report are recommendations taken directly from Gateway review reports; they highlight opportunities for project and programme management improvements in New Zealand Government agencies. We have anonymised the recommendations where necessary and have sometimes reworded for clarity and context, but otherwise the recommendations are taken directly from the Gateway review reports.

## What is Gateway?

**Gateway™** is an independent project/programme peer review methodology that provides advice and support to the Senior Responsible Owner (SRO) of a programme or project.

Gateway provides short (one week), focused reviews at critical points in a project's life-cycle by a team of reviewers not associated with the project or with any Corporate Centre agency. The team primarily engages with, and reports solely to, the SRO. A Gateway review is a learning and development conversation; it is not part of any assessment or performance review.

---

3 Five reviews were cancelled or deferred after a review number had been assigned.

Gateway provides the SRO with an independent perspective on their project immediately prior to a key decision point ('Gate'). The process is designed to help the SRO to cut through the everyday noise of the project and identify the key issues that need to be addressed to help the project to succeed. The process is confidential, to provide a non-threatening environment where the SRO can engage with independent experts with relevant experience. The review provides the SRO assurance regarding the project's readiness to proceed to the next phase, along with action-oriented recommendations to enhance the prospects of success.

Gateway reviews are a peer review which distinguishes them from other forms of project assurance. The review teams consist of both public sector and private sector reviewers who contribute different skills and experience to the review. All interviews are non-attributable, promoting a high degree of frank disclosure. During the review week, the review team acts as a 'critical friend' to the project. The team adopts a role of coach and mentor to the Senior Responsible Owner (SRO), providing them with a daily briefing and discussion of emerging findings. At the end of the review week, the final deliverable is a concise report, confidential to the SRO, which contains findings and recommendations. After that time, the review team has no on-going contact or relationship with the project.

Gateway is also a form of system assurance as, even though the contents of the review report are confidential to the SRO, the knowledge that a robust process has taken place, and that concerns will be escalated if there are problems, gives senior stakeholders confidence in both projects and Gateway itself. Evaluations from other jurisdictions point to significant value that can be attributed to well-run Gateway processes.

## The Gateway reviews

**Programme reviews** – for a programme a series of Gate 0 reviews is repeated at intervals throughout a programme's life. A programme will generally undergo four or more Gate 0 reviews:

- ▶ an early review
- ▶ mid-stage reviews at appropriate points during the programme (eg, at tranche boundaries, or when there are significant concerns, or on a change of SRO – approximately every 12-15 months is a recommended interval)
- ▶ a final review after the conclusion of the programme.

**Project reviews** - for a project, the Gateway reviews are:

- ▶ Review 0: Strategic Assessment
- ▶ Review 1: Business Justification and Options – Indicative Business Case
- ▶ Review 2: Delivery Strategy – Detailed Business Case
- ▶ Review 3: Investment Decision
- ▶ Review 4: Readiness for Service
- ▶ Review 5: Operational Review & Benefits Realisation has been discontinued since the introduction of new benefits reporting requirements in Cabinet Office Circular CO(15)5.

In respect to any Cabinet-approved investment, unless otherwise agreed by Cabinet, agencies must:

- ▶ report back to Cabinet within 12 months after the in-service date on the actual level of benefits achieved compared with those outlined in the Cabinet-approved investment
- ▶ post copies of any benefits realisation reports generated on the Public Sector Intranet (PSI) taking account of grounds for withholding information under the Official Information Act (OIA).

The Gate 5 review will be replaced with a more targeted and tailored Operational Review and Benefits Realisation Review which is under development:

This is not branded as a Gateway review and there is an expectation that the report will be disseminated outside the agency, including publication to the PSI.

The review will reflect the requirements of Treasury's Benefit Management guidelines.

Further detail on the investment review process is available at [www.treasury.govt.nz/statesector/investmentmanagement/review](http://www.treasury.govt.nz/statesector/investmentmanagement/review)

## Good practice and positive lessons

A lesson learnt is not limited to threats to project success. The review reports identified several agencies with projects on track to deliver successful outcomes through sound programme and project management principles. These agencies generally share the following good practice fundamentals, which match many of Gateway's key themes:

- ▶ Projects strongly aligned with government and organisation policies and goals; project success criteria that clearly link objectives to outcomes, and clear links with agency key strategic priorities.
  - *The Programme has a strong value proposition, has undertaken extensive consultation and detailed research and has established a strong foundation for the programme.*



- ▶ Clear senior management and Ministerial ownership and leadership, including an engaged senior executive as Senior Responsible Owner (SRO).
  - *Senior executives are strongly engaged with the project and committed to its success. They have overseen the rapid development of the system which is now nearing completion. The infrastructure is well advanced and business change planning and stakeholder engagement is exemplary. The system has now been successfully demonstrated to a large number of stakeholders.*
- ▶ Clear governance arrangements and active governance oversight that ensures on-going alignment with business objectives.
  - *The review team believes that the following processes or artefacts used in the project represent good practice: performing the services aggregator role, change management readiness, “one-team” ethos leadership and blending waterfall with iterative delivery approaches.*
- ▶ Effective stakeholder engagement to help analyse, segment and appropriately engage the right people at the right time, with active management of critical stakeholder issues.
  - *The Gateway Review team believes the following processes or artefacts used in the project represent good practice and would be good to share with other agencies: very good collaboration with the City Council over the consenting strategy; very good engagement with the local iwi; and a very good work breakdown structure for procurement.*
- ▶ Organisational commitment to good project/programme and risk management practice.
  - *The Review team notes that the project is implementing a standard approach to risk management, maintains a risk register and escalates key risk through the Steering Group and the Management team as appropriate.*
  - *In addition, the project has held externally facilitated risk workshops which were useful to ensure that the project risks are appropriately categorised and mitigated.*
- ▶ A team with the necessary skills and expertise; the whole project organisation requires the appropriate skills, not just the project manager.
  - *Has been exemplary for the sector in terms of acquiring capabilities with appropriate funding for all of life costs.*

- ▶ Sound commercial knowledge of the supplier marketplace, linked to the requirements, and careful and appropriate management of the supplier over the contract term.
  - *A rigorous procurement process has been undertaken with strong business engagement and a preferred vendor identified. Effective probity oversight was provided.*
  - *The project maintains a monthly performance scorecard rating the performance of each vendor on a scale from unacceptable to excellent.*
  - *This and previous reviews have found the Project to be a sound model for the application of a PPP procurement process for the delivery of major projects in New Zealand.*
- ▶ Effective team integration between clients, the supplier team and the supply chain.
- ▶ Robust business cases with transparent underlying drivers, well-researched and rigorously analysed options, and clearly defined benefits with specific metrics and delivery timeframes.
  - *The Business Case has a strong focus on “designing the future” not just “fixing the problem”; programme purposes and objectives are clearly and consistently articulated and understood within the Agency and across the sector.*
- ▶ Effective financial control
  - *The Review team was pleased to see the application of earned value techniques as a means of tracking progress against financial expenditure and effort.*

## Changes in key themes over time

The Gateway reviews included in this report (reviews 151-200) made a total of 584 recommendations.

The lessons learned are categorised in this report under 14 key themes. These are largely aligned with the key process areas used in major programme and project management best practice tools such as P3M3<sup>4</sup>. Because these areas are very broad, we have added some more detailed themes over time as we have identified specific areas of concern.

The table below shows the themes, ranked in order of frequency of findings and showing the changes in emphasis over the four Lessons Learned reports:

Themes	This report (reviews 151-200)	Report 3 (reviews 101-150)	Report 2 (reviews 051-100)	Report 1 (reviews 001-050)
Governance	1	1	3	6
RAID (Risks, Issues, Assumptions & Dependencies)	2	4	2	3
Business Case	3	3	1	1
Transition into Service	4	9	5	-
Sourcing Strategy & management	5	2	4	9
Programme & Project Management	6	5	6	2
Stakeholder management	7	6	8	4
Resourcing	8	7	7	5
Benefits realisation & management	9	8	9	-
Management of change	10	11	10	8
Financial planning & management	11	14	12	10
Programme/project planning	12	10	11	7
Capturing lessons learned	13	12	14	-
Methodology	14	13	13	11

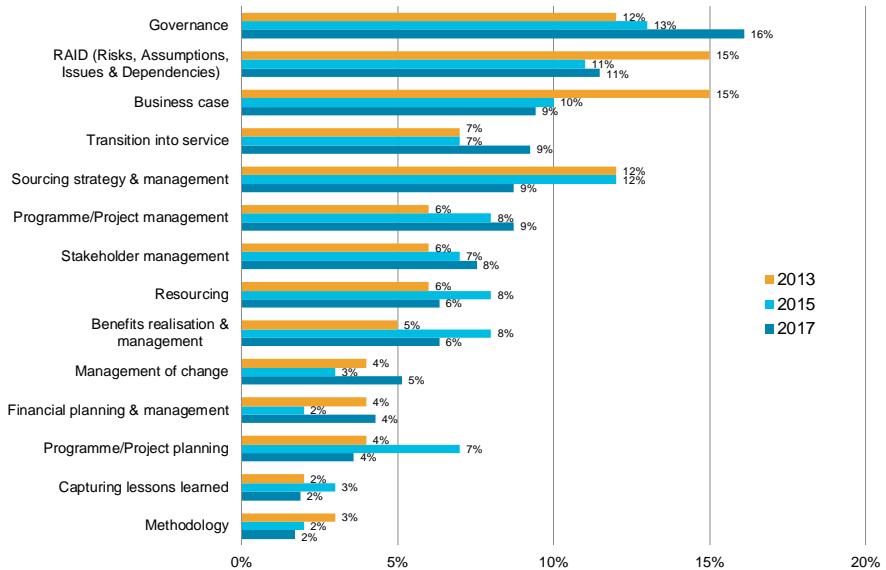
The chart on the next page shows the relative distribution of themes in the most recent three reports.

- ▶ The chart omits the first Gateway Lessons Learned report; as Gateway was introduced incrementally for new projects, recommendations for early reviews were disproportionately skewed towards early-phase issues. Gateway is now in a steady state, with a good representation of projects at all stages in their life-cycle as new projects enter the system and others are completed.
- ▶ This diagram is by percentage of findings, as the number of recommendations has varied across the reports.

4 Portfolio, Programme and Project Management Maturity Model, developed by the UK Office of Government Commerce.

- ▶ Some recommendations are categorised in more than one theme, where the recommendation relates strongly to more than one. For example, a recommendation concerning governance arrangements that should be in place during transition from project to business-as-usual will be categorised under both *Governance* and *Transition into service*.

### Gateway Review Recommendations by Theme



The top 10 themes have remained fairly consistent over the 200 Gateway reviews carried out in New Zealand to date; however, the rankings are changing over time.

A proportion of this change simply relates to the maturity of the Gateway process in New Zealand; for example, in the first Lessons Learned report, published in 2011, there were no recommendations relating to *Transition into service*, *Benefits realisation*, or *Capturing lessons Learned*, because no projects under Gateway had reached that stage of their lifecycle.

Allowing for this, there remain some themes where the changes have been meaningful:

- ▶ **Governance** is a significant and growing concern, in part because the increasing trend towards large complex multi-agency and all-of-government projects requires a lift in capability. There are significant concerns that expectations are exceeding capability in this area.
- ▶ **RAID** (Risks, Assumptions, Issues and Dependencies) management is a consistently weak area in the majority of projects reviewed.

- ▶ Although the number of recommendations around **Business Cases** has dropped since the introduction of Better Business Cases (BBC), it remains a key theme and there is still significant uncertainty about use of the BBC process.
- ▶ Concerns continue around the application of core **project and programme management** disciplines with a startling proportion (65%) of recommendations showing a lack of maturity in these areas:
  - Stakeholder management
  - Risk management
  - Governance
  - Resource management
  - Project and programme planning
  - Finance management
  - Benefits management.

The findings from Gateway reviews are in alignment with issues identified by other corporate centre processes including the Investor Confidence Rating.

## Performance Audit of the Gateway process in New Zealand

In 2016 the New Zealand Office of the Auditor-General carried out a performance audit of the Gateway process in New Zealand. The audit found that Gateway Reviews are carried out effectively and have had a positive effect on programmes and projects, at a reasonable cost.

*“In my view, Gateway reviews have delivered benefits to individual projects and programmes. Project sponsors have reported that they find Gateway reviews beneficial. My staff saw specific examples where a Gateway review had provided advice that helped a project reach an important milestone. For example, a Gateway review was able to help a project reach agreement between stakeholders who were in conflict. Without this agreement, the project would not have been able to progress.*”

*Gateway reviews can have a wider impact than just the projects and programmes that are reviewed. Some lessons from Gateway reviews are already shared, but I consider that this could be done more effectively. I would like to see the Treasury share more examples of good practice and find ways to help make sure that lessons are put into practice in other projects and programmes. In this way, such reviews could have a broader beneficial effect for the public sector as a whole.*

*In our view, agencies have the capability and capacity to pay for and participate in Gateway reviews. The \$75,000 cost of each Gateway review is reasonable, especially when considered as a percentage of the overall cost of each project.”*

The report made two recommendations, which we are progressing:

1. determine how to more effectively share lessons learned through Gateway reviews, including examples of good practice, and
2. ensure that the work it has under way to consider new types of investment review takes into account:
  - ▶ the limitations of Gateway reviews
  - ▶ the specific needs of projects and programmes in New Zealand, and
  - ▶ the information and assurance needs of stakeholders such as Ministers, chief executives, boards, and the Corporate Centre.

The report is available at [www.oag.govt.nz/2016/gateway/docs/gateway.pdf/view](http://www.oag.govt.nz/2016/gateway/docs/gateway.pdf/view)

## Gateway effectiveness and continuous improvement

Assessing the effectiveness of Gateway is a separate exercise from the lessons identified in this and earlier Lessons Learned reports. Effectiveness reviews have been conducted in the UK and Australia and influence the use of Gateway in New Zealand.

Gateway Lessons Learned analysis, with information derived from other central agency processes<sup>5</sup> contributes to Treasury's understanding of the issues, underlying problems and trends in government projects and has helped to identify key areas of focus for the Corporate Centre. For example:

- ▶ The Procurement Functional Leadership (PFL) programme is working to improve government's procurement capability and performance and deliver better value through its procurement activity. It has developed system-wide initiatives to develop government's commercial skills and practice, improve supplier engagement and development, and deliver benefits through collaborative procurement.
- ▶ The Corporate Centre, led by SSC, is considering what could be done for further develop commercial capability across government.
- ▶ The Treasury's Investment Management and Asset Performance group (IMAP) is working to further develop Better Business Cases to increase support to agencies, in particular by the extension of Business Case Clinics beyond 'capital intensive' agencies and introduction of a tailored version suited to projects following an agile development methodology.
- ▶ Treasury's introduction of the Investor Confidence Rating will enable Corporate Centre to target monitoring and interventions to focus on agencies and projects which require more assistance.

The Treasury will continue to assess ways to adapt and enhance the Gateway framework in response to feedback and the changing environment in which it operates.

---

5 Eg, Major Projects Monitoring and Portfolio Performance data collection, Investor Confidence Rating.

# Analysis of the recommendations, reviews 151–200

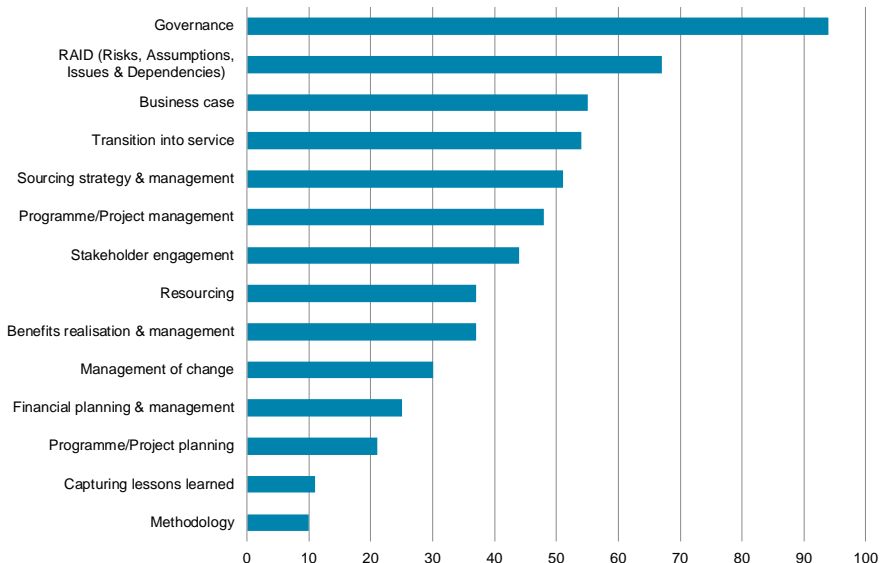
The following sections analyse the recommendations from this tranche of reviews and identify some key lessons learned for consideration by other projects.

In each case:

- ▶ The ‘Key findings’ shaded box highlights Treasury’s analysis of the most frequent recommendations within this theme, based on all 200 reviews to date. In many cases these findings relate to practices that are fundamental to the theme but which are consistently and frequently not addressed in the projects under review, and have wider application to agency projects and programmes.
- ▶ We then show a few of the more specific and targeted recommendations, which are more likely to be of more interest to projects and programmes that already have the fundamentals in place.
- ▶ We have anonymised these recommendations where necessary and in some cases have reworded to add clarity and context, but they are otherwise taken directly from the Gateway review reports.

The graph below shows the distribution of the 584 recommendations by theme, for the reviews included in this report.

Gateway Review Recommendations by Theme - Reviews 151-200



## Theme 1 Governance

Governance recommendations relate to the oversight, structure and decision-making of a project, programme or portfolio.

This theme also includes recommendations:

- ▶ Relating to the sub-theme 'Alignment with government priorities', as this alignment, particularly for cross-agency projects and programmes, is a key and growing part of governance roles.
- ▶ Relating to portfolio management. A portfolio approach is increasingly being implemented in NZ government organisations to assist in prioritising and aligning projects and programmes across strategic priorities and also to ensure a balance of projects and programmes with business as usual activities.

Sixteen percent of all recommendations (94 recommendations) focussed on Governance issues. This shows an increasing trend:

Reviews 001-050	9%
Reviews 051-100	12%
Reviews 101-150	13%
Reviews 151-200	16%

Governance is a significant and growing concern, in part because the increasing trend towards large complex multi-agency and all-of-government projects requires a lift in capability. There are significant concerns that expectations are exceeding capability in this area; this view is supported by findings identified by other corporate centre processes including the Investor Confidence Rating and major projects monitoring.

### Key findings:

The overall purpose of effective governance is ensure that an organisation's project and change portfolio is aligned to the organisation's objectives, delivered efficiently, and is sustainable.

For governance to succeed it must be driven by behaviours at the top of the organisation. As in our previous reports, a frequently-made recommendation is that the Senior Responsible Owner (SRO) role needs to be held at an appropriately senior level in the organisation, with the authority to bring stakeholders together and the ability to overcome resistance to the programme. For major programmes/projects this should generally be a Tier 2 manager, who reports direct to the Chief Executive. The SRO should chair the project or programme board. Continuity Governance structures should be defined early in a programme or project, with clear terms of reference and with membership and delegations tailored to ensure robust oversight and empowered decision-making.



The governance arrangements should include:

- ▶ The roles and responsibilities of the agency, Corporate Centre agencies, and any commercial partners
- ▶ Reporting arrangements and interfaces between the different organisations
- ▶ Terms of reference, reporting, delegations and accountabilities.

Agencies need to recognise however that governance and accountability frameworks need to change as the programme/project progresses. The SRO and programme team should regularly review the governance structure to ensure it is effective and supported by documents clearly defining roles and accountabilities at all levels. Phase boundaries are a good time to revisit and update governance and advisory arrangements.

For example, a cross-agency process design team needed in the Business Case stage may need to be replaced by a forum with different membership to drive the business changes needed to deliver benefits.

This is particularly critical for multi-agency projects and programmes. Governance accountabilities, particularly around financial arrangements, must be designed and agreed early and focus on the overall outcomes for all participants and the sector, not the individual agencies, including analysis of impacts and costs. Failure to agree these structures early can lead to significant delays and suboptimal outcomes, particularly for any smaller agencies involved.

There is a marked tendency for ICT-enabled business change programmes to focus extensively on the ICT components and give less weight to other aspects of the programme. It is critical to ensure that the non-ICT elements are appropriately represented in the overall governance structure and actively considered in governance conversations.

Where a project is part of a programme, the project's governance structure should be integrated with the broader programme governance structure. This will help to ensure that both groups understand the differences in drivers and risk appetite between the long-term organisational change and short-term operational projects, and will help ensure consistency of decision-making across the programme.

Gateway review recommendations under this theme include:

- ▶ Ensure the Governance Board focuses on investment risk to the Crown. To achieve this the Board should focus on:
  - Project delivery and trade-offs associated with cost, schedule and scope
  - Stakeholder management, within the agency and externally
  - Project team capability and capacity
  - Vendor management
  - Risk management
  - Benefit realisation.

- ▶ For multi-agency projects, ensure the agency CEs have a common understanding and obtain a collective commitment to the project by key CEs and Ministers.
  - Consider having CEs jointly brief all the relevant Ministers (together) about progress with the project and the implications for agency targets and outcomes.
- ▶ Overall project management accountability cannot be outsourced to the vendor - it must be driven and managed by the agency.
- ▶ Once the project is delivered into service, organisational governance should review the contractual arrangements regularly to ensure on-going cost effectiveness, quality and innovation for the life of the project.
- ▶ Portfolio management
  - Test that currently proposed and future governance changes differentiate among Portfolio, Programme, Project governance to ensure the correct structure, terms of reference, membership, and focus of conversations and decision-making at each level.
  - To assist with decision-making, the agency governance team should clarify the prioritisation of the project in the context of other agency programmes/projects.

## Theme 2 RAID (Risks, Assumptions, Issues & Dependencies)

In this theme we have combined two themes that have been separated in previous reports:

- ▶ Risk and Issue management
- ▶ Dependency management.

Eleven percent of all recommendations (66 recommendations) focussed on the management of risks and issues – no change from the combined themes from previous report.

### Key findings:

RAID management continues to be an area of significant weakness in major programmes and projects. The majority of recommendations relate to the lack of even basic process around the ongoing management of risks, including identification, assessment of likelihood, impact and residual impact after treatment, assigning ownership, and active iterative management throughout the project. Risk management processes should also include:

- ▶ Explicit escalation thresholds to each tier of Agency governance.
- ▶ Appropriate allocation of risk ownership cross participating groups/agencies.
- ▶ Management of the Crown's investment risk (across the entire benefits realisation period)
- ▶ Reporting of risk that provides sufficient detail to inform timely and effective management and monitoring.

Typically, a good deal of project management and governance attention is devoted to addressing issues as they arise, but little attention is given to the regular review of risks and the effectiveness of proposed mitigations, which could stop issues from eventuating in the first place. Review of current high risks should be a standard agenda item for regular Governance meetings.

**Risk and issue management** should be incorporated into a project from its initiation, using the appropriate elements of the AS/NZS ISO 31000:2009 standard.

Critical **assumptions** that drive the key costs and benefits (financial and non-financial) within the business cases should be documented and validated. They should be reviewed periodically to check they are still valid; if they are not, the impact of the change on the project should be assessed.

The most valuable thing that programmes and projects can do to manage **dependencies** is to develop a detailed dependency map or critical path diagram which clearly identifies external and internal dependencies and the potential impact of any delays in their delivery, and which is linked to the project Risk Register. This diagram can help governance groups to understand the vulnerabilities so that they can use their wider span of control and influence to keep external activities to schedule.

Gateway review recommendations under this theme include:

*Risks and Issues:*

- ▶ Where initiatives that are external to the project are prerequisites or contribute to project outcomes, governance needs to decide whether they should be integrated into the project.
- ▶ Where there is conflicting or a lack of evidence that the vendor has successfully delivered an equivalent project or programme in the agency sector, then that needs to be clearly documented to enable risks to be identified, assessed and managed.
- ▶ The SRO should establish and drive a Risk Management regime that differentiates between Strategic (Programme), Delivery (Project) and Deliverable (Product) risks.
- ▶ Review and develop a risk mitigation strategy to address potential slippage in the date for signing the IT Vendor contract. This would include consideration of the following:
  - a communications plan for the agency
  - agency funding requirements and sourcing
  - impact on IT Vendor agreement
  - impact on transition schedule sequencing.

*Assumptions:*

- ▶ Document and validate the critical assumptions that drive the key costs and benefits (financial and non-financial) within the business case.

*Dependencies:*

- ▶ The SRO should ensure the Project Board analyses dependencies, including with other projects, and takes appropriate resolution actions.
- ▶ As execution progresses, in readiness for transition into service the Programme/project Manager should develop an increased focus on dependency management.

### **Theme 3 Business Case**

Recommendations under the Business Case theme relate to all aspects of the Better Business Cases framework (BBC) introduced in 2010 and mandatory for any initiatives requiring Cabinet approval:

- ▶ Programme Business Case
- ▶ Indicative Business Case
- ▶ Detailed Business Case
- ▶ Implementation Business Case.

The BBC framework is a structured way that stakeholders can work and think together to provide a business case, with fit for purpose analysis, which gives confidence to decision makers that investing in a proposed programme or project is justified.

Nine percent of all recommendations (55 recommendations) focussed on business case issues – this continues a decreasing trend (21% in our first report in 2011, 15% in our 2013 report and 10% in 2015). This reduction reflects increasing awareness and use of the Better Business Cases framework across government.

Although the number of recommendations around Business Cases has dropped since the introduction of Better Business Cases, there is still significant uncertainty about use of the process, in particular:

- ▶ how the process is applied to programmes
- ▶ the breadth and depth of detail that needs to be included in the documents
- ▶ how the process can be usefully scaled to ensure the documentation is a good match for the scale of the initiative.

**Key findings:**

The business case should be a dynamic document that reflects the strategic context; it should be regularly reviewed and if necessary updated – either as a living document or by addendum and supporting documents – as the project or programme progresses.

The Executive Summary should include a focus on the benefits to NZ government and to agency capability. It must be compelling and concise. The inclusion of appropriate use scenarios, tables and/or diagrams may assist.

Senior staff and subject matter experts must have ownership of the business case development and be fully involved; this will help articulate a compelling vision and strategic story for the project, and to show how the benefits and system efficiency gains will be delivered,. They will drive the thinking, express the full understanding of the project and its implications, and ensure agency ownership of the business case. Although external consultants can help, consultants are unlikely to have the required level of understanding and clarity of organisational vision, and should not have full ownership of business case development.

Once a Business Case (PBC, IBC or DBC) is approved it forms an important baseline for many strategic parameters, including:

- ▶ Key benefits
- ▶ Outputs
- ▶ Interdependency of project elements
- ▶ Prioritisation of Programme elements
- ▶ Governance and decision-making structures
- ▶ Timing
- ▶ Procurement framework.

The Senior Responsible Owner should ensure that the signoff processes of the Business Case are integrated with other agency decision points, leaving enough time that delay will not affect the critical path, which would likely increase cost.

Gateway review recommendations under this theme include:

- ▶ For a transformation programme, ensure that the Business Case pays specific attention to:
  - Consistent language illustrating the transformative nature of the programme for customers, third parties and staff (with the technology enablers being a necessary component)
  - Balancing the risk of the Programme with reasons why the investor should have confidence
  - Illustrating the benefits plan beyond any initial implementation (including to all-of-government)
  - Absolute clarity about inclusion and funding of business-as-usual (BAU) activities

- Presentation of implementation sequencing and timing options, including off-ramps where stakeholders may choose to make varying investment decisions according to cumulated benefit and any emergent shift in strategy
- Describing in detail the engagement and level of agreement with the Corporate Centre and other agencies.
- ▶ Ensure the Business Case presents a compelling story that can be used in stakeholder engagement through:
  - Providing a succinct problem statement
  - Detailing critical success factors
  - Promoting the criticality of the programme.
- ▶ The Indicative Business Case (IBC) should consider a broad range of options rather than focussing too narrowly on preferred options. It should always consider the costs and risks of the 'do nothing' option. In the strategic case, provide clarity on the risks and consequences of doing nothing and the effect on this project, the agency as a whole, and any associated or dependent projects.
- ▶ The business case strategic assessment should show how a project links to other projects and programmes in the same domain within the agency.
- ▶ For a project within a programme; ensure that the project detailed business case reflects the clear and compelling case for the programme investment and clarifies the role of the project as a component of the programme and its role in contributing to the overall programme benefits.
- ▶ Within a programme, the Detailed Business Cases for individual projects should demonstrate alignment with defined stages or tranches of the programme.

## Theme 4 Transition into Service

Recommendations around Transition into Service (or Introduction into Service) target all those activities and processes that must be designed and established before a project can be signed off and considered part of the organisation's business-as-usual. It includes all the planning and establishment activities required for a project to be transitioned into business-as-usual, including:

- ▶ Development and agreement of go/no go decision criteria for acceptance into business-as-usual, and identification of the decision authority
- ▶ Determination and establishment of operational governance and management structures
- ▶ Determination and establishment of appropriate staffing to handle peak go-live issues
- ▶ Development of Service Level Agreements and/or Operating Level Agreements
- ▶ Data migration.

For a significant project this warrants the appointment of a dedicated Transition Manager or Commissioning Manager, to ensure leadership and effective readiness planning, prioritisation, management and operation in support of the roll-out.

Nine percent of all recommendations (54 recommendations) focussed on Transition into Service, unchanged from our previous report. This reflects the number of projects progressing to the later stages of development and planning for transition into the business-as-usual environment; it also shows an increasing understanding by agencies that planning for transition needs to start early.

### Key findings:

As in our previous reports, the most common issue is the tendency for a project to focus on delivery of its asset, with insufficient attention paid to ensuring that the process for handover to business-as-usual is rigorously planned and managed. However well a project is managed, it is almost certain that something will go wrong when it 'goes live' and it is critical to consider what might happen and to ensure that processes and structures are in place to manage any issues.

The following documentation / assurances (at a minimum) should be in place for Governance and the Business Owner satisfy themselves that the service is ready for 'Go Live':

- ▶ Preparation of a detailed, integrated plan developed with and agreed by all key stakeholders; to ensure a common understanding of the key activities and their timing, dependencies and resourcing during the transition period.
- ▶ Successful exit of all testing cycles to a documented and agreed standard commensurate with the criticality of the system (eg, no Severity 1 defects and agreed work-arounds for Severity 2 defects etc).
- ▶ Service Operation capability in place and tested (eg, L1 – L4 support).
- ▶ Contracted vendor support (at least for Post Go Live Support (PGLS)).
- ▶ Business Continuity Plan approved.
- ▶ Disaster Recovery Plan tested and approved.

The Transition Plan must include implementation of organisational process changes as well as the assets created by the project; it should be closely integrated with planning for the implementation of the business change required. Invest executive attention and allocate appropriate resources in developing end-to-end business processes to enable temporary resources to be released as soon as possible.

Consider employing additional resources to cover the initial expected 'spike' of go live issues, for intensive business and technical support. Expert staff from the business units mainly affected should be trained to become part of the go-live support team. Ensure the appropriate mix, level and continuity of resourcing is in place to cover the warranty and stabilisation periods, to enable completion of residual work and to establish IT capability.

Gateway review recommendations under this theme include:

- ▶ The Transition Plan should include a framework and baseline for benefits realisation including clarification of accountability.
- ▶ Develop and implement a business ownership transition plan that includes all future releases and recognises the closure of the programme. This should include benefits handover, business-as-usual (BAU) operational governance and the practices for managing change from within the business, rather than the programme.
- ▶ Seek agreement to minimise policy change in the business-as-usual (BAU) operational area while the programme is in an intensive implementation and deployment phase.
- ▶ Ensure that the obligations for achieving transition are clearly set out in the ICT Vendor contract, and reflected in the back-to-back agreements as required.

## Theme 5 Sourcing Strategy and Management

This theme covers the end-to-end procurement process including:

- ▶ Procurement strategy and planning
- ▶ Approaches to the market (Expression of Interest and RFx processes)
- ▶ Contract negotiation
- ▶ Contract management
- ▶ Any supporting probity processes.

This theme also includes arrangements made with internal suppliers.

Nine percent of all recommendations (51 recommendations) focussed on Sourcing Strategy; this is a fall from 12% in our previous two reports (there were no recommendations in this theme in the first report). This appears to align with a growing agency awareness of the Government Rules of Sourcing, launched in 2013, and the positive impact of the work of the New Zealand Government Procurement & Property (NZGPP) Group.

### Key findings:

As in our previous reports, a key finding is that many agencies demonstrate a lack of commercial experience and expertise. This includes all aspects of sourcing and procurement:

- ▶ Engaging with the market early in a way that considers probity appropriately
- ▶ Developing robust Request for Information documents
- ▶ Negotiation and establishment of a framework for management of the contract management.



Because this is something that the majority of agencies do not do frequently, it is critical to seek good advice early, engage appropriate skilled resource to assist, and ensure sufficient resource.

Due diligence is an exercise that is often overlooked. Major projects need to do their own due diligence on vendors, rather than simply relying on their being on a Corporate Centre provider panel.

- ▶ The project should seek formal evidence that the vendor has successfully delivered an equivalent project or programme in the agency sector (preferably in New Zealand). If this evidence is not available, this needs to be clearly documented to enable risks to be identified, assessed and managed.
- ▶ If the vendor is doing work for other government agencies, identify these and make contact to seek their perceptions and areas of concern. Consider the total scope of work and its timing, and if necessary seek formal commitment from the vendor that appropriate resourcing will be in place for the duration of the project.

Contract management arrangements should be put in place as soon as the business case is approved, and consideration given to resourcing and upskilling for supplier management. A contract manager should be appointed early, to design and support robust delivery throughout the project and the initial support period. Failure to do this can lead to poorly structured engagement with key suppliers and subsequent risks to project outcomes.

As procurement progresses, the agency must keep a careful record of all changes to the proposed agreement/contract and ensure they are documented and agreed at the appropriate level of governance, to avoid erosion of benefits and misalignment of risk.

Advice and guidance on the Government Rule of Sourcing are available from the MBIE Procurement Team; links are provided in Appendix 3.

Gateway review recommendations under this theme include:

- ▶ Document a decision-making framework to support contract development.  
Consider:
  - What level of risk needs to be removed before the agency signs?
  - If this is not achieved by a specified date, what is to happen? (eg, enter into a separate contract for Elaboration and Proof of Concept while the main contract continues to be negotiated).
  - What level of technical certainty must be reached before contract signing? (eg, Proofs of Concept, Statements of Work).
  - For each decision in the register include formal decision criteria (eg, acceptance criteria for any Proof of Concept), contingency options, decision-maker, required decision date, escalation path.
- ▶ To prepare for contract negotiation and management, the agency should:
  - Prepare a Contract Management Plan, providing a single overarching view of all contracts managed in the project and the contractual levers to help the Agency manage risks such as project delay, cost over-runs, defects, etc.

- Consider engaging a professional contract negotiation resource to support the Agency in negotiation; ideally someone with experience successfully negotiating similar high value, high risk contracts in a similar domain.
- Develop an ongoing relationship strategy/plan with the preferred vendor; this relationship must be owned at an executive level.
- ▶ The project should clarify roles and responsibilities of the Lead Agency and associated agencies for contract management.
- ▶ For multi-agency programmes, ensure that criteria that must be met before the lead agency signs the agreement with the vendor are documented and agreed by Joint Ministers and Governance Authority. For example, agree the (number of, or specific) agencies that need to have:
  - given agreement-in-principle or formal agreement to the Detailed Business Case
  - signed back-to-back agreements.

## Theme 6 Programme & Project Management

This theme covers all aspects of project, programme and portfolio management including Master Plan and time/scope/quality management, but excludes Methodology and Project & Programme Planning, which occur frequently enough to warrant a separate category.

Eight percent of all recommendations (49 recommendations) focussed on Programme and Project Management, approximately the same level as our previous report.

### Key findings:

A major programme requires a dedicated programme manager; a senior manager expected to do this in addition to their operational responsibilities will inevitably be diverted to operational management rather than programme leadership, to the detriment of both roles.

Keep a register and prepare a reconciliation of the changes from the Detailed Business Case that have occurred in the Implementation Business Case and/or the agreed Design. There is now a Central Agency requirement that changes include an analysis of impact on project cost, scope and benefits realisation; this may lead to a requirement for a governance decision on the viability of the project or programme.

A key role of programme and project management is to ensure that Governance has the information it needs to make prompt and appropriate decisions. Ensure that the criteria for decisions are clearly defined so that decision-making has clear parameters. For key decisions such as exercising an off-ramp, criteria should be clearly defined and approved by the board well in advance, to enable them to be applied in a timely manner if a decision to take an off-ramp is required.

Gateway review recommendations under this theme include:

- ▶ For a multi-agency programme, the SRO and programme director should consider the criteria used for determining the sequencing of agency implementation to maximise benefits, equity and learnings, and then agree the updated sequence with stakeholders and ensure it is distributed and understood.
- ▶ For multi-agency programmes, establish active co-sponsorship of the business case by the key agencies involved. This helps to ensure a mutual commitment to achieving the required functionality, respective funding contributions, rollout timing, benefits realisation etc.

## Theme 7 Stakeholder Management

Stakeholder Management is focussed around the relationships with all parties with an interest in the outcome of the project or programme, whether internal to the agency, internal to government or external.

Eight percent of all recommendations (44 recommendations) focussed on Stakeholder Management, slightly up from seven percent in our previous report.

### Key findings:

The more complex a project/programme, the more important it is that communications with stakeholders are clear, frequent and complex. This helps to build a common understanding of key aspects, including design, plans, constraints, finances, reporting and decision-making lines of authority, and how these activities must be coordinated in concert with the development schedule.

A key role for the SRO is to develop a uniformity of understanding and vision among senior leaders regarding the success criteria for the project and clarity of top-down communication with 'one voice' as early as possible, certainly before the submission of the IBC, to ensure consistency of messages.

Projects should adopt a proactive approach to engagement with Ministers, Central Agency Monitors and other relevant agencies in order to reduce risk and maximise opportunities and raise confidence with decision-makers. This should be done in the context of a comprehensive Stakeholder Management strategy.

Gateway review recommendations under this theme include:

- ▶ For a multi-agency project or programme, ensure the agency CEs have a common understanding and obtain a collective commitment to the project by key CEs and Ministers. Consider having CEs jointly brief all the relevant Ministers (together) about progress with the project and the implications for agency targets and outcomes.

- ▶ For a multi-agency project or programme, the programme team should design, develop and implement a consistent stakeholder engagement plan that covers the full span of the programme and all participating agencies and stakeholders.
- ▶ Clarify how the project will engage with specialist technical agencies and services (eg, GCIO, GCSB) to ensure engagement and compliance; for best effect engage with them early.

## Theme 8 Resource Management

Six percent of all recommendations (37 recommendations) focussed on Programme and Project Resourcing, a drop from eight percent in our last report.

This theme also includes recommendations relating to a sub-theme 'consultation with experts' which speaks to the need to consult with both internal and external specialists where an agency does not have the detailed skills in-house.

### Key findings:

There continues to be a tendency to leave key project roles vacant until the project is well-advanced. This is false economy – leaving roles unfilled can cause delays in the development of key documents, delays in decision-making and late establishment of other critical processes such as stakeholder engagement and risk management; these in turn may mean the project or programme is not structured to succeed.

As projects become more complex and multi-agency projects more common, there is a growing need for specialist expertise to support core project staff. Consideration should in particular be given to the time commitment required for other key roles including wider subject matter experts' (eg, clinicians, engineers) involvement, and consider backfilling to ensure impact on business-as-usual (BAU) is minimised and staff workloads are manageable.

Once the IBC has been approved, the SRO and Programme Director should be full time appointments.

Towards the end of each major project stage, the Programme/Project Manager and SRO should identify the team resource requirements for the next phase and ensure that a formal resourcing and succession plan is in place. A project-specific succession plan is useful to ensure that staff are recruited and trained to replace staff who are moving on. This is particularly important for key positions such as the SRO and project manager.

Contract resources often don't have a strong understanding of the business and in particular of key government processes.

- ▶ This can lead to frustration for internal stakeholders especially when they are expected to provide subject-matter-experts (SMEs) to the project and these roles are often difficult to effectively recruit backfill.
- ▶ If key project management roles are filled by contractors, the SRO and ePMO must ensure that guidance is provided on Corporate Centre requirements, dependencies and processes.

Where the project manager is an external contractor, ensure they have assistance to understand Corporate Centre requirements, dependencies and processes.

Gateway review recommendations under this theme include:

- ▶ For a transformational change programme, the agency should ensure that dedicated expertise in transformational change is included on the team.
- ▶ For projects that are in a specialised area, consider including in the project Advisory Group an experienced private sector specialist in the project domain.

## Theme 9 Benefits Realisation and Management

Six percent of all recommendations (37 recommendations) focussed on Benefits Management. This is a drop from up from 8% (42 recommendations) in our previous report.

### Key findings:

Benefits management continues to be an undeveloped area on the majority of New Zealand government projects. Publication and dissemination of Corporate Centre guidance in this area, and the establishment of a Community of Interest around benefits, is raising the profile and capability in this area.

Responsibility for defining the benefits realisation approach, as well as tracking and reporting the benefits, should be vested in those responsible for realising the benefits. As projects typically deliver assets that are enablers of business benefits, and are not themselves accountable for benefits realisation, this means early involvement with the business-as-usual function that will own benefits delivery, to ensure they accept and sign up to the delivery of the benefits.

Benefits should be drivers for the project and documenting them needs to start as early as the Strategic Assessment stage. This information should be documented in the Benefits Realisation Plan and further developed as the project progresses, and should include:

- ▶ Clear lines of accountability for outcomes once the project is operational
- ▶ The separation and dependencies between tranches
- ▶ The linkages and dependencies between Statements of Work (SoWs), including off-ramps
- ▶ Recognition of the requirement for early tracking of benefits from early releases.

A Benefits Map linking the project/programme deliverables to subsequent business benefits is also needed to help track the impact of changes on benefits when scope changes. There is now a Central Agency requirement that changes include an analysis of impact on project cost, scope and benefits realisation; this may lead to a requirement for a governance decision on the viability of the project or programme.

Advice and guidance on benefits management are available from the Treasury benefits team; links are provided in Appendix 3.

Gateway review recommendations under this theme include:

- ▶ The Benefits Management Plan should make provision for the analysis of the variations from the baseline. This will provide an audit trail and assist with the establishment of an associated Decision Register. Subsequent changes and their impact on business benefits must be maintained by business owners.
- ▶ A comprehensive measurement and evaluation framework for benefits management should be developed as part of the Detailed Business Case
- ▶ For a multi-agency programme or project, the approach to Benefits Realisation should be agreed by all agencies involved, and this agreement documented in a formalised Benefits Management Plan.
- ▶ For a multi-agency programme or project, each entity should identify what benefits are specific to them and include them in their Benefits Realisation Plan; be careful to distinguish which benefits are delivered where and when, and avoid double-counting.

## Theme 10 Management of Change

These recommendations relate to the work required in and by the business to make itself ready for the initiative, in terms of changes to business processes including:

- ▶ business continuity planning
- ▶ changes to work processes and resourcing
- ▶ changes to organisational structures and staffing to support changed work processes
- ▶ changes to supporting documents
- ▶ training of staff
- ▶ communications to customers and clients.

Management of business change is closely related to Transition into Service, which focuses more on technical readiness and associated staffing requirements for introduction of a system or service into business-as-usual.

Five percent of all recommendations (30 recommendations) focussed on business change management issues, twice the recommendations and the 3% of the previous report. This reflects the growing complexity of projects, particularly involving multiple agencies, where change must be coordinated and aligned.

**Key findings:**

The business owner of the new system should lead the design of the over-arching vision of the operating model which includes all specialist functions relating to the systems, processes and management of human resources within the agency. This includes any functions currently performed in the regions.

This target operating model (TOM) will be underpinned by the new system; its custodianship must rest with the business owner/Chief Operating Officer (or equivalent), not vested in the programme.

This is particularly important in agencies with high levels of customer facing operations where business performance is largely linked to achieving KPIs (volumes, timeliness etc). Customer-facing staff can only absorb so much change and any one time, and the requirement to maintain business-as-usual work must be balanced against the changes required for the new system.

Gateway review recommendations under this theme include:

- ▶ Business functions impacted by the introduction of the new system need to understand and clearly articulate the future state business processes, in order to understand and agree the resource and change management requirement.
- ▶ As the process of introducing an IT system into service is complex with a large and diverse user community and entrenched paper-based processes and culture, appoint a Change Management Lead early in the process to enable early engagement in discussions and planning.
- ▶ For a multi-stage deployment, develop a programme to support “early adopters”, so that lessons learned messages in early stages can be taken on-board and early adopters become champions/advocates of the services for future deployment.

## **Theme 11 Financial Planning and Management**

Four percent of all recommendations (25 recommendations) focussed on financial management issues, an increase from the two percent in the previous report.

The State Services Commission’s Performance Improvement Framework (PIF) reviews of government agencies, and the Treasury’s Investor Confidence Rating analysis, show that financial management is generally among the stronger performance areas. This is reflected in the relatively small number of Gateway review recommendations under this theme.

### Key findings:

The trend to more complex multi-agency projects and programmes in the public sector introduces new complexity into financial arrangements; if not addressed early and carefully, these can cause significant difficulties and delays as a result of funding gaps. The majority of the recommendations made in Gateway reviews reflect the complexity of financial structures for these projects.

Where there are multiple agencies and multiple projects within a programme, particularly where there is private sector involvement, it is critical to document and formally agree funding arrangements as early as possible, including:

- ▶ cost-sharing agreements
- ▶ capex/opex trade-offs
- ▶ long-term asset ownership
- ▶ timing of contributions from participating parties
- ▶ cost escalation arrangements and authorising governance
- ▶ monitoring and reporting arrangements.

We encourage the use of earned value techniques as a means of tracking progress against financial expenditure and effort.

Gateway review recommendations under this theme include:

- ▶ The business case should include a clear tabular depiction of both the capex and opex for the entire programme life, with detail for the projects in the next tranche, together with any prospective early benefits accrual.
- ▶ For a transformation programme, review, clarify and confirm the operational budget and funding sources for the life of the programme.
- ▶ Analyse the through life support strategy, model and costs, so that the Crown's investment is fully costed and the impact on the agency's budget and resource can be planned.
- ▶ Where there will be further (eg, regional) rollouts after the initial implementation, the programme should agree a programme road map to confirm the implementation order and undertake a 'cost to complete' analysis including all wider implementations.
- ▶ Ensure the agency can meet its contingent liability for:
  - The early termination charge (before signing with ICT Vendor)
  - The minimum commitment (before passing the early termination charge milestone).



## Theme 12 Programme & Project Planning

'Planning' here is used in the broad sense, to encompass the detailed proposals for various types of activities that will lead to a successfully executed programme or project.

Four percent of all recommendations (20 recommendations) focussed on programme/project planning, much the same as in the previous report.

### Key findings:

Scheduling and implementation of project activities should take account of other programmes and business-as-usual (BAU) activities to ensure that workloads are balanced and backfill requirements are considered.

Ensure that the approval processes for the Indicative and Detailed Business cases are understood and documented, and that required steps, including central agency consultation processes, and lead times, including tabling of cabinet documents, are included in the detailed planning.

A 'Project Plan' is more than a Gantt chart or a pictorial view of the project's overall timeline; it should be a document explaining all phases of the project through to completion and post-implementation review. The plan should include:

- ▶ identification of deliverables, tasks, timeframes, resource requirements and interdependencies
- ▶ critical path activities, cost or benefit variations and relevant risk mitigation strategies
- ▶ all change management activities and activities required for Introduction into Service (Transition planning)
- ▶ provision for assurance activities.

A high level programme plan/roadmap, an informative implementation plan and associated resourcing plan will assist in recovering from programme delays and can be used for monitoring and reporting purposes.

Gateway review recommendations under this theme include:

- ▶ Prepare and present an integrated critical path for the Programme Board and management team. This should show the current status of all work streams within the context of change stories. This would highlight the implications of any changes across and within work streams that would enable strategic discussions on options and choices.
- ▶ For multi-project programmes, the totality of the programme should be documented in an integrated set of project management plans, rolled up to a level meaningful to governance but with the detail required for day-to-day management.

## Theme 13 Capturing Lessons Learned

Two percent of all recommendations (11 recommendations) focussed on projects learning from their errors and successes and ensuring these learning are actioned and made available to others, whether in the same project or in later projects or tranches. This is much the same as in our last report, and reflects the government's and monitoring agencies' ongoing focus on ensuring that projects and programmes learn from their own and others' mistakes.

As a follow-up to the Novopay review, projects and programmes are now required to assess their uptake of the Ministerial inquiry recommendations, to help ensure they avoid the same errors: [www.minedu.govt.nz/theMinistry/NovopayProject/MinisterialInquiry.aspx](http://www.minedu.govt.nz/theMinistry/NovopayProject/MinisterialInquiry.aspx)

Projects to implement Human Resources Management Information Systems (HRMIS) must explicitly consider the findings of the Ministerial Inquiry into the Novopay Project and ensure they are addressed, in the future state business requirements and the risk register.

### Key findings:

Learning from their own or other projects' lessons continues to be an area of weakness in major projects. Capturing of lesson learned is often overlooked, or done once – often too late – and then not followed up. It is important that lessons are sought and documented early and often, and not simply filed but actively actioned and made available to later phases of this programme and to other projects in the agency and sector.

Treasury's Investment Management & Asset Performance team is establishing access to the Australian government's Gateway Lessons Learned database. This database contains all recommendations from Australian and New Zealand Gateway reviews, anonymised and categorised by project type, stage and sector. At the initiation stage of a major project we recommend SROs approach their IMAP investment advisor or the Gateway Review team to seek a report on recommendations that have been made for similar projects. This functionality is expected to be available by September 2017.

Gateway review recommendations under this theme include:

- ▶ The Project team should establish formal and structured linkages with other programmes and projects in the agency and beyond, to ensure lessons learned are captured.
- ▶ Develop a support programme for “early adopters”, so that the lessons learned messages are taken on-board for future deployments and early adopters become champions/advocates of the services.
- ▶ At regular intervals, review and update the Procurement Plan to reflect the learnings to date and future approaches to procurement.

- ▶ Where there will be further (eg, regional) rollouts after the initial implementation, the agency should formally capture lessons learned from the initial rollout, to support future implementations and improve performance.

## Theme 14 Methodology

This theme covers the use of structured proven approaches to programme and project management such as:

- ▶ MSP
- ▶ Prince2 and PMBOK processes and practices
- ▶ Investment Logic Mapping (ILM)
- ▶ Quantitative Risk Analysis (QRA)
- ▶ The use of P3M3 (part of the Investor Confidence Rating assessment suite) as a tool for capability development.

The theme also covers recommendations relating to the increasing use of agile and iterative approaches and methods.

Two percent of all recommendations (10 recommendations) focussed on methodology issues, much the same as in our two previous reports.

### Key findings:

Programme and project methodologies, including agile development methods, provide a coherent set of proven structures, roles and practices, with supporting materials and practices. They can help ensure well considered and sound decision-making under pressure, and ensure a common, clear understanding of roles and accountabilities.

An Enterprise Programme and Project Management Office (EPMO), independent of any individual project, can facilitate use of a methodology and ensure that standards are maintained.

Investment Logic Mapping (ILM) and Quantitative Risk Analysis are low-cost, high impact, best practice tools for all projects and mandatory for large high-risk projects and programmes.

Gateway review recommendations under this theme include:

- ▶ Conduct a Quantitative Risk Analysis (QRA) of costs and schedule. QRA is an inexpensive tool to reduce uncertainty around risk and cost estimates.
  - If carried out during the Indicative Business Case stage, it can give early visibility of risks that may affect planning.
  - There is a ministerial expectation that major high risk projects will use QRA in the Detailed Business Case to determine contingency and identify the two or three risks with the greatest likelihood of affecting schedule and cost.

- ▶ If there is a substantial time gap between the development of the Strategic Assessment and the start of the Indicative Business Case, consider a new Investment Logic Map (ILM).
- ▶ Develop and implement processes to ensure quality of project artefacts and deliverables. While the Agile development process allows for the tailoring of the deliverables to meet the specific needs of users in a dynamic manner, it requires management to ensure that the scope is retained within agreed parameters.
- ▶ If there are significant changes to the programme or project's scope, cost, and/or benefits, the SRO should complete another Risk Profile Assessment.

# Appendix 1: Reviews 151-200 – analysis by type

## Reviews by Gate

This report provides an analysis of 45 Gateway reports (numbered 151-200) conducted across 40 projects and programmes in 27 agencies between September 2014 and May 2016. Five reviews were cancelled or deferred after a review number had been assigned.

Of the projects and programmes, 27 were reviewed for the first time and 18 undertook their second or subsequent reviews.<sup>6</sup>

Of the project reviews conducted during the period:

- ▶ A significant proportion (11) progressed to Gate 3 (Investment Decision) during the period.
- ▶ Seven progressed to Gate 4 (Readiness for Service). All have since successfully transitioned into service.
- ▶ 12 were combined reviews – a specific Gate review of a project in the context of its programme (Gates 0/1, 0/2).

16 programmes were also reviewed, some more than once.

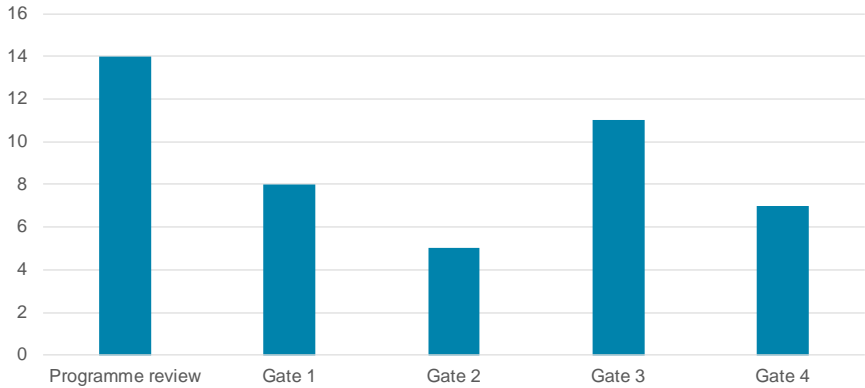
The graph below shows the distribution of reviews covered by this report.

- ▶ All Gate 0 reviews are Programme Strategic Assessment reviews.
- ▶ Combined reviews are counted as the higher-numbered review (ie, a Gate 0/1 review is shown as a Gate 1).
- ▶ Previous reports have shown a disproportionate number of reviews at earlier gates, as Gateway was introduced; many of these projects have now progressed to later stages so the mix of gates is more balanced.

---

<sup>6</sup> Five projects had their first and second Gateway reviews in this period.

### Gateway reviews 151 -200 – By Gate



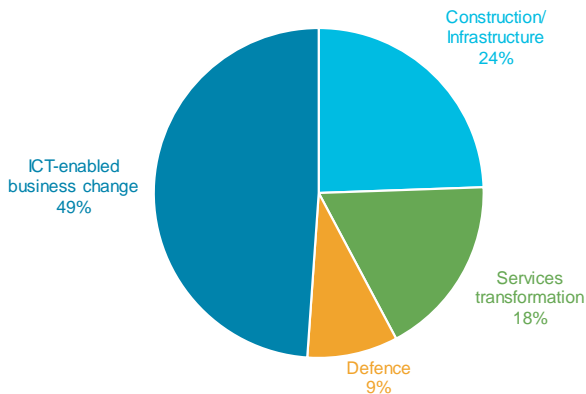
### Reviews by project type

Of the 45 reviews covered by this report:

- ▶ four were Defence acquisition and capability projects
- ▶ 11 were infrastructure projects/programmes, including Hospital builds, major roading projects and disaster recovery projects
- ▶ 22 were ICT-enabled business change
- ▶ eight were service transformation projects; of these, five included significant ICT components.

The graph below shows the reviews by project type.

### Gateway Reviews 151-200 – By Type








## Reviews by Delivery Confidence assessment

In January 2014 the NZ Gateway Unit introduced the Delivery Confidence (DC) model, bringing New Zealand into line with international Gateway practice. All reviews are now run using this new model.

Delivery Confidence introduced an overall assessment by the Gateway Review Team of its confidence that the project or programme will succeed, if it progresses on its current trajectory. The Gateway Delivery Confidence rating reflects:

- ▶ specific issues that threaten delivery to time, cost or quality and jeopardise the delivery of benefits
- ▶ the Review Team's professional judgement of the likelihood of the project or programme succeeding even though there may be no definitively clear evidence either way
- ▶ the resilience of the project or programme to overcome identified shortcomings/ threats.

The team's assessment of Delivery Confidence is based on the following definitions:

Rating	Criteria description
	Successful delivery of the project/programme to time, cost and quality appears highly likely and there are no major outstanding issues that at this stage appear to threaten delivery significantly.
	Successful delivery appears probable however constant attention will be needed to ensure risks do not materialise into major issues threatening delivery.
	Successful delivery appears feasible but significant issues exist requiring management attention. These appear resolvable at this stage and if addressed without delay, should not impact delivery or benefits realisation.
	Successful delivery of the programme is in doubt with major risks or issues apparent in a number of key areas. Prompt action is needed to address these, and whether resolution is feasible.
	Successful delivery of the project/programme appears to be unachievable. There are major issues on project/programme definition, schedule, budget, quality or benefits delivery, which at this stage do not appear to be manageable or resolvable. The Project/ Programme may need to be rebaselined and/or its overall viability re-assessed.

The Delivery Confidence model's key difference from the previous standard Gateway review is confidentiality around the *recommendations* raised in the report.

A Gateway Review report goes to the SRO only and is distributed further at the SRO's discretion, usually in the format of an action plan rather than the report itself.

The SRO is encouraged to share the report and in particular the recommendations with their agency's Senior Leadership Team, but this is not mandatory.

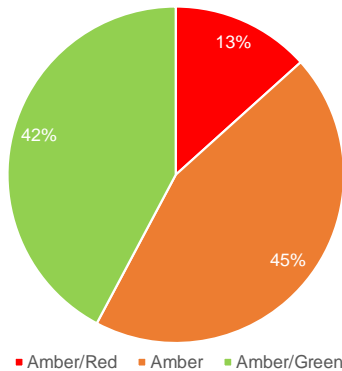
Delivery Confidence takes the view that if a project is in difficulty, relevant Corporate Centre parties should be informed so that early action can be taken.

- ▶ Any review that results in a rating of Amber/Red or Amber is subject to Enhanced Notification and Monitoring Escalation; the agency must prepare an Action Plan to bring the project/programme back on track and relevant Central Agencies are advised.
- ▶ Escalation processes ensure that the relevant Monitoring Agency is involved as much as necessary in the development of the Action Plan and works with the agency to address the issues raised.

The graph below shows the Delivery Confidence assessment of the 45 reviews covered by this report.

Six of 45 reviews were assessed as Amber/Red (none were rated Red) and subject to escalated monitoring processes to assist them to get back on track.

#### Gateway Reviews 151-200 – Delivery Confidence Ratings





## Appendix 2: Purpose and development of Gateway in New Zealand

The purpose of Gateway reviews is to help New Zealand government projects succeed by improving the performance of major projects in government agencies. Gateway reviews address this purpose in several ways:

- ▶ SRO mentoring through the Gateway review process
- ▶ Developing public sector reviewers
- ▶ Lessons learned analysis
- ▶ Capability building initiatives.

The Treasury recognises that project practices evolve over time, and that to remain relevant our application of Gateway and other investment reviews also need to adapt. Evaluation of feedback, lessons learned, and the review of processes are useful inputs to evolving Gateway in New Zealand over time and maintaining the integrity of the Gateway brand.

In 2016 the New Zealand Office of the Auditor-General carried out a performance audit of the Gateway process in New Zealand. The audit found that Gateway Reviews are carried out effectively and have had a positive effect on programmes and projects, at a reasonable cost.

*“In my view, Gateway reviews have delivered benefits to individual projects and programmes. Project sponsors have reported that they find Gateway reviews beneficial. My staff saw specific examples where a Gateway review had provided advice that helped a project reach an important milestone. For example, a Gateway review was able to help a project reach agreement between stakeholders who were in conflict. Without this agreement, the project would not have been able to progress.*

*Gateway reviews can have a wider impact than just the projects and programmes that are reviewed. Some lessons from Gateway reviews are already shared, but I consider that this could be done more effectively. I would like to see the Treasury share more examples of good practice and find ways to help make sure that lessons are put into practice in other projects and programmes. In this way, such reviews could have a broader beneficial effect for the public sector as a whole.*

*In our view, agencies have the capability and capacity to pay for and participate in Gateway reviews. The \$75,000 cost of each Gateway review is reasonable, especially when considered as a percentage of the overall cost of each project.”*

The report made two recommendations, which we are progressing:

1. determine how to more effectively share lessons learned through Gateway reviews, including examples of good practice;
2. ensure that the work it has under way to consider new types of investment review takes into account:
  - ▶ the limitations of Gateway reviews
  - ▶ the specific needs of projects and programmes in New Zealand, and
  - ▶ the information and assurance needs of stakeholders such as Ministers, chief executives, boards, and the Corporate Centre.

The report is available at [www.oag.govt.nz/2016/gateway/docs/gateway.pdf/view](http://www.oag.govt.nz/2016/gateway/docs/gateway.pdf/view)

### ***SRO mentoring***

The Gateway Review Team primarily engages with, and solely reports to, the SRO. A Gateway review is a learning and development conversation, not part of any assessment or performance review. All interviews are non-attributable, promoting a high degree of frank disclosure and a non-threatening environment to discuss issues and barriers to project success.

During the review week, the review team acts as a 'critical friend' to the project. The team adopts a role of coach and mentor to the Senior Responsible Owner (SRO), providing them with a daily briefing and discussion of emerging findings. SRO feedback shows a strong appreciation of this approach and its success in identifying ways to increase a project or programme's chances of success.

### ***Developing public sector reviewers***

A key driver for the introduction of Gateway, from its inception in the UK in 2001, has been to improve project management understanding at senior levels in government. As part of this, there is a requirement for at least one senior public sector reviewer on every review.

Participation in Gateway reviews provides senior public servants with real-life exposure to major projects in other government agencies; the opportunity to work with private sector experts, from Australia and New Zealand, to identify issues and barriers to success and how they can be addressed. Senior government managers who undertake Gateway reviews consistently comment on the high value they gain, both personally and in terms of learnings they take back to their own agency.

Based on observation and on feedback from Review Team Leaders (RTLs) the New Zealand Gateway Unit actively works to develop promising New Zealand team members to Senior Reviewers and ultimately to Review Team Leaders; this improves project governance expertise in New Zealand and also reduces our dependence on Australian reviewers.

Although private sector reviewers may have no contact with a project after the Gateway review is complete, we encourage public sector reviewers to maintain and develop relationships and to continue to share their experiences and expertise – although this will preclude their involvement in further Gateway reviews for the same project/agency.

Since Gateway's launch in New Zealand in 2008:

- ▶ 84 New Zealand senior public servants have participated in one or more Gateway reviews.
- ▶ Senior public servants from 45 New Zealand public sector agencies have participated.
- ▶ New Zealand reviewers (28 public sector and 10 private) have participated in over 120 Gateway reviews in Australia.
- ▶ 33 New Zealand reviewers have participated in 5 or more reviews to become Senior Reviewers.
- ▶ 10 New Zealand reviewers have progressed to Review Team Leaders; several are leading reviews in Australia as well as in New Zealand.

Of New Zealand's 10 Review Team Leaders, eight are retired senior public servants (Chief Executive and Deputy Chief Executive level). They still have strong networks internal to government and experience gained in Gateway reviews assists them in other assignments (and vice versa).

### ***Capability development***

The Australasian Gateway Units run a Gateway forum approximately annually to share experiences and ensure Gateway is run consistently across the jurisdictions in line with international best practice.

In conjunction with the Gateway forum a Review Team Leader forum is held, to which RTLs and developing RTLs are invited. The Gateway Units use these one-day fora to:

- ▶ provide an update to current Gateway practices and any systemic changes (eg, the introduction of Investor Confidence Ratings) that may be of interest to other jurisdictions
- ▶ discuss any issues or areas of concern that RTLs have identified
- ▶ publicise and distribute the findings of key resources, eg, Lessons Learned reports
- ▶ provide an opportunity to RTLs to network and share experiences.

The New Zealand Gateway Unit hosted the most recent Gateway Forum, in November 2014.

### ***Lessons learned analysis***

With close to 250 completed in New Zealand to date, Gateway reviews constitute a longitudinal study of project management maturity on major projects and programmes in NZ government.

The New Zealand Gateway Unit identifies lessons learned by reviewing Gateway review reports from completed reviews, and through ongoing communication with agencies and Gateway reviewers. We identify trends in emerging issues through recommendations to improve deficient practices; or through recognition by a review team of good practice already being applied by an agency to a project.

The anonymised recommendations highlight opportunities for project and programme management improvements in New Zealand Government agencies. They are widely distributed and contribute to Treasury's understanding of the issues, underlying problems and trends in government projects and have helped to identify areas of focus for the Corporate Centre. For example:

- ▶ Early Gateway reviews identified significant issues around project and programme business cases; this was a key contributor to the decision to introduce Better Business Cases, which has led to significant improvements in business cases developed for government projects.

New Zealand Gateway Review recommendations are also submitted to the joint Australasian Gateway Lessons Learned database, which the NZ Gateway Unit can query and provide reports from on request from agencies and projects.

## Appendix 3: Good Practice Guidance

### *New Zealand Government*

#### **The Treasury** [www.treasury.govt.nz](http://www.treasury.govt.nz):

- ▶ Benefits Management guidance:  
[www.treasury.govt.nz/statesector/investmentmanagement/plan/benefits](http://www.treasury.govt.nz/statesector/investmentmanagement/plan/benefits)  
[www.treasury.govt.nz/statesector/investmentmanagement/plan/benefits/guidance](http://www.treasury.govt.nz/statesector/investmentmanagement/plan/benefits/guidance)
- ▶ *Better Business Case Guidance*: [www.treasury.govt.nz/statesector/investmentmanagement/plan/bbc/guidance](http://www.treasury.govt.nz/statesector/investmentmanagement/plan/bbc/guidance)
- ▶ *Investment management review guidance*: [www.treasury.govt.nz/statesector/investmentmanagement/review](http://www.treasury.govt.nz/statesector/investmentmanagement/review)
  - Gateway  
[www.treasury.govt.nz/statesector/investmentmanagement/review/gateway](http://www.treasury.govt.nz/statesector/investmentmanagement/review/gateway)
  - Investor Confidence Rating guidance:  
[www.treasury.govt.nz/statesector/investmentmanagement/statesector/investmentmanagement/review/icr](http://www.treasury.govt.nz/statesector/investmentmanagement/statesector/investmentmanagement/review/icr)
  - Asset performance reporting:  
[www.treasury.govt.nz/statesector/investmentmanagement/review/assetperfreporting](http://www.treasury.govt.nz/statesector/investmentmanagement/review/assetperfreporting)
- ▶ *Guidelines for Monitoring Major Business Projects and Programmes, July 2011*:  
[www.treasury.govt.nz/statesector/investmentmanagement/do](http://www.treasury.govt.nz/statesector/investmentmanagement/do)

New Zealand Government recommended CBT masterclass for Senior Responsible Owners (SROs) of projects and programmes; an international certification tailored for New Zealand by the Gateway Unit and Treasury: contact [newzealand@ilxgroup.com](mailto:newzealand@ilxgroup.com)

**Department of Internal Affairs**, Office of the Government Chief Information Officer:  
<https://www.ict.govt.nz/> or [gcio@dia.govt.nz](mailto:gcio@dia.govt.nz)

#### **Ministry of Business, Innovation & Employment (MBIE)**:

- ▶ *Procurement Toolkit*, [www.business.govt.nz/procurement/for-agencies/guides-and-tools](http://www.business.govt.nz/procurement/for-agencies/guides-and-tools)

#### **Government Communications Security Bureau**

- ▶ New Zealand Information Security Manual: [www.gcsb.govt.nz/publications/the-nz-information-security-manual/](http://www.gcsb.govt.nz/publications/the-nz-information-security-manual/)

**Office of the Auditor-General** New Zealand Publications on Asset Management:

- ▶ Investing in Tertiary Education Assets February 2017:  
[www.oag.govt.nz/2017/tei-assets](http://www.oag.govt.nz/2017/tei-assets)
- ▶ *Immigration New Zealand: Delivering Transformational Change* April 2017:  
[www.oag.govt.nz/2017/immigration](http://www.oag.govt.nz/2017/immigration)
- ▶ *Reflections from our audits: Governance and accountability, April 2016:*  
[www.oag.govt.nz/2016/reflections](http://www.oag.govt.nz/2016/reflections)
- ▶ *Medium-term planning in government departments: Four-year plans, March 2017:*  
[www.oag.govt.nz/2017/four-year-plans](http://www.oag.govt.nz/2017/four-year-plans)
- ▶ *District Health Boards' response to asset management requirements since 2009, June 2016.* [www.oag.govt.nz/2016/dhbs-assets](http://www.oag.govt.nz/2016/dhbs-assets)
- ▶ *Using Gateway reviews to support public sector projects:*  
[www.oag.govt.nz/2016/gateway](http://www.oag.govt.nz/2016/gateway).

**UK Government**

All UK government methodologies and best practices are now available from the official Axelos site: [www.axelos.com](http://www.axelos.com), including:

- ▶ *ITIL – Information Technology Infrastructure Library:* [www.axelos.com/best-practice-solutions/itil](http://www.axelos.com/best-practice-solutions/itil)
- ▶ *MoP – Management of Portfolios:* [www.axelos.com/best-practice-solutions/mop](http://www.axelos.com/best-practice-solutions/mop)
- ▶ *MoR – Management of Risk: Guidance for Practitioners:* [www.axelos.com/best-practice-solutions/mor](http://www.axelos.com/best-practice-solutions/mor)
- ▶ *MSP – Managing Successful Programmes:* [www.axelos.com/best-practice-solutions/msp](http://www.axelos.com/best-practice-solutions/msp)
- ▶ *P3M3 – Portfolio, Programme, and Project Management Maturity Model:*  
[www.axelos.com/best-practice-solutions/p3m3](http://www.axelos.com/best-practice-solutions/p3m3)
- ▶ *P3O - Portfolio, Programme and Project Offices:* [www.axelos.com/best-practice-solutions/p3o](http://www.axelos.com/best-practice-solutions/p3o)
- ▶ *Prince2 – Managing and Directing Successful Projects with PRINCE2:*  
[www.axelos.com/best-practice-solutions/prince2](http://www.axelos.com/best-practice-solutions/prince2)

## Standards New Zealand

Standards New Zealand: [www.standards.co.nz](http://www.standards.co.nz)

- ▶ AS/NZS ISO 31000:2009: *Risk Management – Principles and guidelines* (supersedes AS/NZS 4360:2004: *Risk Management*, 2004): [www.standards.co.nz/news/standards-information/risk-management/](http://www.standards.co.nz/news/standards-information/risk-management/)
- ▶ AS/NZS ISO/IEC 38500:2010: *Corporate Governance of Information and Communication Technology*: [www.shop.standards.co.nz/catalog/38500%3A2010%28AS%7CNZS+ISO%7CIEC%29/view](http://www.shop.standards.co.nz/catalog/38500%3A2010%28AS%7CNZS+ISO%7CIEC%29/view)
- ▶ HB 221:2004: *Business Continuity Management*: [www.shop.standards.co.nz/catalog/221%3A2004%28SAA%7CSNZ+HB%29/view](http://www.shop.standards.co.nz/catalog/221%3A2004%28SAA%7CSNZ+HB%29/view)
- ▶ AS/NZS 5050:2010: *Business continuity - Managing disruption-related risk*: [www.shop.standards.co.nz/catalog/5050%3A2010%28AS%7CNZ%29/view](http://www.shop.standards.co.nz/catalog/5050%3A2010%28AS%7CNZ%29/view)
- ▶ HB 167:2006: *Security Risk Management*: [www.shop.standards.co.nz/catalog/167%3A2006%28HB%29/view](http://www.shop.standards.co.nz/catalog/167%3A2006%28HB%29/view)
- ▶ HB 231:2004 *Information security risk management guidelines*: [www.shop.standards.co.nz/catalog/231%3A2004%28HB%29/view](http://www.shop.standards.co.nz/catalog/231%3A2004%28HB%29/view)
- ▶ AS/NZS ISO/IEC 27005:2012: *Information technology - Security techniques - Information security risk management*: [www.shop.standards.co.nz/catalog/27005%3A2012%28AS%7CNZS+ISO%7CIEC%29/view](http://www.shop.standards.co.nz/catalog/27005%3A2012%28AS%7CNZS+ISO%7CIEC%29/view)

## Project Management Institute

- ▶ *Project Management Body of Knowledge Fifth Edition (PMBOK® Guide)* (note: a new edition will be issued in Q3 2017): [www.marketplace.pmi.org/Pages/ProductDetail.aspx?GMProduct=00101388701](http://www.marketplace.pmi.org/Pages/ProductDetail.aspx?GMProduct=00101388701)  
[www.pmi.org/pmbok-guide-standards/foundational/pmbok](http://www.pmi.org/pmbok-guide-standards/foundational/pmbok)
- ▶ *Construction Extension to the PMBOK® Guide Third Edition*: [www.marketplace.pmi.org/Pages/ProductDetail.aspx?GMProduct=00101025801](http://www.marketplace.pmi.org/Pages/ProductDetail.aspx?GMProduct=00101025801)
- ▶ *Government Extension to the PMBOK® Guide Third Edition*: [www.marketplace.pmi.org/Pages/ProductDetail.aspx?GMProduct=00100082501](http://www.marketplace.pmi.org/Pages/ProductDetail.aspx?GMProduct=00100082501)
- ▶ *Software extension to the PMBOK® Guide Fifth Edition*: [www.marketplace.pmi.org/Pages/ProductDetail.aspx?GMProduct=00101457501](http://www.marketplace.pmi.org/Pages/ProductDetail.aspx?GMProduct=00101457501)
- ▶ *The Standard for Program Management Third Edition* ) (note: a new edition will be issued in Q3 2017) [www.marketplace.pmi.org/Pages/ProductDetail.aspx?GMProduct=00101388801](http://www.marketplace.pmi.org/Pages/ProductDetail.aspx?GMProduct=00101388801)
- ▶ *The Standard for Portfolio Management – Third Edition, 2013*: [www.pmi.org/pmbok-guide-standards/foundational/standard-for-portfolio-management-3rd-edition](http://www.pmi.org/pmbok-guide-standards/foundational/standard-for-portfolio-management-3rd-edition)

- ▶ *Organizational Project Management Maturity Model (OPM3®) – Third Edition, 2013:* [www.pmi.org/pmbok-guide-standards/foundational/organizational-pm-maturity-model-opm3-third-edition](http://www.pmi.org/pmbok-guide-standards/foundational/organizational-pm-maturity-model-opm3-third-edition)
- ▶ *Practice Standard for Project Risk Management, 2009:* [www.pmi.org/pmbok-guide-standards/framework/practice-standard-project-risk-management](http://www.pmi.org/pmbok-guide-standards/framework/practice-standard-project-risk-management)
- ▶ *Practice Standard for Earned Value Management – Second Edition, 2011:* [www.pmi.org/pmbok-guide-standards/framework/earned-value-management-2nd](http://www.pmi.org/pmbok-guide-standards/framework/earned-value-management-2nd)
- ▶ *Practice Standard for Scheduling – Second Edition, 2011:* [www.pmi.org/pmbok-guide-standards/framework/practice-standard-scheduling-2ndedition](http://www.pmi.org/pmbok-guide-standards/framework/practice-standard-scheduling-2ndedition)
- ▶ *Practice Standard for Project Estimating, 2010:* [www.pmi.org/pmbok-guide-standards/framework/practice-standard-project-estimating](http://www.pmi.org/pmbok-guide-standards/framework/practice-standard-project-estimating)
- ▶ *Practice Management Competency Development Framework – Third Edition:* [www.pmi.org/pmbok-guide-standards/framework/pm-competency-development-3rd-edition](http://www.pmi.org/pmbok-guide-standards/framework/pm-competency-development-3rd-edition).

*Change Management Institute:* [www.change-management-institute.com](http://www.change-management-institute.com)

Change Management Body of Knowledge First Edition:  
[www.change-management-institute.com/buycmbok](http://www.change-management-institute.com/buycmbok)





