



Infrastructure
and Projects
Authority

A decorative graphic consisting of a grid of colored squares in shades of blue, dark blue, light blue, and grey, arranged in a pattern that tapers to the right.

Response to Red

May 2024

Guidance for Departments, ALBs and
their project and programme teams.

This guidance:

- Aims to support project/programme teams on the structured process set in train by a 'Red' assurance outcome from IPA Independent Assurance.
- Sets out the stages of the process, setting expectations, usual timeframes and next steps.
- Fits within a broader framework and should be read within the context of the Treasury Approvals Process guidance and the IPA Assurance Workbooks.

Contents

Context	1
What is Response to Red?	2
What are the stages of Response to Red?	3
Focus on: Case Conference	5
What are the possible outcomes of Response to Red?	6
Annex A: Overview of IPA Response to Red Process	7
STAGE 1: IPA Assurance Event	7
STAGE 2: Assurance of Action Plan (AAP)	7
STAGE 3: Case Conference (CC)	8
STAGE 4: Treasury Approval Point	8
Annex B: Case Study 1 – Home Office, His Majesty’s Passport Office (HMPO) Transformation Programme	9
Annex B: Case Study 2 – MoD Ajax Programme	11
Artefact 1: IPA Assurance Event Accounting Officer (AO) Letter	13
Artefact 2: IPA AAP Letter	14
Artefact 3: IPA CC guided agenda to shape meeting and outletter	15



Context

1

The UK Government delivers some of the most complex and innovative projects and programmes in the world.

2

It is the Infrastructure and Projects Authority's (IPA's) role to work with departments to:

- i. Track and monitor delivery of the most strategically important of these projects on the Government Major Project Portfolio (GMPP), including providing independent assurance for projects at key junctures in the project lifecycle.
- ii. Provide expert advice and support to projects and programmes, helping to set them up for success.
- iii. Support the wider project delivery profession to drive successful delivery of government priorities.

3

Our strengthened collective oversight over government programmes allows us to better and more efficiently identify programmes facing challenges. These challenges can stem from within the programme and its ability to manage complexity and/or from changes in the external delivery landscape.

IPA Rating Definitions (as set out in the IPA Assurance Review Toolkit)

	Green	Successful delivery of the project or 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.
	Amber	Successful delivery of the project or programme to time, cost and quality appears feasible but significant issues already exist requiring management attention. These appear resolvable at this stage and, if addressed promptly, should not present a cost/schedule overrun.
	Red	Successful delivery of the project or programme appears to be unachievable. There are major issues, which at this stage do not appear to be manageable or resolvable. The project may need rebaselining, and/or its overall viability reassessed.

4

The IPA provides independent assurance for the highest priority projects and programmes on the GMPP. Each independent assurance review delivers an outcome based on the likelihood of a project delivering its objectives to time and cost. Ratings are categorised into three groups: Red, Amber and Green, with each providing an indication of likelihood of successful delivery and level of associated risks.

5

Aligned with the [HM Treasury Approvals Process \(TAP\) guidance](#). This guidance aims to **support projects and programmes in taking the necessary steps to increase deliverability confidence after receiving a 'Red' assurance review outcome from independent IPA assurance**. It aims to guide clear, purposeful and collaborative action, with appropriate escalation to senior leaders across government.

What is Response to Red?

6

Led jointly by HM Treasury and the IPA since 2021, 'Response to Red' is a structured approach that aims to improve the delivery of some of the government's high-cost, high-risk and high-profile projects and programmes. It ensures that programmes on the Government Major Projects Portfolio (GMPP) are best supported to take clear, purposeful and collaborative steps in the event of receiving a 'Red' outcome from IPA independent assurance. This may be from a stage gate, programmatic or annual review.

7

Since its inception, 71% of Response to Red projects have moved from Red to Amber or Green within 12 weeks. In this time, the IPA and HM Treasury have also worked with departments to understand how the process can best support projects with deeper, more multifaceted challenges from within the project and arising from the wider delivery landscape.

8

As set out in the [IPA Mandate](#), addressing critical recommendations from these assurance reviews is necessary to programmes passing through critical stage-gates or to secure HM Treasury approval for spending.

9

Building on internal departmental processes, Response to Red provides an evidence based, structured process to improve the deliverability of projects. In line with HM Treasury Approvals Process guidance, it is underpinned by four key principles:

- i. **Right first time:** ensuring programme proposals receive appropriate and timely action to drive progress, focusing on critical assurance recommendations.
- ii. **Consistency:** setting out a process with clear expectations of programmes teams, departments.
- iii. **Expertise:** providing clear mechanisms for programme teams to identify challenges and agree the right mix of senior oversight and support to tackle them.
- iv. **Value for money:** providing a clear path between independent IPA assurance and a time-bound return to HM Treasury Approvals.

What are the stages of Response to Red?

Stage	Purpose	Actions to take in the event of a RED outcome at the stage specified, or at Case Conference stage where a RAG rating is not provided:
<p>STAGE 1 IPA Independent Assurance Event</p> <p>Timing: To be agreed with IPA</p>	<p>Independent review and recommendation on the readiness of a project or programme to proceed further along its lifecycle.</p> <p>Possible outcomes: Green, Amber, Red.</p>	<p>Where a project or programme receives a 'Red' rating, the project or programme will enter Response to Red. At this stage:</p> <p>IPA will:</p> <ul style="list-style-type: none"> - Issue the assurance review to the Senior Responsible Owner (SRO), Accounting Officer (AO) and National Audit Office (NAO). - Write to SRO and AO outlining recommendations and signalling the need for an Assurance of Action Plan (AAP) to be set up. Exemplar letters of what may be received by AOs and SROs can be located in the Artefacts section at the end of the guidance. - Engage with the programme team to agree, where appropriate, specific areas of active support to complement departmental action. <p>Project/Programme team are advised to:</p> <ul style="list-style-type: none"> - Engage with IPA to address recommendations ahead of AAP. - Formally respond to IPA and HM Treasury, setting out plans to respond to recommendations. - Review with AO to ensure that the way the project or programme is set up remains the best way to achieve its stated objectives.
<p>STAGE 2 Assurance of Action Plan</p> <p>Timing: Within 12 weeks of IPA Assurance Event</p>	<p>Assess a project or programme, ensuring recommendations identified at the independent IPA assurance event are being addressed.</p> <p>Possible outcome: Green*, Amber*, Red.</p> <p>*Where a project or programme is rated 'Amber' or 'Green', it will return to the normal assurance process and exit the R2R process. At this stage IPA will Issue an AAP report to the SRO and AO signalling the outcome of the AAP and that the project or programme will be returning to normal assurance and approval processes.</p>	<p>Where a project or programme receives a 'Red' rating at AAP, the project or programme will remain in Response to Red and continue to a Case Conference. At this stage:</p> <p>IPA will:</p> <ul style="list-style-type: none"> - Issue AAP report to SRO and AO signalling the need for a Case Conference (CC) and outline expectations ahead of CC. An example of an AAP letter can be found in the Artefact section at the end of the guidance. - Agree date for CC with programme team and HM Treasury. - Engage with the programme team to agree, where appropriate, specific areas of active support to complement the departmental recovery action plan. <p>HM Treasury will:</p> <ul style="list-style-type: none"> - Engage with the project/programme team on interim funding proposals/agreements. These proposals should set out where any proposed changes to agreed spending between Case Conference and the programme returning to the previous HM Treasury approval body. This should align with a recovery action plan or plans to 'reset'. HM Treasury attendees at Case Conference have the authority to grant interim spend approval. <p>Project/Programme are advised to:</p> <ul style="list-style-type: none"> - Develop a recovery action plan to address recommendations and wider actions to set up the project for success.

What are the stages of Response to Red?

Stage	Purpose	Actions to take in the event of a RED outcome at the stage specified, or at Case Conference stage where a RAG rating is not provided:
<p>STAGE 3 Case Conference</p> <p>Timing: Within 4-8 weeks of a 'Red' AAP</p>	<p>The Case Conference brings together IPA, HM Treasury, Senior Responsible Owner and the Accounting Officer or Sponsor, This will review and agree:</p> <ul style="list-style-type: none"> - Whether the project or programme remains the best way to achieve the stated objectives. - Whether a 'reset' may be required to achieve its outcomes. - Why the project or programme is still rated 'Red' and what actions need to be taken by the project/programme team or by HM Treasury/IPA or other parts of government to support. This should include identifying interdependencies, risks and mitigations. - Interim spending approval, where appropriate, to support identified work in the recovery action plan or through a 'reset'. - The timeframe within which the project or programme is expected to return for HM Treasury approval. 	<p>Where a project or programme has undergone a Case Conference event, the project or programme is expected to undergo HM Treasury Approval. At this stage:</p> <p>IPA/HM Treasury:</p> <ul style="list-style-type: none"> - Issue CC outletter to SRO and AO, signalling expectations ahead of further assurance and HM Treasury approval. A suggested guided agenda for the CC meeting and the outletter can be found in the Artefact section at the end of the guidance. <p>Project/Programme:</p> <ul style="list-style-type: none"> - Engage with IPA and HM Treasury to update the Business Case (where required) in line with the recovery action plan and interim spending proposal. - Agree expectations with IPA/HM Treasury on updating the programme's integrated assurance and action plan (IAAP).
<p>STAGE 4 HM Treasury Approval</p> <p>Timing: To be agreed by HM Treasury, IPA and programme.</p>	<p>HM Treasury scrutinises and reviews all spending proposals that meet the requirements for Treasury approval. This helps to ensure that public funds are being used in a way that maximises effectiveness and efficiency, and that spending proposals meet the standards set out in Managing Public Money.</p>	

Focus on: Case Conference

10

On those occasions where programmes receive a 'Red' outcome at AAP, HM Treasury and IPA will convene a Case Conference with the Senior Responsible Owner and Accounting Officer or Sponsor to review and agree:

- i. **Whether the project or programme remains the best way to achieve the stated objectives.**
- ii. **Whether a 'reset' may be required to achieve outcomes.**

This should interrogate the extent to which there is a need for a **fundamental or substantial change to a project's stated objectives, outputs, approach, schedule and/or whole life costs.** This should be guided by whether the programme meets the four Accounting Officer tests (Value for Money, Feasibility, Regularity, Propriety).

- iii. **A proposed recovery action plan, addressing outstanding actions and plans to set up the project for future success.**

The recovery action plan should:

- i. Address outstanding recommendations highlighted at AAP.
- ii. Identify why the project or programme is still rated 'Red' and what actions need to be taken by the project/programme team or by HM Treasury/IPA or other parts of government to support. This should include identifying interdependencies, risks and mitigations.
- iii. Set out the timeframe within which these actions will be closed out ahead of further assurance and a return to HM Treasury approvals. This should be underpinned by an updated IAAP.

- iv. **Interim spending approval, where appropriate, to support identified work in the recovery action plan or through a 'reset'.**

The interim spending proposal will:

- i. Address costs required to complete any necessary steps set out in the recovery action plan before returning for HM Treasury approval.
- ii. Also apply to projects or programmes that are 'reset' and which previously required HM Treasury approval.
- iii. Cover the period to time between Case Conference and the programme returning to the MPRG or TAP.
- iv. Be agreed by HM Treasury attendees who have delegated authority at Case Conference to grant interim spend approval.
- v. **The timeframe within which the project or programme is expected to return for HM Treasury scrutiny and/or approval.**

What are the possible outcomes of Response to Red?

11

The Response to Red process aims to support programmes to improve deliverability and to proceed within the usual practices of the Treasury Approvals Guidance. There are several outcomes which the process can support, including:

- i. **Achieving a Green/Amber AAP outcome:**
The project or programme will exit the R2R process and return to business-as-usual assurance processes as recommendations have been addressed within 12 weeks.
- ii. **Case Conference:** Where an AAP results in a 'Red' outcome, a CC will take place. This will explore why the programme has been unable to return to Amber. The CC will identify if there are external factors preventing the return to Amber and what other forms of support will help. It will also agree to a recovery action plan that is underpinned by the appropriate identification of risks and interdependencies, and is supported by their associated mitigation plans. The aim will be to agree the proposed next steps to the project or programme within agreed parameters, underpinned by a time-bound return to usual HM Treasury Approvals and interim funding to support this activity. This should lead to a refresh of the programme's [independent assurance and approvals plan](#) (IAAP) and updated Business Case.
- iii. **Agreement to undertake a programme 'reset':**
This will be discussed and agreed at a Case Conference. Agreement to a reset would see a fundamental or substantial change to a project or programme's stated objectives, approach, outputs, schedule, approach and/or whole life cost. As well as through the Response to Red process, the need for a reset may be identified by the Senior Responsible Owner and Accounting Officer, where projects no longer meet the AO standards. The need for a reset may also be identified by the department, IPA or HM Treasury through their ongoing engagement with the programme.

Annex A: Overview of IPA Response to Red Process



STAGE 1: IPA Assurance Event

12

An IPA Assurance Event (Stage Gate (SG), Programmatic Review or Annual Review) offers an independent review and recommendation on the readiness of a project or programme to proceed further along its lifecycle.

13

The IPA Assurance Event results in an Stage Gate Assessment (SGA) rating (Green, Amber or Red) which reflects the Review Team's confidence in the project or programme's ability to deliver its aims and objectives:

- i. Within the timescales.
- ii. Within the cost envelope.
- iii. To the quality requirements including the delivery of benefits, both financial and non-financial all as laid down in the most recent formally approved mandating document (e.g. Project Initiation Document (PID) or Business Case).

14

The IPA Assurance Event will consider:

- i. Specific issues or risks that threaten delivery to time, cost, and quality and jeopardise the delivery of benefits.
- ii. 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.
- iii. The resilience of the project or programme to overcome identified shortcomings or threats;
- iv. A project or programme's use of established best practice.
- v. Generic indicators of project/programme health.

STAGE 2: Assurance of Action Plan (AAP)

15

An Assurance of Action Plan (AAP) review provides an opportunity to check in and re-assess a project or programme following an assurance event that was assessed as 'Red'. The purpose of the AAP is to:

- i. Assess whether actions and recommendations agreed at SGA have been progressed or completed accordingly.
- ii. Assess whether the completed agreed actions and recommendations have significantly improved the likelihood of successful delivery. Where reasonable this may result in a reassessment of the SGA provided.

Annex A: Overview of IPA Response to Red Process

STAGE 3: Case Conference (CC)**16**

The Case Conference (CC) Review, co-chaired by relevant SCS 2 officials from HM Treasury and IPA, with the Senior Responsible Owner and Accounting Officer will review and agree:

- i. Whether the project or programme remains the best way to achieve the stated objectives
- ii. Whether a 'reset' may be required to achieve outcomes.
- iii. A proposed recovery action plan, addressing outstanding actions and plans to set up the project for future success.
- iv. Interim spending approval, where appropriate, to support identified work in the recovery action plan or through a 'reset'.
- v. The timeframe within which the project or programme is expected to return for HM Treasury approval.

17

The recovery action plan should:

- i. Address outstanding recommendations highlighted at AAP.
- ii. Identify why the project or programme is still rated 'Red' and what actions need to be taken by the project/programme team or by HM Treasury/IPA or other parts of government to support. This should include identifying interdependencies, risks and mitigations.
- iii. Set out the timeframe within which these actions will be closed out ahead of further assurance and a return to HM Treasury approvals. This should be underpinned by an updated IAAP.

18

The interim spending proposal should:

- i. Address costs required to complete any necessary steps set out in the recovery action plan before returning for HM Treasury approval.
- ii. Also apply to projects or programmes that are 'reset' and which previously required HM Treasury approval.
- iii. Cover the period to time between Case Conference and the programme returning to the MPRG or TAP.
- iv. Be agreed by HM Treasury attendees who have delegated authority at Case Conference to grant interim spend approval.

STAGE 4: Treasury Approval Point**19**

A [HM Treasury Approval Point](#) (TAP) scrutinises and reviews all spending proposals and business cases to best manage Departmental Expenditure Limits (DEL), Annually Managed Expenditure (AME) and projects/programmes to ensure maximum effectiveness, efficiency and economy in the use of public funds. The TAP process also aims to ensure that all spending proposals reflect the priorities of the government of the day and meet the four criteria for the use of public funds, as documented in Managing Public Money (MPM) – regularity, propriety, value for money and feasibility.



Annex B: Case Study 1

Home Office, His Majesty's
Passport Office (HMPO)
Transformation Programme

Within the Home Office GMPP portfolio, HMPO Transformation (now called Passport Transformation Programme) is a long-running programme with the aim of delivering modernisation, automation and digitisation of the passport service.

Joining the GMPP in June 2021, the programme aimed to complete the build of HMPO's Digital Application Processing system so it processes 100% of applications. The programme also considered how best to support: successful exit from legacy contracts; replacement of legacy systems for historic passports; and the development of new systems to report and manage operational business.



Response to Red

In August 2022, the programme was rated 'Red' by the Infrastructure and Projects Authority (IPA) at its annual Gate 0 review. This was due to a lack of confidence in the ability to deliver key functionality for Digital Application Processing (DAP) and Scanning Validation Service (SVS) - the combination of which enables the digitisation of the passport application user journey (i.e. allowing people to apply for passports from home using their mobile devices).

Annex B: Case Study 1 – Home Office, His Majesty’s Passport Office (HMPO) Transformation Programme

The IPA Red review in August 2022 found the programme was unlikely to deliver within its stated timelines. The recommendation was for an independent review of the DAP programme by experienced agile experts. Using this recommendation to prioritise action, the programme worked closely with the IPA and to undertake a critical review of the programme delivery plan. Key to this was scoping and co-designing a joint-IPA and Central Digital and Data Office (CDDO) sponsored review of the programme Agile practices and Ways of Working.

Furthermore, the IPA in its follow-on Assurance of Action Plan (AAP) primarily focused on reviewing programme leadership, recommending the SRO to consider improvements in planning, governance, communication and ways of working to improve the chances of success. Informed by this critical challenge, the Home Office decided to evolve the leadership structure, refreshing both SRO and PD arrangements.

Crucial to success was the ongoing collaboration and challenge between the team and the IPA. This supported the new SRO to:

- Resize, reconfigure and re-focus developer effort on core functionality based on our recommendation to de-prioritise, descope and support the digitisation of edge-case (low volume) use cases (e.g. diplomatic passports).
- Maintain a managerial grip of the programme, including the technology delivery elements.

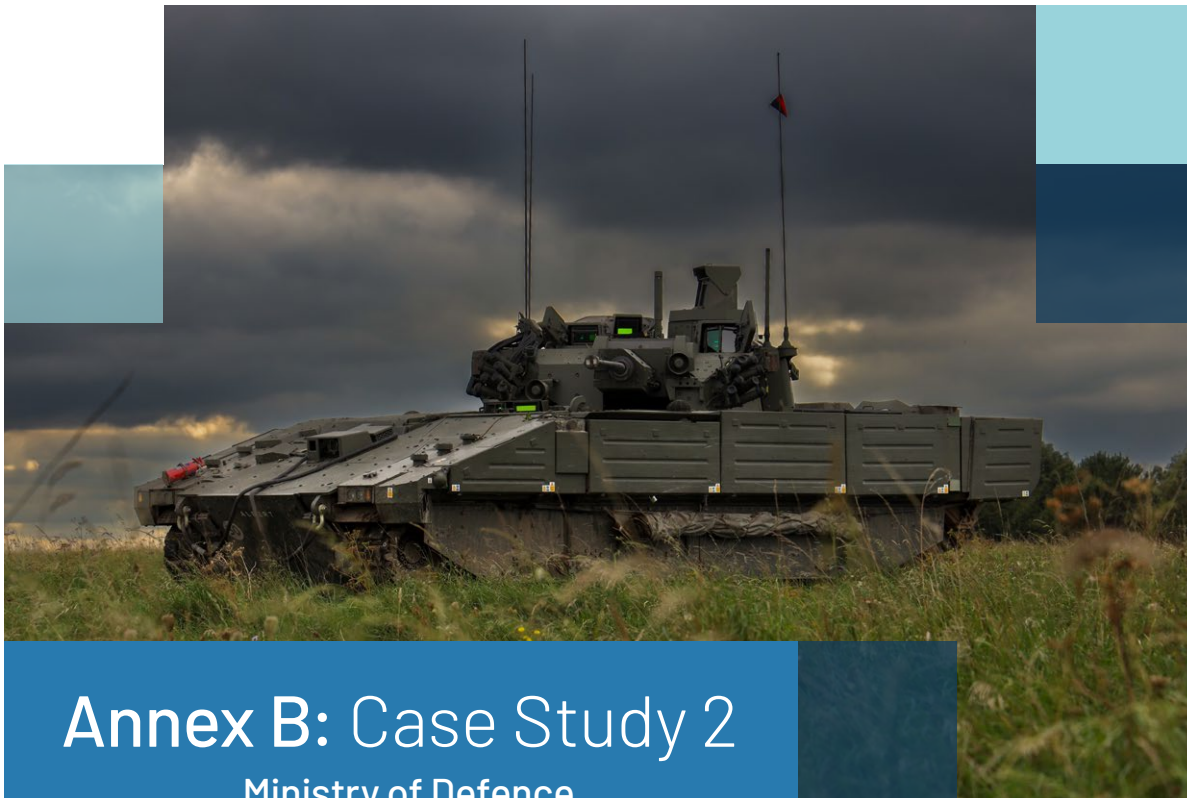
Outcome

The programme is now rated as Amber, with the programme making significant progress towards delivering its main objective to replace the legacy systems for processing passports with the new DAP and SVS functionality. It’s next IPA led review was scheduled for April 2024 and is expected to show further improvement in the performance of the programme. The Programme is forecast to close in April 2025.

The programme team achieved an Amber outcome at AAP in December 2022. Overall this support from IPA has enabled this programme to deliver non-contentious passport renewals that can be processed in as little as 5 days, and 3.5 weeks on average across all passports.



‘Crucial to success was the ongoing collaboration and challenge between the team and the IPA.’



Annex B: Case Study 2

Ministry of Defence
Ajax Programme

Ajax is an armoured fighting vehicle that aims to transform the surveillance and reconnaissance capability of the Army. Under the Armoured Cavalry Programme, Ministry of Defence is procuring 589 Ajax vehicles across 6 variants designed to undertake a variety of complementary roles on the battlefield.

In 2010, HM Treasury approved a firm price contract with General Dynamics UK (GD) for the Demonstration phase. This was followed by an approval in 2014 to progress to the Manufacture phase of the programme. Following the 2015 Strategic Defence and Security Review, Ministry of Defence expanded the intended use of the Ajax vehicle from reconnaissance to medium armoured fighting and close combat roles.



IPA
Assurance
Event

Assurance
of Action
Plan

Programme 'reset'

Response to Red

In March 2021, independent IPA Gate 4 assurance gave the programme a 'Red' rating for Readiness for Service. This was due to a combination of issues, including technical issues, challenges with schedule alignment and adherence, a lack of a one-team approach and commercial mis-alignment. This rating followed recurring programmatic issues, including delays, commercial disputes, design issues, leadership continuity and apportionment of time (SRO, PD and other key leadership roles having only up to 50% of their time on the programme), and an underestimation of the scale of work and technical complexity required.

Annex B: Case Study 2 – MoD Ajax Programme

The programme received further IPA assurance support in July 2021 to assess progress made on IPA recommendations. At this point in time limited progress had been made on the recommendations because of a focus on resolving technical and safety issues, which were noted as the imperative because their resolution would assist in determining the future of the programme; trials to verify vehicle performance against programmatic requirements of the platforms were ongoing at this time.

To determine how the government could support recovery activity, IPA and HM Treasury convened a Case Conference in December 2021 where it was agreed between the SRO, Programme Team, HM Treasury and IPA that a programme ‘reset’ was necessary. The recovery plan to lay out this reset had been written in Summer 2021 following the IPA’s assurance review in July.

The recommendations from the Case Conference refined and set out a staged approach to the reset and maintained support and assurance to the programme team and SRO to drive improvements in confidence and suitably address all challenges related to schedule, collaboration and commercial activities.

A year of intense activity followed during which the programme schedule was critically examined and re-baselined, collaborative working was renewed and injected as a fundamental way of operating, commercial and relational differences were minimised and technical and safety issues were addressed to the satisfaction of all parties.

In January 2023, following departmental approval of a reset programme, the Major Project Review Group recommended to the Chief Secretary to the Treasury, approval of the new schedule which was the key output of reset activity. The MPRG Panel recognised that a focus on collaboration, one version of the truth, a full time (100% time committed) SRO to provide dedicated leadership and direction, alongside embedded IPA commercial support was pivotal to programme reset and recovery efforts.

The programme is now on track for deliverability against a revised business case. Key lessons learned from the Ajax Response to Red and the Resets process is the importance of collaboration across the enterprise, a focus on ‘getting the basics right’, and that resets are a viable and sometimes necessary way forward to drive and improve project and programme delivery.

‘The programme is now on track for deliverability against a revised business case. Key lessons learned from the Ajax Response to Red and the Resets process is the importance of collaboration across the enterprise, a focus on ‘getting the basics right.’



Artefact 1: IPA Assurance Event Accounting Officer (AO) Letter

Insert Name'

XXth Month 20XX

Senior Responsible Officer 'Dept'

'Insert Name'

Accounting Officer 'Dept'

Dear 'Senior Responsible Owner' and 'Accounting Officer',

Re: 'GMPP NAME': 'Insert GMPP ID'

Please find attached the Assurance Report for the 'Insert name of GMPP Project or Programme'.

The mandated IPA Assurance process, requires that the outputs of the Review are brought to **the attention of the Accounting Officer and I am writing, as the programme 'Insert type of IPA Assurance Event' was rated 'Red'**, to request that the final report receives your attention. Your on-going involvement is now requested to work with the SRO, the Programme or Project Team and any required HM Treasury or CO people or processes, to assist with the required plan to achieve the recommendations made.

The SRO for the Project/Programme, copied here, is now developing an Action Plan to address the risk-based recommendations in the report and we ask that you treat support for this activity as a priority.

We will arrange for an 'Assurance of Action Plan' (AAP) in 'Insert Month' to review progress against the plan and to reinforce or revise its 'Insert type of IPA Assurance Event' rating based on its updated findings.

'Insert names of IPA colleagues' are available to support the Project/Programme in delivering the plan and, if necessary, to investigate and support the resolution of any 'blockers' or other impediments to its successful onward delivery. We are also offering Associate support to the project/programme.

For queries regarding the next stages of the assurance process, or the wider Response to Red processes, please contact myself in the first instance or for wider assurance queries please contact XXXXX, Deputy Director, Assurance and Systems Learning at xxxx.yyyy@ipa.gov.uk.

Yours Sincerely

'INSERT NAME AND SIGNATURE'

Assurance Lead

Infrastructure and Projects Authority

e:

m:

Artefact 2: IPA AAP Letter

Insert Name'
Senior Responsible Officer 'Dept'

XXth Month 20XX

'Insert Name'
Accounting Officer 'Dept'

Dear 'Senior Responsible Owner' and 'Accounting Officer',

Re: 'GMPP NAME': 'Insert GMPP ID'

Following its Assurance of Action Plan (AAP) Review, held XXth to XXth 'Month' and the AAP report issued on XXth 'Month' 20XX. I am writing to highlight that the AAP Review produced a Delivery Confidence Assessment (DCA) of 'Red'.

It is clear that such a rating requires escalation and scrutiny at the highest level, including referral to HM Treasury.

Accordingly, the outcome of the AAP has been notified to 'Director Project Delivery', IPA who, with the IPA Project Lead ('insert name'), supporting the programme will convene a meeting (Case Conference) co-chaired with HM Treasury and relevant senior stakeholders to review programme status and agree consequential action in line with the IPA's 'Response to Red' policy. Your support is now requested to work with the 'Director Project delivery', IPA to expedite the meeting.

For queries regarding the next stages of the assurance process, or the wider Response to Red processes, please contact myself in the first instance or for wider assurance queries please contact XXXXX, Deputy Director, Assurance and Systems Learning at xxxx.yyyy@ipa.gov.uk.

Yours Sincerely

'INSERT NAME AND SIGNATURE'

Assurance Lead
Infrastructure and Projects Authority
e:
m:

Artefact 3: IPA CC guided agenda to shape meeting and outletter

Key lines on inquiry:

Discuss:

- i. Whether the project or programme remains the best way to achieve the stated objectives
- ii. Whether a 'reset' may be required to achieve outcomes.

This should interrogate the extent to which there is a need for a **fundamental or substantial change to a project's stated objectives, outputs, approach, schedule and/or whole life costs.**

This should be guided by whether the programme meets the four Accounting Officer tests (VfM, Feasibility, Regularity, Propriety).

- iii. A proposed recovery action plan, addressing outstanding actions and plans to set up the project for future success.

The recovery action plan should:

- i. Address outstanding critical recommendations highlighted at AAP.
- ii. Identify why the project or programme is still rated 'Red' and what actions need to be taken by the project/programme team or by HM Treasury/IPA or other parts of government to support. This should include identifying interdependencies, risks and mitigations.
- iii. Set out the timeframe within which these actions will be closed out ahead of further assurance and a return to HM Treasury approvals. This should be underpinned by an updated IAAP.

- iv. Interim spending approval, where appropriate, to support identified work in the recovery action plan or through a 'reset'.

The interim spending proposal will:

- i. Address costs required to complete any necessary steps set out in the recovery action plan before returning for HM Treasury approval.
- ii. Also apply to projects or programmes that are 'reset' and which previously required HM Treasury approval.
- iii. Cover the period of time between Case Conference and the programme returning to the MPRG or TAP.
- iv. Be agreed by HM Treasury attendees who have delegated authority at Case Conference to grant interim spend approval.

- iv. **The timeframe within which the project or programme is expected to return for HM Treasury approval.**

Exemplar decisions:

1. The **recovery action plan** was agreed, with specific support offered by AA Function to support BB action over the next CC months.
2. Interim spending arrangements were agreed by HM Treasury attendees up until the HM Treasury TAP event scheduled for MONTH 202X. Spending Teams are expected to check in on a monthly basis.
3. It was agreed that the project would return to **HM Treasury Approval** by MONTH 202X, with a key focus on DD. This will be reflected in the project IAAP, and will be agreed with the departmental investment committee.



Infrastructure and Projects Authority

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