STAGE 1

Strategic Assessment Guide

Business Case Development Framework

Release 3

Queensland
Government

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Copies of this publication are available on our website at www. statedevelopment.qld.gov.au and further copies are available upon request.

CONTRIBUTORS

The following resources have been used as references in the development of this guide:

- Victorian Department of Treasury and Finance: Infrastructure investment, investment lifecycle and high-value, high-risk guidelines

- Infrastructure Australia: Assessment Framework

- NSW Treasury: The NSW Government Business Case Guidelines

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The Business Case Development Framework guides the development of business cases for infrastructure proposals. This guide considers Stage 1: Strategic Assessment as illustrated in Figure 1.
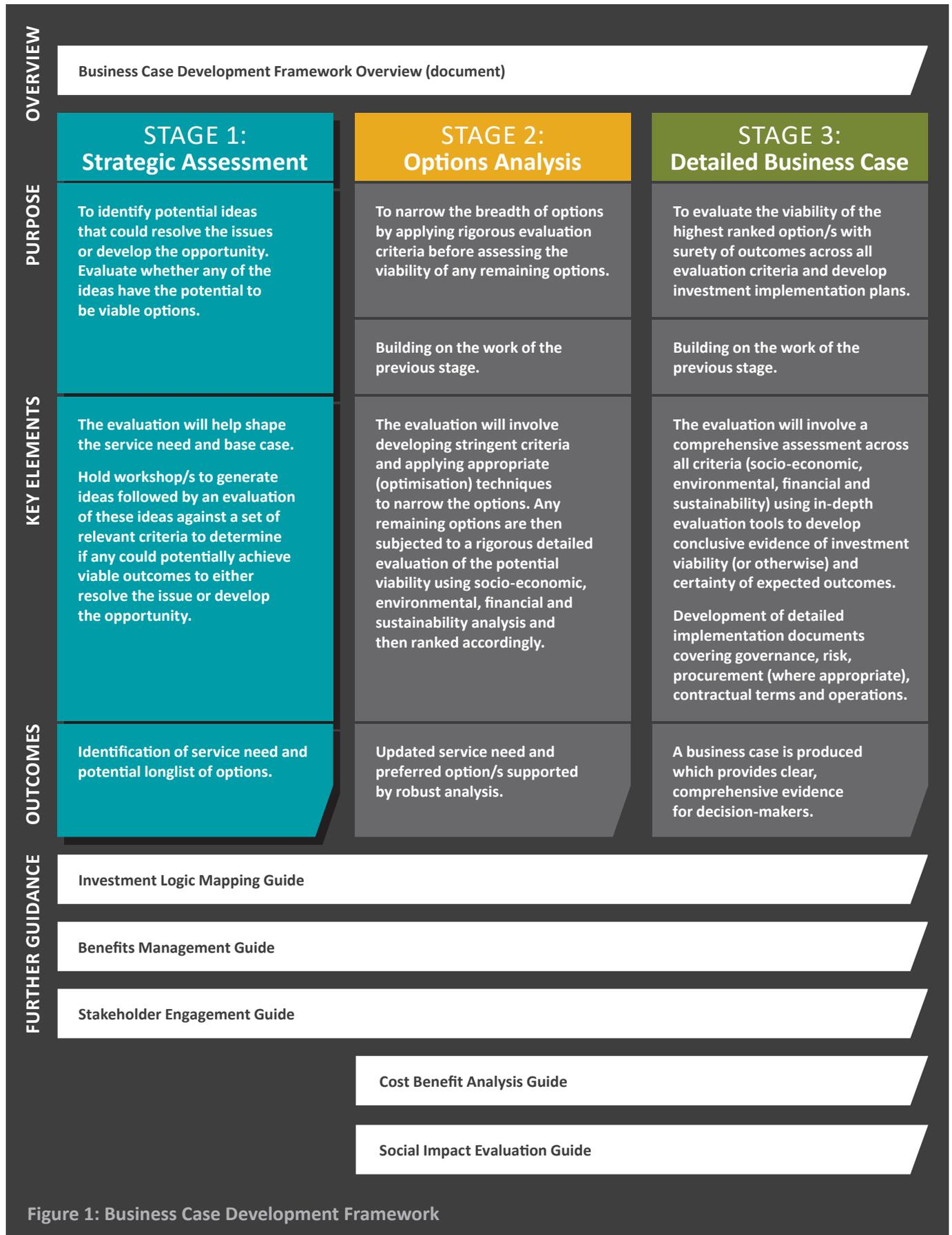
OVERVIEW	Business Case Development Framework Overview (document)

	STAGE 1: Strategic Assessment	STAGE 2: Options Analysis	STAGE 3: Detailed Business Case
PURPOSE	To identify potential ideas that could resolve the issues or develop the opportunity. Evaluate whether any of the ideas have the potential to be viable options.	To narrow the breadth of options by applying rigorous evaluation criteria before assessing the viability of any remaining options.	To evaluate the viability of the highest ranked option/s with surety of outcomes across all evaluation criteria and develop investment implementation plans.
		Building on the work of the previous stage.	Building on the work of the previous stage.
KEY ELEMENTS	The evaluation will help shape the service need and base case. Hold workshop/s to generate ideas followed by an evaluation of these ideas against a set of relevant criteria to determine if any could potentially achieve viable outcomes to either resolve the issue or develop the opportunity.	The evaluation will involve developing stringent criteria and applying appropriate (optimisation) techniques to narrow the options. Any remaining options are then subjected to a rigorous detailed evaluation of the potential viability using socio-economic, environmental, financial and sustainability analysis and then ranked accordingly.	The evaluation will involve a comprehensive assessment across all criteria (socio-economic, environmental, financial and sustainability) using in-depth evaluation tools to develop conclusive evidence of investment viability (or otherwise) and certainty of expected outcomes. Development of detailed implementation documents covering governance, risk, procurement (where appropriate), contractual terms and operations.
OUTCOMES	Identification of service need and potential longlist of options.	Updated service need and preferred option/s supported by robust analysis.	A business case is produced which provides clear, comprehensive evidence for decision-makers.

FURTHER GUIDANCE	Investment Logic Mapping Guide
	Benefits Management Guide
	Stakeholder Engagement Guide
	Cost Benefit Analysis Guide
	Social Impact Evaluation Guide

Figure 1: Business Case Development Framework

POLICY CONTEXT

The Queensland Government is committed to delivering efficient and effective public services through strong people-focused principles and strategic service drivers.

This vision is supported by government's commitment to continuously improve public sector accountability and advance Queensland through innovative service delivery. This will ensure the right infrastructure is delivered in the right place at the right time to meet current and emerging needs.

WHAT IS A BUSINESS CASE?

A business case is a documented value proposition. It aligns with key government strategic objectives and is considered the core management and assurance tool to inform investment decisions that maximise value for taxpayer dollars and benefits for Queenslanders.

The objective of developing a robust, service-need-centric business case is to ensure resource allocation and decisions are well timed, deliver value-for-money, and are fit for purpose. Risks should be appropriately considered and managed to ensure investments are consistent with government priorities and objectives.

A well developed business case provides transparency of analysis to support investment decisions.

WHAT IS THE BUSINESS CASE DEVELOPMENT FRAMEWORK?

The Business Case Development Framework provides fit-for-purpose guidance in recognition of the different needs, assumptions and considerations for analysis across infrastructure investment proposals.

Figure 2: Business Case Development Framework principles

PRINCIPLES FOR BUSINESS CASE DEVELOPMENT

CONSIDERATIONS	QUESTIONS
Investment	» Have non-built solutions been considered? » What evidence will the analysis add to substantiate the case for investment?
Decision	» Does the proposal include all the necessary analysis to inform the decision-maker?
Credibility	» Has the analysis been informed by contemporary and reliable information? » Are considerations and assumptions clearly articulated?
Transparent	» Has the information been prepared without bias and has consideration been given to managing risks and benefits?
Comparability	» Does the assessment support comparison to other infrastructure proposals?

Accountability	» Does the proposal clearly identify a single point of ownership for:
	  › sponsorship?
	  › planning and development?
	  › engagement of stakeholders?
	  › risk and benefits management?

Contents

Introduction

How to use this guide

This guide can be used as both a source book and a road map to consider and develop the concept analysis for a robust and transparent Stage 1: Strategic Assessment. The structure of the guide mirrors that of the Stage 1: Strategic Assessment Template, with each section referencing what you need to consider for documentation and reporting.

This guide, its companion template and supporting supplementary guides include a range of tools to guide your business case development. The contents of these documents are important—they include things to consider, assessment criteria and checklists—and will help you develop a business case analysis that supports a robust, transparent and comparable evaluation. As each proposed investment is unique, you should tailor your strategic analysis to fit the proposal. Support any changes with a rigorous and transparent process.

The following key content indicators have been included in call-out boxes to help you use this guide:

REFERENCE

TARGET/EXPECTATION

FLAG/IMPORTANT TO NOTE

This guide outlines a minimum standard only. It is not intended to cover all policy obligations or agency requirements.

The level of analysis required for a robust and transparent Stage 1: Strategic Assessment will vary, depending on the complexity of the proposal.

Purpose

This guide is designed to help you develop a quality and robust Stage 1: Strategic Assessment that supports investment decision-making. It will help you substantiate and articulate the problem or opportunity and service-need, and ensure that the benefits you are targeting are a priority for the Queensland Government.

It will help you to focus your analysis on developing a clear definition of the service need and ensure the investment addresses the underlying 'root causes' of the problem/s. Through this process, the guide will encourage you to focus on realistic community benefits that can be achieved when the project is completed.

The guide deliberately leads your analysis to consider non-build solutions through investigating alternative approaches—this is in line with the State Infrastructure Plan. The Stage 1: Strategic Assessment should initiate a broad investment discussion that considers a wide range of potential initiatives rather than just an asset-focused solution.

This Stage 1: Strategic Assessment is the first stage in developing an infrastructure proposal in the Business Case Development Framework (BCDF). It supports the integrity and quality of further analysis, which will be incorporated into a potential subsequent Stage 2: Options Analysis and Stage 3: Detailed Business Case.

The relationship between the Stage 1: Strategic Assessment Guide and other BCDF documents is shown in Table 1.

Structure of this guide

The guide is divided into the following sections:

- » Executive summary
- » Proposal overview
- » Stakeholders
- » Problem identification and service need
- » Targeted benefits
- » Risk
- » Strategic response and business changes
- » Potential initiatives
- » Longlist options generation
- » Next steps
- » Recommendations.

This guide has been designed to work with the Stage 1: Strategic Assessment Template document.

Table 1: Business case development

	STAGE 1: STRATEGIC ASSESSMENT	STAGE 2: OPTIONS ANALYSIS	STAGE 3: DETAILED BUSINESS CASE
Purpose	Conceptualisation: » articulates the problem, opportunity and why a service need exists » identifies the scale of intended benefits » develops a longlist of options » gives a rationale for why the service need is a government priority	Options consideration: » re-confirms the service need and further develops the base case » analyses options » identifies preferred option/s and their viability » confirms whether to invest in a detailed business case	Preferred option/s analysis: » reconfirms Stage 2: Option Analysis » confirms the economic, social, environmental and financial viability for investment decision-making
PAF stage	Strategic assessment of service requirement (SASR)	Preliminary evaluation	Business case
Supporting documents	» Benefits Management Guide » Investment Logic Mapping Guide » Stakeholder Engagement Guide	» Benefits Management Guide » Social Impact Evaluation Guide » Cost Benefit Analysis Guide » Investment Logic Mapping Guide » Stakeholder Engagement Guide	» Benefits Management Guide » Social Impact Evaluation Guide » Cost Benefit Analysis Guide » Investment Logic Mapping Guide » Stakeholder Engagement Guide

Approach

Business case development stages

Business case development does not always follow a linear process. However, for efficiency, it is recommended that you prepare a business case in several sequential development/ analysis stages. Consider and agree key content for each stage before progressing further.

Note that some activities will inform or refine earlier assessments e.g. key elements and activities of a Stage 1: Strategic Assessment will be revisited in a Stage 2: Options Analysis. Table 2 presents the key development stages and activities of a Stage 1: Strategic Assessment.

Table 2: Key development stages and activities

STAGE	ELEMENT	KEY ACTIVITIES	OUTPUTS	COMMENTS
Stage 1: Strategic Assessment	Service need identification/ clarification (summary in Section A)	» Document the problem/opportunity and justify why a service need exists, including demand » Document the proposal background and strategic environment » Identify stakeholders » Hold investment logic mapping (ILM) workshop/s with key stakeholders » Identify high-level initiatives that could respond to the service need » Identify longlist options	» ILM » Proposal background section » Service need section » Strategic considerations section » Initial risk register » Longlist options	» Complete assessment of service need during the Stage 1: Strategic Assessment » Update and document the analysis

Strategic assessment

Developing a Stage 1: Strategic Assessment is an iterative process. Some activities will inform or refine other assessments, and information developed in some sections will link to other sections. This especially applies to the risk and benefits analysis (as illustrated in Figure 3).

The Stage 1: Strategic Assessment should:

» provide compelling evidence and clearly articulate the problem or opportunity and the service need

» document the benefits you are targeting by responding to the service need and provide a minimum benefit profile against which any other initiatives or options can be compared

» consider the scale of the problem or value of the opportunity over time, including the impact of uncertainty in the service need forecasts e.g. master planning

» identify a range of strategic responses to the service need that achieve some (or all) of the benefits targeted

» develop a longlist of options

» provide decision-makers with the information they need to consider whether to progress with the proposal, and clearly articulate the recommended next steps.
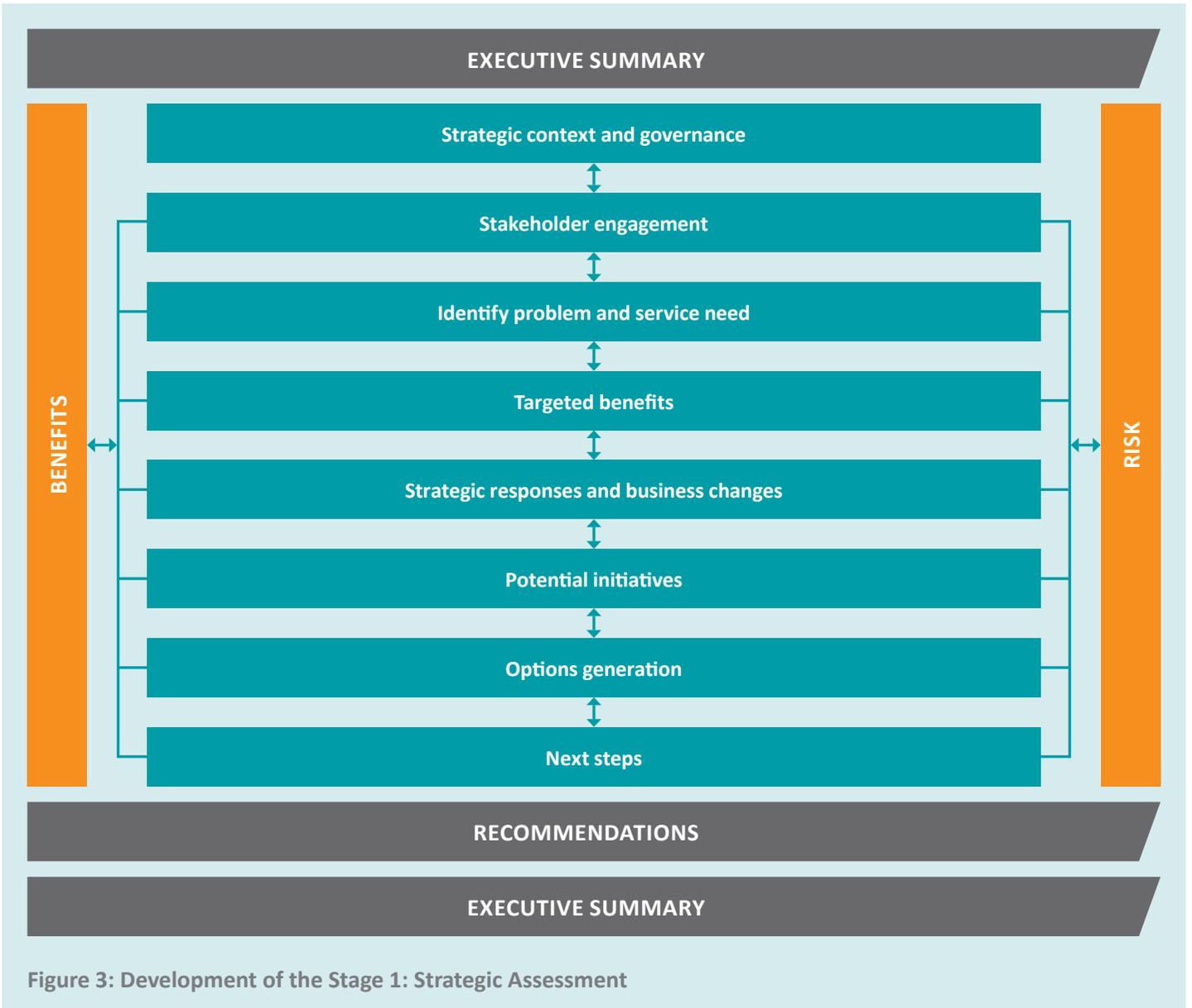
Figure 3: Development of the Stage 1: Strategic Assessment

Program versus individual project

You should consider whether to prepare a business case for a program, portfolio or for an individual proposal. This should be considered early, ideally at Stage 1: Strategic Assessment.

Using a whole-of-life, whole-of-system, program approach to business case analysis can improve infrastructure outcomes and provide clearer, more transparent decision-making by creating end-to-end visibility of long-term portfolio investment.

Some considerations when choosing a program or portfolio business case include:

» Are there many proposals/options (projects) under a single coordinating structure or portfolio?

» Does each project contribute to the same or similar outcomes?

» Are the projects part of a long-term plan that needs to be executed and made a priority over an extended period e.g. beyond the forward estimates?

» Are subsequent projects necessary to achieve full benefits and improved outcomes?

» What is the value of the program and is approval needed?

The Business Case Development Framework allows fit-for-purpose flexibility for program-based business cases.

Where you identify a program consisting of several major, complex and interdependent projects, you should consider a business case for the program master plan, and a separate business case for each individual project. The risks, costs, benefits and outcomes should be clearly identified and apportioned to each project, as well as at the total program or portfolio level.

The option analysis must include the full spectrum of approaches to address the issue or opportunity e.g. reform, better use, improve existing and new build. All proposals should consider life cycle costs (capital and operating), benefits and risks, business and operational changes, regulatory and/or legislative changes as well as infrastructure implementation and service delivery.

Note on terms

For the Business Case Development Framework, the use of the term 'proposal' refers to the suite of options identified, and subsequently refined, to one or several options.

A 'project' is an activity to create a product or service, whereas a 'proposal' is a plan to be considered for the creation of a production or service. Business cases are the development of the plan (or proposal) for investment consideration.

Stakeholder engagement

Stakeholder engagement while developing a business case is critical to the quality of the business case and outcomes. Stakeholder engagement activities during Stage 1: Strategic Assessment support:

» greater understanding of different stakeholders' perceptions of the service need, which can help identify appropriate initiatives

» effective identification of stakeholders' expectations about the proposal's benefits, helping to assess potential demand

» greater accuracy and better outcomes in identifying public interest considerations

» establishment of 'social licence' i.e. stakeholders' ongoing approval and social acceptance of a proposal

» effective risk management

» improved proposal outcomes when there are overlapping jurisdictions or when approvals are required from multiple departments or independent regulatory agencies. These improved project outcomes may include time, cost and user satisfaction.

Further information on effective stakeholder engagement during proposal development is included in the Stakeholder Engagement Guide.

Where a proposal is considered to be of national significance, your project team should engage with Infrastructure Australia.

Overall considerations

The extent of your Stage 1: Strategic Assessment should be informed by the size, scope, risk and complexity of the service need. This guide is designed to help you develop a quality, robust assessment with a continual focus on effectively managing benefits, risks and stakeholder engagement.

The analyses for a proposal must be supported by appropriate evidence.

Robust evidence:

» includes sound analysis, assumptions and inputs, and allows for uncertainty, which increases with time

» uses well-developed quantitative or qualitative data collection techniques

» adopts defensible methodologies

» uses appropriate forecasting such as a spreadsheet or model that is purpose built and appropriate

» explains limitations (e.g. small survey size and/or low survey response rate)

» references, where applicable, data and inputs from major statistical and research agencies such as the Australian Bureau of Statistics, the CSIRO or the Bureau of Meteorology.

Current evidence:

» uses the most contemporary information available.

Sources of evidence:

» use agency data collection, especially publicly available performance indicators and statistical collections include relevant population growth (or decline) and demographic change data.

Executive summary

Purpose

The executive summary of your Stage 1: Strategic Assessment should give the reader a clear and concise overview of all pertinent aspects of the proposal and the actions you would like from the investment decision-makers.

Considerations

Prepare the executive summary after the analyses are complete and you have prepared the conclusions and recommendations sections.

The executive summary should:

» tell the story and be easy to read
» include all key aspects of the proposal
» clearly identify all decisions required and their associated implications
» be concise, self-contained and able to be read independently of the detailed analysis.

Content to include

The executive summary should outline, at a high level, the service need, including:

» its context and how a response to the service need would align to the agency's mission and vision, and to the strategic priorities of relevant governments
» its background, such as when the service need was first identified, and the scope and depth of any previous investigations, studies or actions
» the nature of the issue, timing and impact to justify government involvement
» any links to other initiatives/activities within the agency or across government
» an overview of the analysis process used for initiatives and developing longlist options, showing alignment to targeted benefits and the service need
» any limitations or constraints in the analysis presented
» next steps and recommendations.

» The executive summary recommendations should be clear, with sufficient detail of what actions are proposed (e.g. studies, investigations) and their cost.

» Recommendations should capture the potential coordinating and oversight mechanisms (governance) for future documentation and analysis.

» If the strategic assessment identifies opportunities for collaboration or cross-agency implementation, or if the root cause of the problem and/or opportunity may belong to another agency, the recommendations should state where any future proposal may belong.

Outcomes

The reader will have a high-level understanding of the key aspects of the proposal, including outcomes from the analyses, conclusions and recommendations.

Note for submission:

» The Stage 1: Strategic Assessment is equivalent to a Project Assessment Framework (PAF) Strategic Assessment of Service Requirement (SASR). In accordance with the PAF, the Stage 1: Strategic Assessment should include a submission to the agency's decision-maker (e.g. the Director-General/CEO). The submission should outline the outcomes of this stage and, if required, request approval to activate the recommendations (for example, beginning Stage 2: Options Analysis).

» If you are recommending that the proposal should progress, prepare a detailed plan and budget for the development of a Stage 2: Option Analysis to accompany the submission. This should be noted in the executive summary.

The title of the Stage 1: Strategic Assessment and service need should not assume the choice of solution. For example, the Stage 1: Strategic Assessment title for a fictitious high school should be 'Responding to educational needs in south western Queensland' rather than 'Adavale High School replacement'.

A1   Proposal overview

Purpose

The proposal overview should consider the background to the proposal and governance arrangements to develop the proposal and assurance for the Stage 1: Strategic Assessment.

Considerations

The proposal background should clearly articulate and document the background to the service need, including:

» its context, including how a response to the service-need would align to an agency's mission and vision, and with the strategic priorities of relevant governments

» its background, such as when the service need was first identified, and the scope and depth of any previous investigations, studies or actions

» the nature of the issue and impact to justify government involvement

» any links to other initiatives/activities

» the relative importance of the service need.

GOVERNANCE

A clear governance structure is needed for the proposal. The governance structure should consider governance of the overall business case development process and, if successful, governance for the next stage of business case analysis. There should be a high degree of consistency in these governance structures. Consider a single steering committee overseeing development and implementation. The steering committee should be supported by a suitably skilled project team.

Appropriate senior representation is needed in the governance structure. The following is recommended:

» establishing appropriate governance arrangements to oversee the Stage 1: Strategic Assessment development

» managing the Stage 1: Strategic Assessment process day-to-day in accordance with the agency's project management methodology

» establishing a working group, including representatives from other government agency stakeholders, to identify and manage issues.

Project governance is important and should clearly identify:

» the project owner

» the steering committee, its terms of reference and membership

» the working group, roles within the structure, and alignment with the agency's project management methodology.

ASSURANCE

Business case assurance is informed by the complexity and risk of the service need.

Before submitting, undertake a final review of the Stage 1: Strategic Assessment to provide assurance that the documentation:

» is **complete**: i.e. includes all necessary information for the investment decision

» includes **reliable and reasonable** information: i.e. the quality of the information is appropriate and can be relied on; assumptions and the methodology for assessments are documented; and all assessments were completed with appropriate expertise and rigour

» is **comparable**: i.e. uses assessment methods and data that enable the infrastructure proposal to be compared to other proposals

» establishes a **transparent** case for the investment: i.e. information has been prepared without bias and with all risks, implications and mitigations clearly documented

» identifies **ownership**: i.e. clearly explains the single point of accountability for developing the proposal, engaging stakeholders, and delivering the anticipated benefits.

METHODOLOGY

This section describes the approach used to develop the Stage 1: Strategic Assessment, including the approaches to:

» identify the service need, benefits, initiatives and longlist options

» identify and manage risk

» ensure effective stakeholder engagement

» integrate assurance arrangements.

Where an investment logic mapping (ILM) approach is used to develop the Stage 1: Strategic Assessment, you should note this in the methodology and give information on any changes to the process detailed in Investment Logic Mapping Guide. Include any issues that arise during the ILM.

Outcomes

The proposal overview section should give a clear understanding of the background to the proposal, governance arrangements and assurance activities in preparation to undertake the Stage 1: Strategic Assessment.

Consider undertaking a Gate 0 Gateway review as appropriate e.g. if a program Stage 1: Strategic Assessment has been undertaken.

Gated reviews are mandatory for ICT initiatives. The Queensland Government Chief Information Office (QGCIO) can provide further information on the requirements of Gate reviews.

A2 Stakeholders

Purpose

The purpose of this section is to consider and plan for stakeholder engagement. Consulting with stakeholders in this early phase helps clarify the drivers and potential scope of initiatives, including integration opportunities.

Considerations

Community consultation and stakeholder engagement is recommended during the development of a Stage 1: Strategic Assessment. The approach may depend on:

» the risk appetite of the agency

» the nature and complexity of the service need

» the complexity of assessments

» the nature of the stakeholders themselves.

Although stakeholder engagement can provide better outcomes and improved understanding of the service need, there are risks associated with stakeholder engagement. It is important to manage stakeholder expectations carefully during the engagement process.

STAKEHOLDER ENGAGEMENT

IDENTIFYING STAKEHOLDERS

Stakeholders should be identified based on the initial definition of the service need. Relevant stakeholders for a problem or opportunity may include individuals, organisations or agencies (including other government agencies) who:

» may be affected by a problem, potential project or failure to take up an opportunity

» can influence the problem or opportunity

» can contribute to identifying innovative solutions

» may potentially be disadvantaged if the service need is addressed

» are responsible for other unrelated projects or initiatives that could achieve enhanced benefits or improved outcomes for your proposal. This could be due to these unrelated projects either being integrated or effectively synchronised with the proposed initiative. E.g. extended periods of construction employment or upgrading transport infrastructure to support a new hospital.

Stakeholder engagement

Stakeholder engagement activities in a Stage 1: Strategic Assessment can support:

» greater understanding of different stakeholders' perceptions of the service need, which can help in identifying appropriate initiatives

» effective identification of stakeholders' expectations about the proposal's benefits, helping to assess potential demand

» greater accuracy and better outcomes in identifying public interest considerations

» establishment of 'social licence' i.e. stakeholders' ongoing approval and social acceptance of the proposal

» effective risk management

» improved proposal outcomes when there are overlapping jurisdictions or when approvals are required from multiple departments or independent regulatory agencies (these improved project outcomes may include time, cost and user satisfaction).

Who?

Stakeholders include individuals, groups or organisations affected by the problem or opportunity, as well as those who can influence the outcomes of the initiative. Potential service delivery partners should be included as stakeholders.

What?

A stakeholder's perspective influences how to frame or understand the problem, the service need and potential response. Different stakeholders will have different perspectives and their perspectives will ultimately shape the range of potential initiatives.

Why?

You will identify stakeholders throughout the preparation of the Stage 1: Strategic Assessment, as the proposal progresses. Engaging stakeholders ensures stronger investment logic and, therefore, a stronger and more robust strategic assessment.

When?

Defining the problem or opportunity effectively is likely to involve canvassing multiple stakeholder perspectives. Early engagement with central agency representatives (e.g. Queensland Treasury and the Department of the Premier and Cabinet) and other agencies will enable the service need to be fully considered within a strategic context.

ENGAGING WITH STAKEHOLDERS

The Stakeholder Engagement Plan should clearly articulate how, when and where stakeholders will be engaged during the Stage 1: Strategic Assessment development. The method and frequency of engagement is usually based on the level of interest and influence stakeholder groups may have on the potential project. Further guidance on stakeholder engagement is available in the Stakeholder Engagement Guide.

All stakeholders must be made aware that the preparation of a Stage 1: Strategic Assessment is a pre-project (or scoping) exercise and does not necessarily mean any initiative will progress.

Engaging with stakeholders to clarify and document their needs can take many forms, including primary and secondary research. You should document evidence of stakeholders' needs and the impacts identified.

The Queensland Government recommends relevant stakeholders participate in an investment logic mapping (ILM) workshop to ensure shared understanding and agreement of the service need and potential initiatives. Guidance on holding an ILM workshop is available in the Investment Logic Mapping Guide.

Risks relating to stakeholder engagement should be included in the risk register and inform any modifications to stakeholder engagement activities.

As the Stage 1: Strategic Assessment progresses, additional stakeholders may be identified, and the stakeholder engagement plan should be adjusted accordingly.

Outcomes

An initial stakeholder engagement plan included as an appendix to the Stage 1: Strategic Assessment demonstrates that you have undertaken methodical stakeholder engagement and that you have fully considered stakeholder perspectives and concerns in your proposal.

A3   Problem identification and service need

Purpose

The purpose of this section is to clearly identify the service need. The service need may result from an identified problem or opportunity.

Considerations

This section should present the evidence for addressing the problem or opportunity.

If the initiative proposed in response to a current or future service need cannot be supported by evidence, you should not progress further.

Figure 4 illustrates the inputs needed to develop this section and the expected outcomes.

This section should be sufficiently robust to convey to decision-makers the level of detail and planning you undertook to investigate the need for the proposed initiative.

Investment logic mapping

An investment logic mapping (ILM) workshop is an effective mechanism for achieving a shared understanding of the service need. See Appendix 5: ILM map.

The ILM workshop will produce a number of statements that clearly articulate the problem or opportunities underpinning the service need.

If undertaking an investment ILM process, please refer to the Investment Logic Mapping Guide.

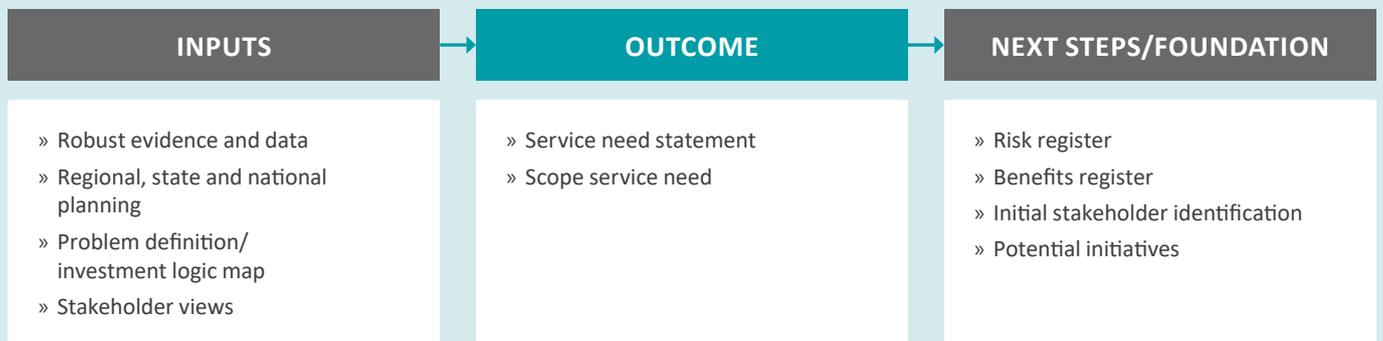| INPUTS	OUTCOME	NEXT STEPS/FOUNDATION
» Robust evidence and data » Regional, state and national planning » Problem definition/ investment logic map » Stakeholder views	» Service need statement » Scope service need	» Risk register » Benefits register » Initial stakeholder identification » Potential initiatives

Figure 4: Inputs and outputs flow diagram

DEFINING THE PROBLEM OR OPPORTUNITY AND SCOPING THE SERVICE NEED

The service need requires:

» preliminary research, including:
  › stakeholder consultation and data collection to substantiate and clearly explain the service need
  › a preliminary policy or regulatory review and/or a high-level economic analysis to build an evidence base

» agreement of key stakeholders (including potential service delivery partners) about what is included in the service need.

Problems or opportunities should be analysed from two perspectives: the cause and the effects. Understanding both the likely causes and the effects of the problem or opportunity lets you identify:

» potential strategies and business changes that may remove or minimise the causes
» potential strategies and business changes that may minimise (or maximise) the impacts
» benefits targeted
» sources of data to measure the targeted benefits
» stakeholders that are affected
» stakeholders who can influence the causes or effects.

Focusing on causes and effects helps to ensure the Stage 1: Strategic Assessment focuses on targeted outcomes rather than potential solutions.

CONSIDER RELATIVE IMPORTANCE

Rank each problem or opportunity to give a broad indication of its relative importance compared to the others. This builds a priority listing to identify strategies and business changes. If you undertake an ILM workshop and you have developed problem or opportunity statements when explaining the service need, the workshop participants should agree on their relative importance.

Root cause analysis

Root cause analysis is a tool that can help to 'unpack' the issue by exploring the source of the problem. The following fictional example illustrates the line of questioning used in root cause analysis.

Example: Cause and effect questioning to identify the real problem (root cause analysis).

We have an issue around 'high levels of toxicity in a national park'.

Question: What caused the high levels of toxicity?
Answer: Declining water quality

Question: What is causing the decline in water quality?
Answer: Pollution from a nearby factory

Question: What is causing the factory pollution?
Answer: Lack of standards-based filtration equipment

Question: Why aren't there appropriate filtration systems?
Answer: Cost and lack of monitoring to ensure compliance (= the root cause)

Establishing a base case

The team preparing the Stage 1: Strategic Assessment should consider establishing an initial business-as-usual base case, informed by the service need analysis. This is especially useful if the proposal proceeds to a Stage 2: Options Analysis. The base case then becomes a baseline against which potential initiatives or options can be considered.

Problems or opportunities you identify in the statement of service need should be supported by evidence, which can be included as an appendix to the strategic assessment.

Remember that evidence should be robust and current.

Robust evidence is based on sound assumptions and inputs. It uses defensible methodologies and any limitations are noted.

Current evidence is evidence collected within the preceding three years and should be the most recent available data collection.

If data is not available, then you should prepare or collect new evidence, if practicable, taking into account the costs at this early stage of assessment.

SERVICE NEED CONSIDERATIONS

The challenge in explaining the service need is to focus on the problem or opportunity itself and why it needs addressing, rather than focusing on potential solutions. Each proposal and agency differs in its problem and associated service need, but there are some common categories that typically define and shape a service need.

Effectiveness: What impact does the problem or opportunity have on the effectiveness of service delivery?

» Explore details of the effects of the problem or opportunity economically, socially, financially and environmentally (include credible evidence).

» Demand analysis may help capture areas of need, highlighting any potential substitution effects.

Regulatory: Is the service need statutory?

» Outline details of the statutory, regulatory or organisational policy requirement and how this is or is not currently being met.

» Capture details of changes to statutory, regulatory or policy settings that have affected existing services.

Service failure: Is the service provided no longer fit for purpose or failing to meet the needs of customers/users?

» Detail the extent of service failure and clearly articulate the effect on customers/users.

Extent: What are the broader linkages of the service need and associated problems or opportunities?

» Describe the geographic and demographic reach of the service need (include relevant maps and supporting graphics).

» Give a summary of related projects and their potential effect on the benefits expected from the project, noting any potential opportunities for integration or coordination.

Improved efficiency and reduced costs: Is the service need related to existing efficiency issues?

» If the service delivery is affected by underperforming or a lack of infrastructure, capture and substantiate the facts.

» If the service need is met then quantify the effect of potential improvements.

Outcomes

The reader should understand the context and extent of the service need, including the implications of not proceeding.

A4   Targeted benefits

Purpose

Identifying the benefits that you are targeting is the first step to quantifying the outcomes that will be achieved if the service need is met. The targeted benefits are an initial concept of what the initiative aims to achieve.

Considerations

Identifying the targeted benefits gives a baseline for comparing the benefits that could be achieved by different initiatives. This allows you to rank potential initiatives by their potential benefits. The benefits should be linked to stakeholders' needs and perspectives.

Table 3 summarises the benefits management activities you need to undertake at this stage, and the purpose of those activities. Further guidance can be found in the Benefits Management Guide.

Undertake this initial stage of identifying and conceptualising benefits in the context of the entire benefits life cycle. This allows the benefits targeted to be effectively managed, monitored and realised.

Stakeholder engagement and activities such as a benefits workshop and/or ILM workshop can be effective processes for identifying benefits. Understanding the benefits needed or expected by stakeholders will:

» support an investment focus rather than a project-delivery approach to the problem or opportunity
» focus attention on why an investment is being made rather than on the asset that may be delivered.

Table 3: Summary of benefit management activities and purpose

FOCUS OF BENEFITS MANAGEMENT ACTIVITIES IN STAGE 1: STRATEGIC ASSESSMENT	PURPOSE OF ACTIVITY
Identify the benefits targeted in response to the service need	» To define the goal that drives strategic responses, business changes, and potential initiatives » To develop a baseline to compare the expected benefits of potential initiatives
Identify potential beneficiaries and stakeholders (including those who may be affected either positively or negatively) and explain the relationship between stakeholders and the targeted benefits	» To ensure appropriate stakeholders are engaged in the development of the proposal » To enable the true service need to be identified and addressed » To support identification and management of stakeholder interdependencies

Key questions when considering benefits are:

» What value will derive from this investment and how will the value of delivery be captured?
» What benefits can be expected in successfully addressing the service need?
» What outcomes will we get from addressing this problem or opportunity?
» What benefit will government and community get from an investment?
» What part of the government agenda will this investment support?
» What key performance indicators (KPIs) will demonstrate value and are outcome-focused?

To be included in the benefits statement, a benefit needs to meet these criteria:

» It removes or mitigates the defined problem (or optimises the opportunity) and is aligned with the outcomes valued and articulated by the organisation.

» It is supported by one or two KPIs that are meaningful, preferably measurable (or able to be described qualitatively) and can be attributed to this investment.

  › KPIs help when developing the strategic response (refer to Section A6).

» It is resource-effective—the effort required to monitor and measure the benefit should be appropriate for the value and insight it gives the organisation.

Consider relative importance

Benefits should be ranked in the same way as the service need or opportunity to give a broad indication of their relative importance. Aspects to consider when ranking include:

» how the problem or benefit integrates with other initiatives or projects within a broader program

» relative merit of the benefit sought

» risk

» effect on stakeholders

» scope of the benefit or problem.

While developing the initiative proposal (Section A7), you should compare the statement of targeted benefits in response to the service need with the benefits to be achieved from the potential initiative (and alternative options). This will make it easy to assess which initiatives should or could be progressed.

Timing and strategic considerations

This section should explain why government intervention is needed now. It should include:

» the timeframe for any potential impacts

» the urgency in responding to the problem or seizing the opportunity

» how the response will support or integrate with other initiatives and projects within the broader system or program, as well as any links to other agency or government initiatives

» how the service need aligns with relevant strategic initiatives, regional and local plans, and the State Infrastructure Plan. If the involvement of Infrastructure Australia is likely to be needed, note any matters of national significance.

Benefits statement

Statements of the benefits targeted when addressing the service need should be included in the benefits register (Appendix 1) and, if an ILM workshop has been held, in the benefits column in the ILM.

The benefits statement should include an overarching statement that gives a line-of-sight to the desired outcomes. It may be supported by one or two high-quality KPIs where the benefit can be quantified or monetised. The benefits statement should show a clear connection to government or agency outcomes, within the context of their local impact.

Key performance indicators for identified benefits should be outcome focused, rather than output or activity focused. The emphasis of KPIs should be on the results or impact of the work undertaken to deliver the benefit and overcome the problem.

The number of targeted benefits and corresponding KPIs will vary with the complexity of the problem and the number of stakeholders involved. Benefits identified during the Stage 1: Strategic Assessment will be refined and filtered during the impact risk assessment you conduct as part of the social impact evaluation, if the proposal proceeds to Stage 2: Options Analysis.

Risks related to achieving benefits should be included in the risk register.

Outcomes

The reader should have a clear understanding of targeted benefits and their time frame for achievement. A benefits statement should be included as an appendix to the Stage 1: Strategic Assessment.

Health check A

Checklists are for pre-submission use only and do not need to be included in the final document.

Before progressing the Stage 1: Strategic Assessment, complete the following checklist.

If an item has not been completed, include an explanation in the methodology (Section A1: Proposal overview).

#	HAVE YOU COMPLETED THE FOLLOWING TASKS?	SECTION	COMPLETED
1	Identified stakeholders	A2	☐
2	Documented stakeholder information	A2	☐
3	Updated the stakeholder engagement plan	A2 & Appendix 3	☐
4	Identified problems and opportunities	A3	☐
5	Analysed cause and effects of problems and opportunities	A3	☐
6	Identified, substantiated and clearly explained the service need	A3	☐
7	Explained the alignment to agency and government strategic priorities and planning	A4	☐
8	Established relative importance of the problems/opportunities	A4	☐
9	Assessed relative importance of the targeted benefits	A4	☐
10	Created and begun a benefits register	Appendix 1	☐
11	Created and begun a risk register	Appendix 2	☐
12	Completed the investment logic map (if appropriate)	Appendix 5	☐

A5   Risk

Purpose

This section considers the strategic risks of the proposal (proposal risks) and the risks of proposal development (process risks). Undertake initial risk identification and mitigation while developing Stage 1: Strategic Assessment to make sure risks are effectively considered as part of the service need, benefits and options.

Considerations

You should carefully consider and manage risks throughout the Stage 1: Strategic Assessment development process.

IDENTIFYING PROPOSAL RISKS

Risk management is vital to ensure the potential initiatives are designed to effectively address any risks as far as practically possible. This includes the risks associated with the proposal background, service need, benefits, strategic responses, business changes, potential initiatives and options.

IDENTIFYING PROCESS RISKS

Identifying process risks includes stakeholder engagement activities and timing to ensure the process for developing the Stage 1: Strategic Assessment maximises its potential outcomes.

Thoroughly considering and managing risks in the Stage 1: Strategic Assessment gives a solid foundation for subsequent risk assessments in Stage 2: Options Analysis and Stage 3: Detailed Business Case, if progressed.

You will need ongoing assessment and documentation of risks during business case development. Refer to the respective agency's risk management policy and the Australian Standard (AS NZS ISO 31000:2009 Risk Management–Principles and Guidelines) for guidance on conducting a risk assessment. The PAF and National PPP policy (if applicable) also provide guidance on risk assessments.

Outcomes

The reader should have an initial understanding of risks (both proposal and process) and potential mitigation strategies. A risk register should be attached to the Stage 1: Strategic Assessment.

In general, the risk analysis should consider the following key elements:

» description (accurately define the risk)
» impact risk assessment (likelihood, consequence, materiality and risk rating)
» impact risk assessment (likelihood, consequence, materiality and risk rating)
» mitigation and controls (including assessing adequacy of control)
» residual risk rating (post mitigation).

Risk can be negative and positive.

An example risk register is included in Appendix 2.

A6 Strategic response and business changes

Purpose

This section considers the internal (strategic responses) and external (business changes) activities that may be needed to manage the change.

Considerations

Identifying strategic responses and business changes should focus on achieving the benefits, without being constrained by organisational restrictions. Potential service delivery partners may be identified as a result of explaining an effective strategic response and business change.

STRATEGIC RESPONSE

A strategic response is a high-level intervention. The purpose of this section is to identify potential responses to the identified service need.

A strategic response is most likely to be an action that changes behaviour externally. Strategic responses may include activities that:

» change demand—stop, slow, divert or decrease it
» improve productivity or efficiency e.g. increase the throughput efficiency or improve effectiveness
» change supply—treat it, fix it or increase it.

Similarly, a strategic response can address the service need by:

» responding directly to the problem/opportunity to minimise or negate it
» activating strategies to influence the causes of the problem or opportunity e.g. reduce the likelihood of the problem occurring
» activating strategies to influence the effects of the problem.

A valid strategic response should have the potential to deliver some or all of the identified benefits and, in doing so, address the related service need.

BUSINESS CHANGES

Business changes are the possible changes (or enablers) that could be made to deliver the strategic responses. Not all identified business changes will be needed, and some might be either/or choices. Business changes may be linked to more than one strategic intervention.

Identifying a range of business changes will not necessarily mean that all are implemented. However, the list of business changes should, in its totality, address the service-need (recognising there may be either/or choices to be made later).

For complex projects, other agencies may be responsible for the business changes that will be needed to deliver the changes, and to record and report on the metrics of the benefits achieved.

Risks relating to strategic responses and business changes should be included in the risk register.

Outcomes

The reader should understand potential strategic responses to achieve changes identified in the service need.

A7   Potential initiatives

Purpose

This section should analyse and describe potential initiatives, or high-level activities, that strategically address the service need.

Considerations

In future, potential initiatives may become options, projects or elements of a program. Not all potential initiatives are likely to be implemented, and some actions may become redundant because of other actions. However, the full set (or program) of potential initiatives should:

» provide confidence
» be able to solve the problem
» be capable of realising the targeted benefits.

Some potential initiatives might be either/or choices to be addressed later.

Appendix 4 provides an initiatives map structure to help you address the service need, overcome identified problems and achieve benefits. Additional guidance is given in the Investment Logic Mapping Guide.

Risks relating to potential initiatives, including any risks to other projects or proposals, should be included in the risk register.

DOCUMENT INITIATIVES

Potential initiatives may include activities that improve the use of an asset, change behaviour or focus, improve the capacity of an existing asset or create a new asset.

Consider the State Infrastructure Plan (SIP) priorities when developing initiatives. These priority categories, from highest to lowest, are:

» reform—typically non-asset initiatives
» better use—typically improving service performance
» improve existing—typically augmentations
» new—typically new assets.

The final step to identifying and documenting initiatives in the initiatives plan is alignment with the SIP.

Potential initiatives may not solve the entire problem and may only achieve partial benefits. However, it is worth considering initiatives that delay the need for more expensive solutions and reduce the size of the problem.

Potential initiatives should consider:

» benefits that can be achieved
» potential positive or negative impacts on identified stakeholders
» service delivery partners and/or integration opportunities, including dependencies between initiatives.

Additional benefits you recognise while exploring potential initiatives should be included in the benefits register. Consider the benefits in relation to the value of the initiatives. See Table 4: Consideration of initiative benefits.

Table 4: Consideration of initiative benefits

INITIATIVE BENEFITS MANAGEMENT	PURPOSE OF ACTIVITY
Identify benefit dependencies	» To ensures potential initiatives are appropriately designed to reduce potential negative impacts and unintended consequences
Identify the benefits to be achieved by the potential initiative	» To enable identification of additional benefits that may be achieved from each potential initiative » To enable assessment of potential initiatives against the initial benefits targeted
Identify any potential negative consequences and consider potential effects on the initiatives	» To enable potential initiatives to be either adjusted or discarded to minimise the negative consequences
Identify any benefit risks and any other risks that maximise benefits	» To enable risks to be addressed in the design of potential initiatives

CRITERIA FOR SUCCESS AND RANKING CRITERIA

Include an outline of what is needed to successfully achieve the outcome the investment is targeting. Criteria for success will vary according to the targeted outcome but may, in addition to the benefits, include potential improvements to:

» performance levels and availability

» major functions and operation

» accuracy, reliability and ease of use

» appearance and amenity

» security and safety

» target dates and timeliness of implementation

» dependence between initiatives

» any preconditions for each potential initiative

» the assumptions that underlie each potential initiative

» constructability

» potential private sector involvement

» potential development and running costs.

RELATIVE IMPORTANCE

The relative importance of the potential initiatives can be assessed by:

» comparing the benefits to be achieved if the initiatives are implemented with the initial benefits sought. This ensures that proposed initiatives remain focused on achieving the targeted benefits

» considering how the potential initiative aligns with the criteria for success.

A high-level cost estimate should not be used as a primary indicator of importance at this stage.

Any initiatives that do not align with the targeted benefits or the success criteria should be discarded or redefined.

Outcomes

The reader should understand initiatives that will address the service need and the relative merits of different approaches.

Health check B

Before progressing the Stage 1: Strategic Assessment, complete the following checklist.

If an item has not been completed, include an explanation in the Methodology (Section A1: Proposal overview).

#	HAVE YOU COMPLETED THE FOLLOWING TASKS?	SECTION	COMPLETED
1	Identified and documented strategic responses	A6	☐
2	Identified and documented business changes	A6	☐
3	Identified and documented potential initiatives	A7	☐
4	Identified, documented and assessed benefits to be achieved by potential initiatives against initial targeted benefits	A7	☐
5	Assessed relative importance of potential initiatives	A7	☐
6	Documented criteria for success	A7	☐
7	Aligned potential initiatives with the State Infrastructure Plan	A7 & Appendix 5	☐
8	Updated benefits register	Appendix 1	☐
9	Updated risk register	Appendix 2	☐
10	Completed the initiatives map	Appendix 4	☐

A8   Options generation

Purpose

This section asks you to generate a list of options (solutions) from the potential initiatives you have identified. These options will form the options longlist, which will be analysed in Stage 2: Options Analysis, if the proposal proceeds.

Considerations

This is a critical section as it gives clarity and an understanding of the range of options being considered.

As infrastructure is ultimately built to deliver a service, you should explore non-asset solutions to service needs (such as policy reforms or the better use of existing infrastructure) before you consider asset-based solutions.

APPROACH

When generating options, a three-step approach is useful:

1. For each of the potential initiatives identified, consider what activities would be needed to implement that initiative. This should include non-asset initiatives i.e. reform and better-use initiatives. Consider all enabling activities or underlying requirements e.g. legislative change to enable the initiative to progress, resources and capabilities.

2. Consider potential options from the broadest possible view, including those outside the agency's direct influence. For example, a future congestion issue could be addressed by an alternative travel mode solution, such as a new railway, by increasing economic development strategies in another region, or providing opportunities for working from home.

3. Consider how the potential initiatives might be packaged, for example:
   › a continuum of options that escalate in terms of complexity and resources required
   › a number of packages that combine multiple activities or strategies to respond to a particular aspect of the service need. For example, a transport option might seek to amend legislation to introduce a congestion tax while enhancing public transport; another option might focus on regional economic development to reduce commuting.

An example approach to developing options from the potential initiatives is presented in Table 5.

Table 5: Example approach for developing options

	INITIATIVE 1	INITIATIVE 2	INITIATIVE 3	INITIATIVE 4	INITIATIVE 5
	[Description]	[Description]	[Description]	[Description]	[Description]
Base case/ business-as-usual					
Option 1 [Description]					
Option 2 [Description]					
Option 3 [Description]					
Option 4 [Description]					
Option 5 [Description]					

This approach clearly outlines the link between the potential initiatives (identified earlier) and the options you developed, as well as indicating how the initiatives can be packaged to inform a single option.

OPTIONS LONGLIST

This section should outline the options longlist (developed from the potential initiatives), including:

» a detailed description of each option

» any identified service gaps related to the options

» outcomes and benefits to be achieved

» infrastructure and non-infrastructure requirements

» stakeholders affected or involved

» timeframe

» scalability

» constructability

» potential private sector investment opportunities

» potential adverse impacts (disbenefits) and risks.

An example summary of the options longlist is presented in Table 6: Example options summary.

Table 6: Example options summary

OPTION GENERATION SUMMARY		
Options long list	**Option category**	**Option description**
Option 1 [Description]	[SIP Category]	[Detailed description of option]
Option 2 [Description]	[SIP Category]	[Detailed description of option]
Option 3 [Description]	[SIP Category]	[Detailed description of option]
Option 4 [Description]	[SIP Category]	[Detailed description of option]
Option 5 [Description]	[SIP Category]	[Detailed description of option]

Outcomes

The reader should have a clear understanding of the longlist of options to address the service need and the implications of each.

To ensure decision-makers have a broad understanding of the options' features, a detailed description of each option should include:

» service capacity, level, hours and provider

» operating model

» impact on funding options

» generational considerations regarding funding, maintenance and future usability

» end-of-useful-life considerations

» asset management principles.

A9   Next steps

Purpose

This section of the Stage 1: Strategic Assessment focuses on the next steps to progress any recommendations arising from the Stage 1: Strategic Assessment.

Considerations

FUTURE ACTIVITIES

Further work may consist of a range of activities, including:

» developing **a project plan** to provide the decision-maker with high-level details of likely resource needs, timelines, costs, scope and quality requirements for Stage 2: Options Analysis (if recommended).

» undertaking a coordinated program of work to develop **a program business case** (complete with cost, benefits and risk information) to identify the optimum combination of initiatives to deliver the best value at the lowest cost. If this is the case, a Gate 0 (program Gateway) should also be considered.

Outcomes

This section should clearly explain the way forward to address any recommendations, including proceeding to a Stage 2: Options Analysis.

A10 Recommendation/s

Your recommendations should be clear and give detail of the actions you propose (studies, investigations etc.) and their cost. Any recommendations should capture the potential coordinating and oversight mechanisms for future documentation and analysis.

If the Stage 1: Strategic Assessment identifies opportunities for collaboration or cross-agency implementation, or if the root cause identifies that a problem or opportunity may belong to another agency, the recommendations should state where any future proposal may belong.

Where a proposal is considered to be of national significance, the recommendation should include making contact with Infrastructure Australia.

Recommendations must be included in the executive summary.

References

The completed Stage 1: Strategic Assessment should include a list of all references and sources of evidence to support the assessments completed.

Health check C

Before finalising the Stage 1: Strategic Assessment, complete the following checklist.

#	HAVE YOU COMPLETED THE FOLLOWING TASKS?	SECTION	COMPLETED
1	Outlined the approach to generating options	A8	☐
2	Documented options longlist	A8	☐
3	Identified and documented further work	A9	☐
4	Reviewed the strategic assessment to ensure: » it is complete » the information is reliable and reasonable » it is transparent » it clearly considers ownership » its assessments and documentation enable the Stage 1: Strategic Assessment to be compared to others	–	☐
5	Documented recommendations	Recommendations	☐
6	Prepared a submission for the decision-maker including a concise executive summary	–	☐
7	Developed a detailed plan and budget for a Stage 2: Options Analysis (if appropriate)	–	☐
8	Included all sources underpinning the Stage 1: Strategic Assessment in the reference list	References	☐
9	Updated and finalised the benefits register	Appendix 1	☐
10	Updated and finalised the risk register	Appendix 2	☐
11	Updated and finalised the initial stakeholder engagement plan	Appendix 3	☐

Appendix 1: Benefits register

Benefits identified during the development of a Stage 1: Strategic Assessment should be captured in a benefits register. An example of an initial benefits register is presented in Table 7. Initially the benefits register might only involve completed columns for:

» benefit description
» statement of problem or opportunity, or proposed initiative the benefit relates to
» related stakeholders
» potential beneficiaries
» possible measures
» relative importance.

At Stage 1: Strategic Assessment, the benefits register is used to ensure that strategic responses, business changes and potential initiatives address the benefits targeted, and enable stakeholders' needs to be incorporated in the initiative design. Refinement of the benefits register will be needed as you develop the Stage 2: Options Assessment and Stage 3: Detailed Business Case. Further information on refining benefits can be found in the Social Impact Evaluation Guide.

Table 7: Sample benefits register

| INITIAL BENEFITS REGISTER | | | | | |
Benefit description	Related to: (state problem/ opportunity statement or potential initiative)	Related stakeholder/s	Potential beneficiary	Possible measures	Relative importance

Appendix 2: Risk register

While developing a Stage 1: Strategic Assessment, risks should be captured in a risk register. An example of a risk register is presented in Table 8. Initially, the risk register might only include completed columns for:

» risk description

» trigger

» impact.

At Stage 1: Strategic Assessment, the risk register is used to identify and shape strategic responses, business changes, potential initiatives and options, and to identify stakeholders. Further details will be included in the risk register following the concept activities completed in the Stage 1: Strategic Assessment.

Table 8: Sample risk register

RISK REGISTER							
Risk category	**Risk description**	**Trigger**	**Impact**	**Likelihood**	**Consequence of risk**	**Risk rating**	**Control strategy**
	There is a risk that …	**… caused by …**	**… resulting in …**				
Delivery	There is a risk that construction is delayed	… caused by extended periods of rain	… resulting in an extended construction period which may impact on …	Likely	Major	High	Ensure the project schedule includes sufficient float to account for potential weather delay
Demand	There is a risk that local growth strategies may change under the newly elected local council	… caused by new local councillors having a stronger preference for urban containment	… resulting in lower traffic volumes and toll revenue	Possible	Moderate	Medium	Agency to keep in close and regular contact with council

Appendix 3: Initial stakeholder engagement plan

A stakeholder engagement plan should include details of the stakeholders' relevance to the service need and proposal, and those who should be considered in the development of Stage 1: Strategic Assessment.

Consider the methods and frequency with which stakeholders should be engaged. The stakeholder engagement plan should be a living document and should be adjusted throughout the development of the Stage 1: Strategic Assessment.

The Queensland Government recommends stakeholder engagement during Stage 1: Strategic Assessment.

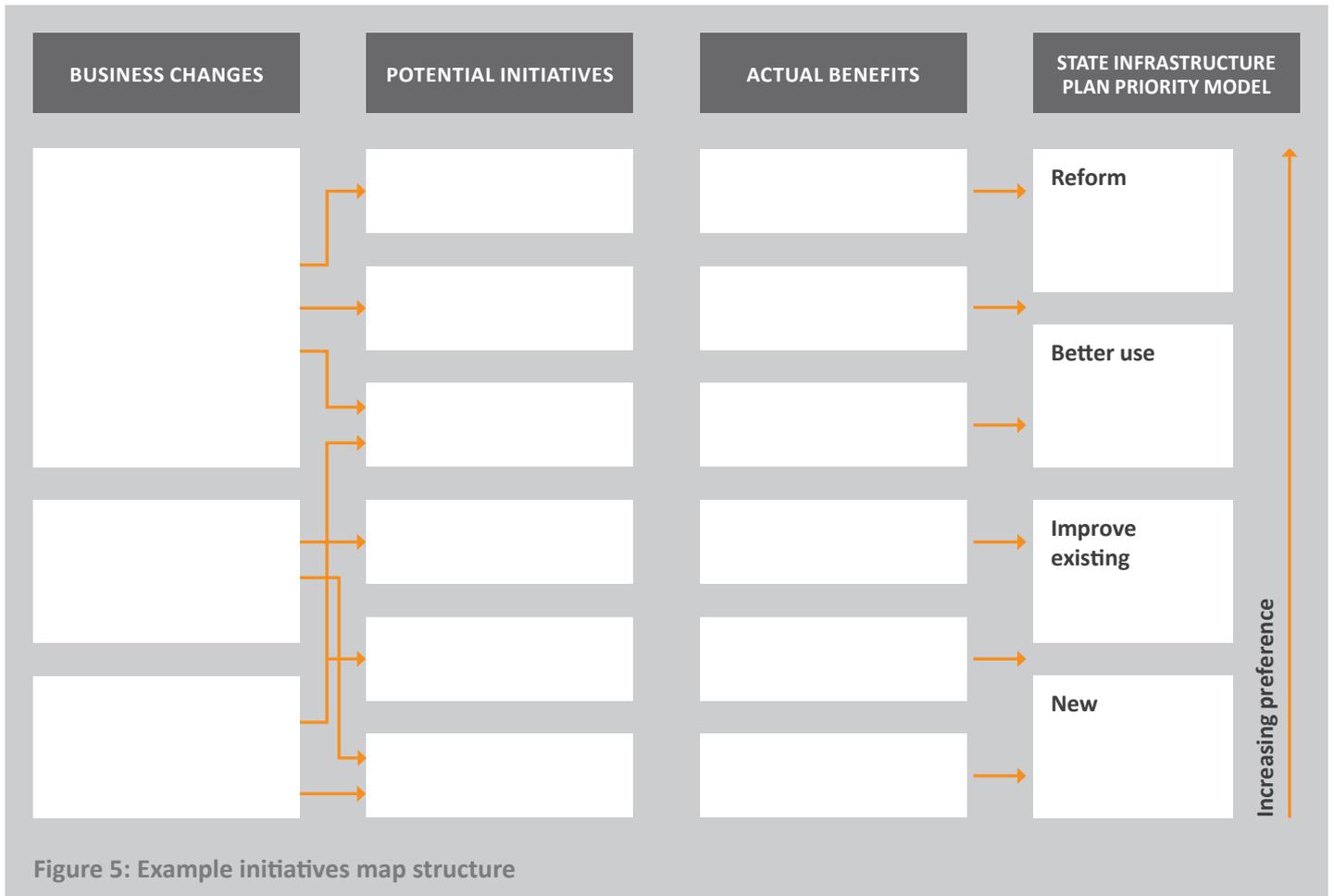At Stage 1: Strategic Assessment, the stakeholder engagement plan should include:

» stakeholder name or description
» extent of stakeholder interest and influence in the service need and potential initiative
» proposed mechanism for stakeholder engagement i.e. inform, consult or active participation
» risks of engaging (or not engaging) with each stakeholder group
» proposed strategies for managing stakeholder risks.

Table 9: Sample stakeholder engagement plan

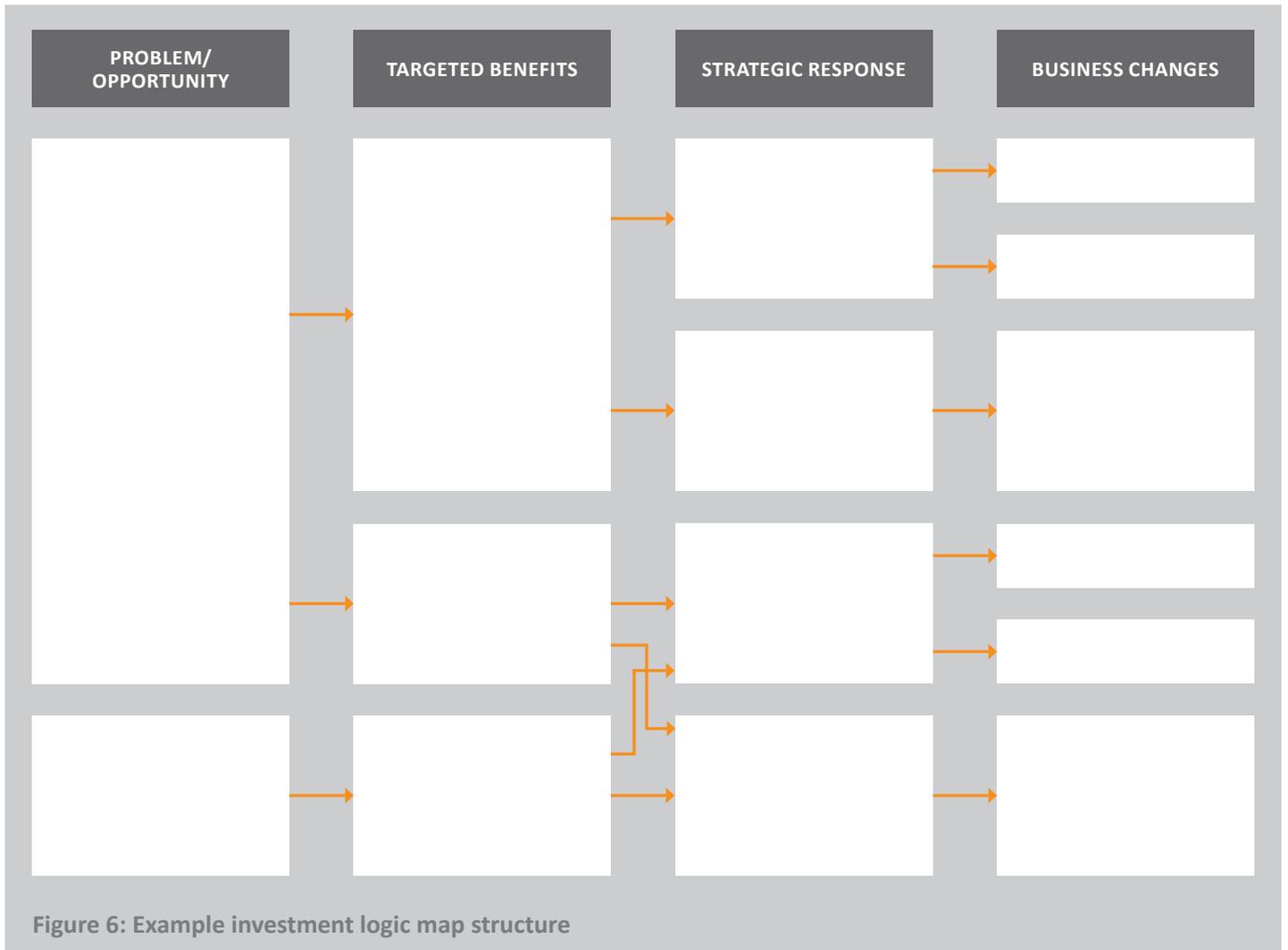| INITIAL STAKEHOLDER ENGAGEMENT PLAN					
Stakeholder name/description	Interest level (H,M,L)	Influence level (H,M,L)	Proposed mechanism and actions	Risks	Risk management strategies

EXAMPLE ONLY

Appendix 4: Initiatives map

If completed, the initiatives map should be attached to the Stage 1: Strategic Assessment. See Figure 5: Example initiatives map structure. Details of the requirements of these documents are in the Investment Logic Mapping Guide and Benefits Management Guide.

Figure 5: Example initiatives map structure

Appendix 5: Investment logic map

If completed, the investment logic map should be attached to the Stage 1: Strategic Assessment. See Figure 6: Example investment logic map structure. Details of the requirements of these documents are in the Investment Logic Mapping Guide and Benefits Management Guide.

Figure 6: Example investment logic map structure