

**1. Project Information and Assurance Summary**

<b>Project Name</b>	Please provide the name of the project - This name will automatically be picked up throughout the document so it is important this is completed.
<b>Project / Programme Context</b>	This is a succinct summary of the aims and objectives of the project. This should already have been completed as part of the Programme Mandate / Project Brief or Project Initiation Document.
<b>Version Number</b>	This is to help ensure that any changes to the version are captured for audit purposes. Therefore updates to the IAAP should be saved as new versions.
<b>Date</b>	This should be the date the new version of the IAAP was created.
<b>SRO Approval</b>	The SRO's (or someone with delegated authority) approval of the completed IAAP. Include name, position and date of approval
<b>SRO Summary of Assurance/Approval confidence, and Risk Controls</b>	SRO's (or someone with delegated authority) review, and subsequent summary, of overall assurance and approval activity, with reference to the (Project Manager's) Project Assurance Assessment. The SRO should indicate in the summary whether there appear to be any gaps and/or whether any areas need to be strengthened to ensure full coverage of assurance activity. Additionally the SRO should provide a review and summary of whether the Key Risks have been identified and level of confidence in the controls around these risks.
<b>Scope</b>	The SRO's overall rating for the scope of the assurance described in the IAAP following the Project Manager's completion of the Project Assurance Assessment sheet.
<b>Confidence / Quality</b>	The SRO's overall rating for the quality / confidence of the assurance undertaken on the project / programme's response to recommendations following these assurance activities, following the Project Manager's completion of the Project Assurance Assessment sheet.
<b>Key Information to note</b>	This section should be a quick summary of key points that need to be highlighted to the reader - i.e. if assurance activities cannot be identified until a particular decision has been made etc. Additionally summarise any key changes to the IAAP since the last update.
<b>Links</b>	Links to both internal and external assurance information that may be helpful and aid completion of this IAAP.

**2. Project Assurance Assessment**

<b>Scope</b>	The Project Manager's assessment (using the RAG ratings provided) of the coverage of the assurance and approvals activities that are planned over the next two years or to the end of the programme/ project whichever is sooner.
<b>Confidence / Quality</b>	Project Manager's assessment (using the RAG ratings provided) against whether all/some of the actions and recommendations highlighted (if any) by the assurance activity have been completed.
<b>Comments</b>	The Project Manager completes and comments on the ratings given for both the scope and quality including justification for not undertaking any assurance activities.
<b>RAG Rating</b>	These RAG ratings are provided to help the SRO in providing an overall assessment for each of the Lines of Defence activities being undertaken by the project / programme.

**3. Risks**

Key Risks to delivery and Key strategic risks. Indicate which Strategic Risk or Priority these relate to (refer to the Strategic Case). Assessment of the current control activity and whether it provides sufficient assurance cover around the key risks.

**4. IAAP**

<b>ID</b>	This column is to ensure that each activity is unique and helps identify activities when they are referred to across different documents / papers.
<b>Type of Activity</b>	A drop down box has been provided so that the activity can be identified as either an Assurance activity or an Approval point. This needs to be completed as the selection here automatically populates the Assurance Output sheet.
<b>Activity / Product</b>	The name of the Assurance / Approval activity / product should be entered in this section. This selection automatically populates the Assurance Output sheet; indicate in brackets if this is a 'programme' or 'project' activity.
<b>Workstream/Project</b>	Workstream (at project level) or Project (at Programme level) requesting the assurance or approval activity.
<b>Assurance / Approval</b>	<b>Start Date</b> If the Assurance / Approval activity is likely to take a number of days to complete then the start date should be entered here, additionally this could be utilised as the baseline date for the activity.
	<b>End Date</b> If the Assurance / Approval activity is likely to take a number of days to complete then the end date should be entered here, additionally this could be utilised as the completion date for the activity.
<b>Planned Date</b>	Please provide the Baseline date for the activity to be completed by. This date should be part of your baselined project plan. This needs to be completed (where possible) as the selection here automatically populates the Assurance Output sheet.
<b>Date Completed</b>	Please provide the date the assurance is completed (this can be the same as your baseline date / latest approved date if the timescales have not moved) for the activity. This will help reporting and provide the SRO with a view of what assurance and approvals activities have moved / been delayed beyond the latest approved date for completion. If this is an ongoing activity then this would be the next date this activity occurs.
<b>Person Responsible / Owner</b>	This should identify the individual within the project / programme who is responsible for ensuring the assurance / approval activity is managed and completed.
<b>Assurance</b>	The assurance activities are collated by Lines of Defence and each project /programme should be looking at these and identifying which activities are relevant to the Project / Programme to undertake as part of its assurance planning for each of the lines of defence. The 'RACI' Responsibility Assignment Matrix should be placed against the assurance body that is required for each of the assurance activities identified. Additionally, X denotes an approval point. L denoted lessons learned activity.
<b>Approvals</b>	The approval points a project / programme may need to undertake throughout their delivery. Approval should be indicated by an X for approval rather than the RACI.
<b>Reporting</b>	This is to identify what reporting the individual project / programme is required and at what level such as risk, management information, investment board portfolio reporting and also include reporting when tolerances have been breached.

**5. Assurance Outputs**

<b>Activity</b>	This section is automatically populated with the type of activity (Assurance or Approval) from the IAAP sheet.
<b>Assurance Activity</b>	This section is automatically populated with the name of the assurance / approval activity from the IAAP sheet.
<b>Date Planned</b>	This section is automatically populated with the planned baseline date of the assurance / approval activity from the IAAP sheet.
<b>Date Completed</b>	This section is automatically populated with the completion date of the assurance / approval activity from the IAAP sheet.
<b>Summary of review</b>	This section needs to be completed by the programme /project team and should be a summarisation of the key assurance recommendations raised by the assurance surrounding that activity, this should reference any correspondence as a result of the assurance activity including any dates recommendations are to be completed.
<b>Response to Recommendations</b>	This section needs to be completed by the programme /project team and should be a summarisation of the programmes / projects response to the assurance recommendations raised. This should reference any correspondence as a result of the assurance activity including when the response was completed and who it was undertaken by.

**6. Assurance Body Descriptors**

This page gives a description of each of the assurance bodies which are included in the IAAP sheet. A further high level descriptor has been added to group together assurance activities using a common theme to enable the SRO to make an assessment of each theme planned and completed for the project / programme at each of the lines of defence.

<b>Name of Project / Programme</b>	M6 to A1(M) Central Pennines Study
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**Programme / Project Context (Provide a high level summary of the programme scope and its key objectives)**

The key aims of the M6 to A1(M) study (which has been requested by DfT) are to explore the strategic options and feasibility for the completion of a trans-pennine link in the M65 corridor. The study will allow for Highways England to devise a long-term strategy for the central/south Pennines area.

The extension of the M65, which is essentially a cul-de-sac as it covers only 1/3 of the trans-Pennine distance, would fill the strategic gap in the network. One of the key focuses for this study is around the potential strategic options alleviating the M62 congestion.

The key objectives of this study are:

- Ensure the improvement of Trans-Pennine east-west connectivity, including freight reducing journey times and improving access to international transport hubs such as Leeds Bradford Airport and increase tourism in AONBs in Bowland and Nidderdale.
- Support Economic Growth of the Northern Economy, supporting regional growth aspirations and improve local accessibility from the economically deprived areas in the corridor.
- Aid Network Performance by improving journey time reliability for road users, improve road safety and reduce congestion on trans-pennine and other strategic routes. To also improve the resilience of the routes to severe weather and incidents/events.
- Minimise adverse impacts on the environment, optimise environment improvement opportunities and reduce traffic impacts on local communities.

Version Number	V2	Date	24/08/2020
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**Key information to note**

V1 Created. This version will highlight the intended assurance processes but not include dates as these are in the future. Where dates are unknown 'TBC' will be used. The project is being managed via the Project Control Framework (PCF) Stage 0 which is a HE framework for projects that has parallel assurance processes. If information cannot be found within this form it will be covered in HE PCF documentation.

Technical assurance will be provided relevant specialist groups.

**The SRO or someone with delegated authority eg Project Director (other than the project manager) should approve this IAAP, provide an indication of confidence in the assurance and approval activity and a summary of any areas that the project manager should strengthen.**

<b>Approver: Name/Position</b>	[Redacted] - Deputy SRO	<b>Date</b>	21/08/2020
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**SRO Summary of Assurance/Approval confidence (sheet #2) and Risk Controls (sheet #3)**

Highways England is content that the technical analysis that underpins the study findings has been carried out in line with internal Highways England's processes, obtaining an analytical assurance statement rating of Amber/Red.

The scheme is at an early stage of development with two options considered which have a BCR of between 0.95 and 1.01 which is on the boundary between 'Poor' and 'Low' VFM categories. The two corridor concepts do offer significant journey time savings (east-west, e.g. Colne to Leeds up to 20 minutes saving) and there is also relief to several lower standard routes in the Study corridor.

There are of course some significant risks which are not unexpected for a project of this nature and at this early PCF 0 stage of development. In particular, a large-scale, long-term capital investment would be required with the cost range between £3.7bn (P2.5) to £45.9bn (P97.5) (Most Likely between £12.5bn to £15bn) which is due to the significant topographical challenges and the environmental impact. The Central Pennines Corridor passes through a sensitive area environmentally with challenging topography in the study area which includes numerous hills, valleys and waterways which considerably increase the need to cut, fill

SRO Assurance/Approval confidence							
Scope	Amber/Green	Internal Assurance / Approvals	Amber/Red	Confidence / Quality	Amber/Red	External Assurance / Approvals	Green
		External Assurance / Approvals	Amber/Red			Internal Assurance / Approvals	Green

**The IAAP draws together the various assurance activities that will affect the project/programme and shows how these will be used to inform key approvals. The IAAP will be used to**

- Inform the design, management and planning of assurance activities
- Understand the total impact of assurance activities that may affect various elements of the programme so that resource limitations can be avoided
- Clarify when assurance and approval activities will take place, ensuring preparation activities can be included as required in workstream and programme plans.
- Additionally the IAAP can be used to plan Lessons Learned activity at the end of key stages in delivery

**In line with the Integrated Assurance and Approvals Strategy**

- Your Integrated Assurance and Approval Plan is a dynamic document that will change throughout the life of your programme or project.
- It is essential that this document is owned by the SRO and approved by the SRO and/or programme/project board.
- The IAAP must be included in the set of key documents provided for external assurance reviews.

The programme/project manager should ensure that this document is updated at regular intervals and the SRO/programme/project board should review and approve this IAAP at the following intervals, whichever is sooner:

1. Every three months
2. After each assurance review
3. After any change in risk level and/or scope requiring board approval
4. At a key milestones and/or key delivery stage

<b>Cabinet Office</b>	<a href="https://www.gov.uk/government/publications/cabinet-office-controls">https://www.gov.uk/government/publications/cabinet-office-controls</a>
<b>Treasury</b>	<a href="https://www.gov.uk/government/publications/major-projects-approval-and-assurance-guidance">https://www.gov.uk/government/publications/major-projects-approval-and-assurance-guidance</a>

<b>Corporate Risk Management</b>	<a href="#">About risk management   DfT Intranet</a>
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<b>Risk Potential Assessment (RPA)</b>	<a href="http://transnet.dft.gsi.gov.uk/download/24147">http://transnet.dft.gsi.gov.uk/download/24147</a>
<b>External Assurance Reviews</b>	Please contact the Departmental Assurance Coordinator (DAC) using the following Email address: DFTPPMCOE@dft.gsi.gov.uk
<b>Infrastructure &amp; Projects Authority</b>	<a href="https://www.gov.uk/government/publications/major-projects-authority-assurance-toolkit">https://www.gov.uk/government/publications/major-projects-authority-assurance-toolkit</a>

**The Project Manager's assessment on the scope of the assurance described in the IAAP, confidence in its timely delivery and the quality of the intended outputs. This will be used to inform the SRO (or delegate's) opinion on the Information Sheet**

Scope	Confidence / Quality	COMMENTS
Amber/Green	Amber	Full HE project control framework (PCF) process to be followed with all projects. Complete project management and teams in place from HE and AECOM with agreed project board attendance. Integrated project team with necessary skills, experience and resource in place to undertake the project. Integrated progress meetings are currently occurring fortnightly.  [REDACTED] is the project sponsor or responsible owner.  Given recent cost estimates the programme may be delayed which could increase costs, but this is to ensure that assurances around the project objectives/outcomes are met.
Green	Green	AECOM appointed as L1 supplier under the Collaborative Delivery Framework to deliver PCF stage 0. All relevant specialist are in place.  Level 1, 2 and 3 Economics and modelling in general (HE TAG meetings and DT Northern Economic Working Group).  Outputs from modelling and economics will be discussed via Northern Economic Working Group and TAG meetings.  Final Analytical Assurance Statement and Value for Money statement will be provided by DT and HE TPG.
Green	Amber Green	The project board meet monthly and provide guidance to the project team. The project will be presented to internal governmental boards HE IDC and HE IC, Stage Gate Review (SGAR) 0 will be undertaken on HE Project Control Framework completion.  SGAR planned for end of project 2020.
Amber/Red	Amber/Red	Internal Stage Gate Review to be held at the end of Stage 0 that will review compliance with the PCF process. This is expected to be completed end of 2020 depending on decisions made by Ministers and DT.
Amber	Amber	The project will be presented to Northern Economic Working Group/TRAC and Centres of Excellence with comments for the SCRC being discussed. Assurance will be provided through internal CoE including economist and TPG prior to submissions being made to HE IDC, this is achieved through forums such as Economic working group and Tags.
Amber/Green	Amber Green	Analytical assurance will be undertaken by TPG (HE) and Andrew Charlesworth-May (DT) for PCF stage 0.
Amber/Red	Amber/Red	Study findings to be presented to DT's IPDC but HE will provide study findings to Strategy and Planning Director and CEO.  SGAR review is expected to be undertaken end of 2020 depending on decision made at IPDC and by Ministers.
Amber/Red	Amber/Red	Independent assurance review to be undertaken TBC for PCF stage 0 end of 2020 depending on decision made at IPDC and by Ministers.
Green	Amber Green	Value management workshop is being held February 2020. Project boards held monthly Stakeholder reference groups potentially held Early 2020. Lessons learnt workshop took place on the 20th July 2020.
Amber	Amber	N/A

		KEY
Green	Scope	The project has identified appropriate assurance and approvals against key milestones and approval points and key risks. Where it is not possible to plan for the whole life of the project, a review date is identified to plan the next stage of assurance and approvals.
Green	Quality	All appropriate assurance and approvals actions / recommendations / caveats are being recorded and addressed with no issues identified.
Amber/Green	Scope	The project has identified appropriate assurance and approvals but has not yet identified which milestones these are dependent on, or where it is not possible to plan for the whole life of the project a review date has not been identified.
Amber/Green	Quality	All appropriate assurance and approval actions / recommendations / caveats are being recorded and addressed but some not yet complete and are being monitored.
Amber	Scope	The project has identified and planned for some of the appropriate assurance and approvals activities for the project but has not identified which milestones they are dependent on.
Amber	Quality	Some of the assurance and approval actions / recommendations / caveats have been recorded but are not fully addressed and require attention. These appear resolvable at this stage if addressed promptly.
Amber / Red	Scope	The project has not yet identified the appropriate approval points ahead of key deliverables and subsequently no assurance for the project.
Amber / Red	Quality	Some of the assurance actions / recommendations / caveats have been recorded but are not fully addressed with urgent action needed.
Red	Scope	There are no assurance or approval identified and/or there are major gaps or concerns around the assurance activities being delivered.
		N/A

FUNCTION	WHAT	HOW
PPM	To provide assurance functions around all areas of delivery against a project / programme's stated objectives and outcomes. To ensure those delivering the project / programme that delivery is on time, budget and quality with it being assured that those accountable or its delivery there are no major issues or problems constraining delivery.	Project Manager Project Team Workstreams Team Reports Team Reviews Team Meetings Project Director
Project Advisors	To provide assurance from specialist within their field of knowledge to the project / programme ensuring relevant detailed and in-depth requirements have been covered and that the project has undertaken all the appropriate measurements and work required.	Modelling and Economics (to feed SCRC) via TAG Meetings, Northern Economic Working Group/TRAC Centres of Excellence SES Environment Group
Project Governance	To provide guidance and direction to projects and programmes and to ensure that the appropriate resources, costs and quality are being delivered and can still be delivered.	Project Board SRO
PMO	The PMO assures the wider programme and portfolio teams that the project / programme remains fit for purpose and ensures that the project / programme assurance reviews are completed, highlighting any risks or issues to delivery of the wider programme or portfolio.	Peer review
CoE	Centres of Excellence (CoEs) for each of the five cases within the Transport Business Case provide independent review of business cases, to support investment decisions. Each review will consist of commentary on issues that give the CoE concern and a priority rating to recommend the degree of scrutiny that the investment case should accord those issues.	Northern Economic Working Group / Centre of Excellence
Specialist Reviews	Provides a degree of independence that the relevant processes have been followed and provide advice and guidance in respect of good practice in specialist areas including the content development and evaluation of key documentation and models.	Analytical Assurance Legal Specialist Advisory Panel Property Franchising Advisory
Internal Boards	Internal boards are there to assure both the Director Generals and the senior managers that the portfolio / programme of change they are responsible for is conducted in the appropriate assurance reviews and challenge the project / programme at key decision points to ensure all assurance activities and recommendations have been accounted for.	BICC / Highways Eng and IDC
External Reviews	To provide independent assurance and external expertise to assess a 'point in time' view of a project or programme on its likelihood of successful delivery and whether it has the appropriate management and assurance controls in place.	Independent Assurance Review
Lessons Learned	Departmental To ensure that Lessons Learned Activity has been planned around key stages in delivery	Stakeholder engagement, Project and Programme Boards, Investment Boards, departmental initiatives, scheduled workshops
Parliamentary	The primary role of the National Audit Office, Public Accounts Committee and other Parliamentary Committees is to provide assurance to Parliament. The findings from NAO and PAC scrutiny provides input to departmental and cross government lessons learned.	PAC NAO Select Committees

This table is to assess the effectiveness of assurance controls that are in place and that they are proportionate to the risk. This does not replace formal risk management of your programme, this is used to summarise key risks that may require further assurance.				Project Manager Assessment					
				1st line of defence	2nd line of defence	3rd line of defence	Control RAG (see key)	Assurance Sufficient? Y/N	Improvement Actions
				Ongoing monitoring & specific reviews at programme /project delivery level, reporting on progress & management assurance	Organisational Level, investment board scrutiny, CoE scrutiny, peer to peer internal reviews	Independent project reviews, peer reviews	Amber/Green		
Risk Assessment							Amber		
Risk	Risk Owner	Strategic Objective/Priority	Controls						
Terrain – numerous hills & valleys along all routes. Potential to cross historic mined coalfields, areas where relatively strong rocks may be encountered and in the River Aire valley there are some deep relatively weak laminated glacial clays and alluvium. These geotechnical items will impact construction complexity and hence cost and their early consideration is desirable as it may be possible to mitigate these in part by route changes at this early stage.	HE SRO	Support and facilitate economic growth by improving the connectivity between the M6 and the A1(m) through reduction in journey times and improved journey time reliability;	Analysis of 3D information to generate more detailed corridor planning Utilise available aerial photography (including multispectral) and LiDAR together with conventional mapping. Procure scheme specific data as needed for gap filling	On going monitoring of approach with partners at project board	Review and endorsements by HE IDC and investment Committee	Review and endorsement by DfT Ministers and IPDC	Red	Y - for Stage 0	N/A - See controls
Multiple Watercourses / Railways / existing roads to be crossed	HE SRO	Support and facilitate economic growth by improving the connectivity between the M6 and the A1(m) through reduction in journey times and improved journey time reliability;	Gain accurate information early, allowing refinement of corridors and minimising number of crossings Initially use remote sensing methods	On going monitoring of approach with partners at project board	Review and endorsements by HE IDC and investment Committee	Review and endorsement by DfT Ministers and IPDC	Red	Y - for Stage 0	N/A - See controls
CH68.2 – Tie in with existing A1M. Current proposed corridor puts the new junction too close to J45 (A659). This would not meet design standards for junction spacing and unlikely to gain a departure. If the corridor was moved south this would then take it through a large area of dense, mature woodland. May need to consider alternative route to allow for tie in with A1M.	HE SRO	Support and facilitate economic growth by improving the connectivity between the M6 and the A1(m) through reduction in journey times and improved journey time reliability;	Corridor refinement, and refinement of layout	On going monitoring of approach with partners at project board	Review and endorsements by HE IDC and investment Committee	Review and endorsement by DfT Ministers and IPDC	Red	Y - for Stage 0	N/A - See controls
At CH19.0-19.5 – Structures required to cross the Aire/dales rail line, then river, then	HE SRO	Support and facilitate economic growth by improving the connectivity between the M6 and the A1(m)	Corridor refinement, and refinement of layout	On going monitoring of approach with partners at project board	Review and endorsements by HE IDC and investment Committee	Review and endorsement by DfT Ministers and IPDC	Amber/Red	Y - for Stage 0	N/A - See controls
Changes in Government Policy due to current political uncertainty in Parliament	HE SRO	Support and facilitate economic growth by improving the connectivity between the M6 and the A1(m) through reduction in journey times and improved journey time reliability;	Work with HE Team and key stakeholders to provide robust case for continued scheme delivery	On going monitoring of approach with partners at project board	Review and endorsements by HE IDC and investment Committee	Review and endorsement by DfT Ministers and IPDC	Amber/Red	Y - for Stage 0	N/A - See controls

Key: RAG rating on the effectiveness of controls from assurance work undertaken

Red	Significant concerns over the adequacy/effectiveness of the controls in place in proportion to the risks. Significant gaps overall.
Amber/Red	Significant concern over the adequacy/effectiveness of some of the control areas in place in proportion to the risks. Some gaps.
Amber	Some concerns over the adequacy/effectiveness of some of the control areas in place in proportion to the risks. No gaps but some areas need to be strengthened or the frequency of the control activity needs to be reviewed.
Amber/Green	Mostly adequate controls in place assessed as adequate/effective and in proportion to the risk. No gaps but the frequency of the control activity may need to be reviewed.
Green	Controls in place assessed as adequate/effective and in proportion to the risk





High Level Description	High Level Descriptor of Assurance	Description	Description of Assurance	Source	Audience
<b>1st Line of Defence Assurance</b>					
Project	Project Manager	Provides assurance functions over the deliverables being delivered by the Project Team. This involves ensuring quality, cost and time assessment against each of the deliverables.	Project Manager	Project Director / SRO	Project Director / SRO
	Project Teams	Responsible for delivery of key parts of the programme, via individual projects identified to deliver the outcome of the programme.	Workstream Leads	Project Manager / Project Director	Project Manager / Project Director
	Team Reviews	Team reviews provide assurance for the Project Director or SRO that the team is delivering a time, cost and quality and that the relevant controls are in place to ensure that the project can deliver on time.	Workstream Leads / Project Manager	Project Manager / Workstream Leads	Project Manager / SRO
	Workstreams	Workstreams of a project are subject to oversight and assurance for specific areas within a team such as legal, procurement, technical etc. Each workstream is responsible for ensuring the relevant areas are delivered to time, cost and quality and are at risk of the other workstreams across the project.	Workstream Leads	Project Manager / Project Director	Project Manager / Project Director
	Team Reports	Team Reports are produced for the programme, project director or SRO to provide updates and assurance on the project's delivery to time, cost and quality including outstanding or reporting elements of the project the project manager is unable to address and require more senior involvement to resolve.	Workstream Leads / Project Manager	Project Director / SRO	Project Director / SRO
Project Advisor	Team Meetings	Team meetings should be held regularly (at least fortnightly) by the project manager to provide assurance of the performance across the project's delivery and delivery as expected with any issues or problems escalated to the Project Director or SRO.	Workstream Leads / Project Manager	Project Manager / Project Director	Project Manager / Project Director
	Project Director	Generally to be the point person for the project manager providing assurance and overseeing the project at a strategic level, including elements such as resources, status and outstanding reports, ensuring the project is signed to the relevant outcome goals across the programme.	Project Director or SRO	SRO, DDOs and Senior Management	Project Manager / Project Director
	Contractors	Provides specialist legal and expert advice including advice and guidance to help give senior assurance to the project manager / director that the project is being developed, ensuring the delivery of the project will meet to the end user's requirements.	Contractors	Project Manager / Project Director	SRO, DDOs and Senior Management
	Legal	Provides advice and assurance to the team regarding all legal matters relating to the project such as primary and secondary legislation, provisions, contract law requirements and legal advice on a required or statutory instrument or requirement. Legal advice is provided to the project team where they are not doing anything legal.	Legal Specialists / External Consultants	Project Manager / Project Director	Project Manager / Project Director
	Procurement	Provides advice and assurance to the team regarding all procurement matters relating to the project such as procurement strategy and processes, contract law requirements. Also provides assurance to the project team that a procurement process is being followed.	Procurement Specialists / External Consultants	Project Manager / Project Director	Project Manager / Project Director
Project Governance	Financial	Provides advice and assurance to the team regarding all financial matters relating to the project such as ensuring the financial model is sound and the financials are accurately reflected and the required financials have been considered for the project/programme.	Finance Specialists / External Consultants	Project Manager / Project Director	Project Manager / Project Director
	Technical	Provides advice and assurance to the team regarding all technical matters relating to the project such as ensuring the technical specifications have been defined correctly and that the models are based on the relevant and appropriate technical aspects. Errors of all nature and equipment errors of all nature have been considered across the project/programme.	Technical Specialists / External Consultants	Project Manager / Project Director	Project Manager / Project Director
	Property	Provides advice and assurance to the team regarding all property matters relating to the project such as ensuring the correct legal aspects are taken into account. Errors of all nature and acquired property matters have been considered for the project/programme.	Property Leads	Project Manager / Project Director	Project Manager / Project Director
	SRO	Provides assurance to the executive board of the programme / project meeting objectives and delivering the project benefits to the business as a whole to give the best value of assurance as the visible owner of the business change and should be engaged throughout the organisation as such and provides the leadership to drive the change forward.	Senior responsible owner	DDOs & Senior Management	DDOs & Senior Management
	Programme Office	Provides assurance to a project's delivery within agreed timelines and cost such as resources, budget and resources will be provided to the project delivery team. The Programme Office is responsible for the programme's delivery and at least one of the other projects being delivered. Programme Office are the early warning systems for programmes that individual or multiple projects are either at risk of the programme or there are risks to the delivery of the programme outcomes.	Programme Management / Project Director	Project Director / SRO	Project Director / SRO
PMO	Team Review	Provides assurance from other professional areas of the programme and within a similar role to provide assurance that best practice methods are being used and that the project is on track with the programme's objectives.	Project Managers / Workstream Leads / Project Directors	Project Manager / Project Director	Project Manager / Project Director
	Financial Procurement Unit	Provides assurance that the team is adhering to the procurement process requirements and that all teams have engaged and conducted the procurement process in a fair and timely manner. The FPU also ensures and assesses that the team is not in a position of any of the legal aspects of the procurement and compliance rules to avoid the risk of legal challenge and compliance issues.	Project Manager / Project Director or SRO	Project Manager / Project Director	
<b>2nd Line of Defence Assurance</b>					
CoE	Strategy	Provides assurance to the executive board of the programme / project meeting objectives and delivering the project benefits to the business as a whole to give the best value of assurance as the visible owner of the business change and should be engaged throughout the organisation as such and provides the leadership to drive the change forward.	Strategy CoE	Project Manager / Project Director or SRO / DDO / PM	Project Manager / Project Director
	VM	To assess the value of the VM and ensure it is clearly and concisely conveyed to the facts of a proposal's VM, including the risks and uncertainties associated with it.	VM CoE	Project Manager / Project Director or SRO / DDO / PM	Project Manager / Project Director
	Finance	To assess the financial viability of the project and ensure that the financial model is sound and the financials are accurately reflected and the required financials have been considered for the project/programme.	Finance CoE	Project Manager / Project Director	Project Manager / Project Director
	Procurement	Provides assurance to the commercial cases of the programme and have considered the relevant commercial aspects of the project or company's financials (both commercial and financial) to deliver the project. CoE also ensures and assesses that the team is not in a position of any of the legal aspects of the procurement and compliance rules to avoid the risk of legal challenge and compliance issues.	Procurement CoE (Procurement & Compliance Functions)	Project Manager / Project Director or SRO / DDO / PM	Project Manager / Project Director
	PMF/Project Delivery	Provides assurance around whether various business cases to an appropriate safety case of the project, are the risks (because of the nature of the project) not captured and does the presentation of the risks to the relevant business case is reasonable together with a reasonable proportion of the decision-making body consider? Reviews the IAP as part of the business case review. Additionally, evaluates the IAP on a quarterly basis to assess a project's compliance with the IAP.	PMF CoE	Project Manager / Project Director or SRO / DDO / PM	Project Manager / Project Director
Specialist Review	Monitoring / Evaluation	Monitoring and evaluation issues that project and programme issues on the progress of an initiative against agreed targets to improve implementation. Evaluation examines an initiative's effectiveness by using measurements before and after implementation.	Monitoring & Evaluation CoE	Project Manager / Project Director or SRO / DDO / PM	Project Manager / Project Director
	Property	Provides assurance to the department that the relevant Property Advice to project and programme teams has been provided, ensuring any property issues are taken into account by any project and programme teams across the department has been considered by a relevant professional and legal advice and does not pose a risk to the project or programme.	Procurement Area (Property Functions)	Project Manager / Project Director or SRO	Project Manager / Project Director
	Legal Assurance	Legal Assurance ensures that the legal requirements of the programme / project teams are required to be met and that the relevant legal advice and laws have been considered on a regular basis to ensure compliance with the relevant legal requirements of the programme / project team.	Legal Specialists / External Consultants	Project Manager / Project Director or SRO	Project Manager / Project Director
	Financial Assurance	Financial Assurance ensures that the financial model is sound and the financials are accurately reflected and the required financials have been considered for the project/programme.	Finance Specialists / External Consultants	Project Manager / Project Director or SRO	Project Manager / Project Director
	Technical Assurance	Technical Assurance ensures that the technical requirements of the programme / project teams are required to be met and that the relevant technical advice and laws have been considered on a regular basis to ensure compliance with the relevant technical requirements of the programme / project team.	Technical Specialists / External Consultants	Project Manager / Project Director or SRO	Project Manager / Project Director
Internal Boards	Senior Advisory Panel	Senior Advisory Panel	Senior or Specialist / External Consultants	Project Manager / Project Director or SRO	Project Manager / Project Director
	Group Communications	Assures all communications from all areas of DfT, including all external communications to the public, are signed and approved by the relevant professional and legal advice and does not pose a risk to the project or programme.	Group Specialists / External Consultants	Project Manager / Project Director or SRO	Project Manager / Project Director
	Parliamentary Advisory Panel	Parliamentary Advisory Panel	Technical Specialists / External Consultants	Project Manager / Project Director or SRO	Project Manager / Project Director
	PAR	To provide assurance to the Department and Agency Investment Committees that the procurement processes, including the procurement strategy, followed by high value/high risk procurements have been robust and in such a way that the risk of a successful challenge against procurement decisions and any procurement issues have been taken into account.	PAR Specialists / External Consultants	Project Manager / Project Director or SRO	Project Manager / Project Director
	Rail Commercial	Rail Commercial Assurance ensures that the delivery of the rail infrastructure is on track and that the relevant legal advice and laws have been considered on a regular basis to ensure compliance with the relevant legal requirements of the programme / project team.	Rail Specialists / External Consultants	Project Manager / Project Director or SRO	Project Manager / Project Director
External Review	Commercial	Commercial Assurance ensures that the commercial aspects of the programme / project teams are required to be met and that the relevant commercial advice and laws have been considered on a regular basis to ensure compliance with the relevant commercial requirements of the programme / project team.	Commercial Specialists / External Consultants	Project Manager / Project Director or SRO	Project Manager / Project Director
	Investment Committees	Investment Committees ensure that the business case being submitted or endorsed meets the organisational and strategic and local objectives, deliver value or money and have undergone the appropriate level of assurance to the relevant and appropriate specialist areas and bodies.	Investment Committees (BICC, BIC, etc.)	Project Manager / Project Director or SRO	Project Manager / Project Director
	Internal Audit	The Internal Audit Assurance ensures that the internal audit processes are robust and that the relevant legal advice and laws have been considered on a regular basis to ensure compliance with the relevant legal requirements of the programme / project team.	Internal Audit	Project Manager / Project Director or SRO	Project Manager / Project Director
	PAR	Provides assurance to the Department and Agency Investment Committees that the procurement processes, including the procurement strategy, followed by high value/high risk procurements have been robust and in such a way that the risk of a successful challenge against procurement decisions and any procurement issues have been taken into account.	PAR Specialists / External Consultants	Project Manager / Project Director or SRO	Project Manager / Project Director
	Delivery Review	Delivery Review	Delivery Review	Delivery Review	Delivery Review
Partnership	PAR	Provides assurance to the Department and Agency Investment Committees that the procurement processes, including the procurement strategy, followed by high value/high risk procurements have been robust and in such a way that the risk of a successful challenge against procurement decisions and any procurement issues have been taken into account.	PAR Specialists / External Consultants	Project Manager / Project Director or SRO	Project Manager / Project Director
	PA (Procurement & Project Author)	PA provides assurance (via the IAP) to ensure a major project is a self-sustaining appropriate assurance activities throughout the lifecycle. The programme is responsible for the delivery of the project/programme and the PA is responsible for the delivery of the project/programme.	Cabinet Office	SRO's / DDOs & Senior Management	SRO's / DDOs & Senior Management
	Cabinet Office Controls	The Cabinet Office Controls are to ensure cabinet of use and Treasury that organisations are consulting appropriate specialists in a timely manner to ensure that the relevant legal advice and laws have been considered on a regular basis to ensure compliance with the relevant legal requirements of the programme / project team.	Cabinet Office	Project Managers / Project Directors or SRO's / DDOs & Senior Management	Project Managers / Project Directors or SRO's / DDOs & Senior Management
	Internal Audit	The Internal Audit Assurance ensures that the internal audit processes are robust and that the relevant legal advice and laws have been considered on a regular basis to ensure compliance with the relevant legal requirements of the programme / project team.	Internal Audit	Project Manager / Project Director or SRO	Project Manager / Project Director
	Delivery Review	Delivery Review	Delivery Review	Delivery Review	Delivery Review
<b>3rd Line of Defence Assurance</b>					
Partnership	Internal Audit	The Internal Audit Assurance ensures that the internal audit processes are robust and that the relevant legal advice and laws have been considered on a regular basis to ensure compliance with the relevant legal requirements of the programme / project team.	Internal Audit	Project Manager / Project Director or SRO	Project Manager / Project Director
	PAR	Provides assurance to the Department and Agency Investment Committees that the procurement processes, including the procurement strategy, followed by high value/high risk procurements have been robust and in such a way that the risk of a successful challenge against procurement decisions and any procurement issues have been taken into account.	PAR Specialists / External Consultants	Project Manager / Project Director or SRO	Project Manager / Project Director
	Delivery Review	Delivery Review	Delivery Review	Delivery Review	Delivery Review
	Internal Audit	The Internal Audit Assurance ensures that the internal audit processes are robust and that the relevant legal advice and laws have been considered on a regular basis to ensure compliance with the relevant legal requirements of the programme / project team.	Internal Audit	Project Manager / Project Director or SRO	Project Manager / Project Director
	Delivery Review	Delivery Review	Delivery Review	Delivery Review	Delivery Review
Partnership	Internal Audit	The Internal Audit Assurance ensures that the internal audit processes are robust and that the relevant legal advice and laws have been considered on a regular basis to ensure compliance with the relevant legal requirements of the programme / project team.	Internal Audit	Project Manager / Project Director or SRO	Project Manager / Project Director
	PAR	Provides assurance to the Department and Agency Investment Committees that the procurement processes, including the procurement strategy, followed by high value/high risk procurements have been robust and in such a way that the risk of a successful challenge against procurement decisions and any procurement issues have been taken into account.	PAR Specialists / External Consultants	Project Manager / Project Director or SRO	Project Manager / Project Director
	Delivery Review	Delivery Review	Delivery Review	Delivery Review	Delivery Review
	Internal Audit	The Internal Audit Assurance ensures that the internal audit processes are robust and that the relevant legal advice and laws have been considered on a regular basis to ensure compliance with the relevant legal requirements of the programme / project team.	Internal Audit	Project Manager / Project Director or SRO	Project Manager / Project Director
	Delivery Review	Delivery Review	Delivery Review	Delivery Review	Delivery Review