

Introductory Guide to Infrastructure Investor Assurance Reviews



Acknowledgement of Country



Infrastructure NSW acknowledges the Traditional Custodians of the lands where we walk, work and live. We pay respect to their Elders past and present.

We acknowledge and respect their continuing connection to the land, seas and waterways of NSW, and the continuation of their cultural, spiritual and educational practices.

In preparing the workbook, we acknowledge the importance of Aboriginal and Torres Strait Islander peoples' unique history of land and water management, and of art, culture and society, that began more than 65,000 years ago.

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How to use this guide

This guide supports the Infrastructure Investor Assurance Framework (IIAF) and should be read prior to commencing an assurance review. For each Gateway review, Health Check, Optimisation review and Deep Dive, a workbook setting out the review scope is available on Infrastructure NSW's website. This guide and the workbooks support a consistent, structured approach to reviews. The workbooks define roles and responsibilities during reviews and assist Agencies and the review team to prepare.

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Introduction to assurance reviews

Agencies and expert reviewers should use this guide and Gateway workbooks to prepare and undertake assurance reviews as per the Infrastructure Investor Assurance Framework (IIAF). The roles and responsibilities of Infrastructure NSW and Agencies, in relation to assurance processes are set out in the [IIAF](#).

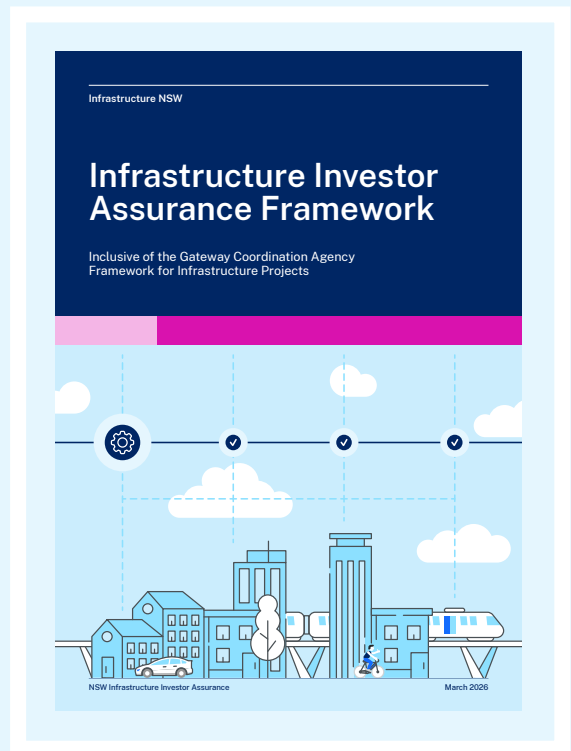
Assurance reviews are independent reviews conducted at key decision points, or gates, in the project’s lifecycle. They identify an independent level of confidence that can be provided to the NSW Government (through Cabinet) that projects are being effectively delivered on time, on budget and in line with government objectives.

Assurance reviews are one of the four elements of Infrastructure NSW’s risk-based assurance approach for all infrastructure projects and programs valued at or more than \$20 million. The risk-based approach relies on an understanding of an agency’s capability and capacity to develop and deliver infrastructure projects and programs.

Assurance reviews include Gateway reviews, Health checks, Optimisation reviews and Deep Dive reviews. Health checks assist in identifying issues which may emerge between decision points. Optimisation reviews and Deep Dives are conducted at any stage of a project’s lifecycle but focus on a few major issues affecting the successful delivery of the project.

The outcome of an assurance review is a review report that includes commentary to inform the NSW Government. The review report also includes a series of recommendations aimed at assisting the Agency to develop and deliver their projects and programs successfully.

Assurance reviews can consider an individual project or a program consisting of several projects (including sector specific and place-based). For the purposes of this guide, the use of the term ‘project’ also covers the grouping of projects into a program.



Part 1 | Assurance reviews rationale, behaviour and scope

1.1 Why do assurance reviews?

The NSW Government requires visibility across the government’s infrastructure projects and program and assurance that expected services and benefits will be delivered on time, to budget and in line with government policy.

Assurance reviews are not an audit nor do they replace an Agency’s internal governance.

Assurance reviews are constructive, leveraging the expertise and experience of an independent, expert review team.

The government expects project issues and risks to be transparent to Cabinet, with Agencies acting on and mitigating problems, before there is an impact on the community and stakeholder outcomes. The review report provides clear and actionable recommendations relevant to the project phase.

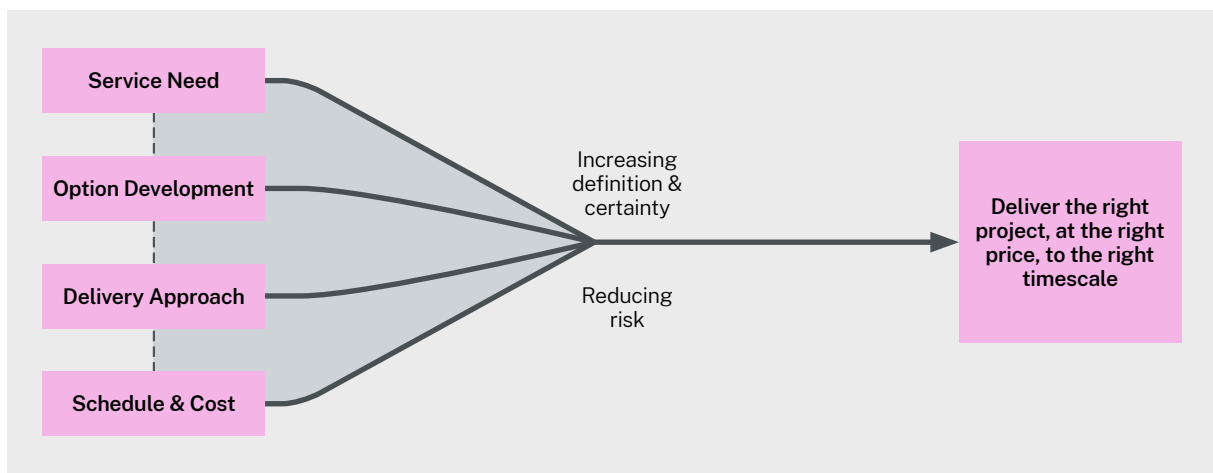
For projects approved to follow a Fast Track business case and assurance process,¹ fewer assurance reviews are required.

Every NSW Government agency should have its own governance structures and resources in place to undertake internal reviews and regularly track and report on its portfolio of projects.

Definition of scope over project development lifecycle

As projects progress through their lifecycle stages, there should be a strong convergence in the definition of scope, cost and time to deliver the desired outcome and objectives. Assurance reviews support a project through this process, using the key focus areas to ensure that economic and social impacts have been considered and stakeholder groups have been engaged in developing the optimum solution to address the service need or problem.

This can be illustrated as a funnel representing increasing development and delivery certainty in the project:

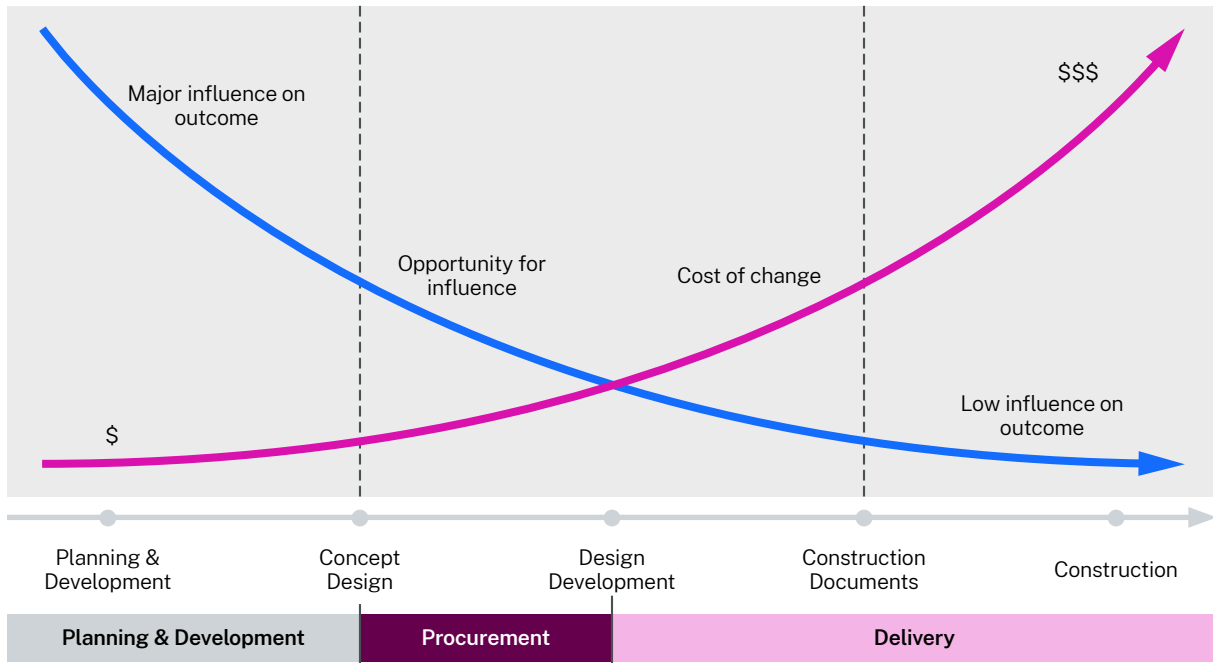


¹ Note, for the type of business case required refer to [TPG24-29 NSW Government Business Case Guidelines](#) and [TPG24-30 Fast Track business case and investment assurance for government commitments](#)

Project decisions over the project’s development

Assurance reviews recognise that scope changes have a greater impact on cost as the project progresses through its lifecycle. Robust decision-making and clarity of direction early in project development is important to successful project delivery. A lack of clarity and late decision-making will result in higher costs and greater uncertainty of outcomes.

Project and scope decisions



Optimism Bias

Optimism bias is the tendency to overestimate the likelihood of good events occurring and underestimating the likelihood of experiencing adverse events. Optimistic errors are an integral part of human nature, requiring conscious effort to manage and promote accuracy in project estimates and analysis. Practical steps for project teams to avoid optimism bias in project analysis include:

- using independent peer reviewers to verify that cost, demand and benefit estimates are realistic.
- undertaking risk workshops, with key stakeholders, and people with knowledge of the project and/or the potential risks. This includes involving the asset owner and operator to review assumptions and identified risks, the likelihood of the risk occurring and the impact if it should occur.

1.2 Assurance review process principles

- The review team members are selected for their skillset and as far as practicable to match to the project's type, needs, stage, scale and complexity.
- The workbook structure, terms of reference and review report template are followed by the review team.
- All parties focus on value-adding to the project.
- Review report commentary and recommendations are focused on practical issues and measurable outcomes.



Review team principles and behaviours

Throughout the review, the review team is expected to add real value to the development and delivery of the project by:

- being helpful and constructive in conducting the review and developing the review report
- being independent, with the review report's recommendations not directed or influenced by external parties
- ensuring no conflicts of interest – a conflict of interest declaration must be completed by the GCA review manager and each member of the review team prior to each review
- ensuring all discussions with interviewees and project teams are confidential and not attributable
- adhering to the terms of reference provided by the Gateway Coordination Agency (GCA)
- providing a review report that clearly highlights substantive issues, their causes and consequences
- providing specific and actionable recommendations.

Assurance reviews are not adversarial or a detailed assessment of management plans and project team deliverables. There are no informal aspects to reviews: protocols and communication rules must be maintained. Poor or disrespectful behaviour will not be tolerated.



What assurance reviews do not do

The reviews are intended to be confidential and constructive, providing an expert assessment of a project's status. Agencies should note that reviews **will not**:

- represent a government decision in relation to funding, planning, approvals or policy.
- make an enforceable recommendation to halt a project.
- quality check or provide direct detailed assessment of management plans and project team deliverables.
- provide a forum for stakeholders or other parties to inappropriately disrupt the direction or nature of a project.
- provide a detailed mark-up of management plans and specific project team deliverables.



Part 2 | Project lifecycle and assurance reviews

The diagram below outlines the typical Gates, along a project’s lifecycle stages where reviews can be conducted:

Project stage	Project phase	Gateway review	Key question	Review deliverable	Health checks
Initiation	Confirmation of service need	0 Go/no go	<ul style="list-style-type: none"> How has the project demonstrated that the service need is aligned to government policy? 	<ul style="list-style-type: none"> Evidence the problem & service need exists Registration on GCA reporting & assurance portal Completed gate 0 template or equivalent 	Development
Planning + development	Analysis of service need	1 Strategic options	<ul style="list-style-type: none"> How well has the project analysed a range of options to meet the service need and maximise benefits at optimal cost? 	<ul style="list-style-type: none"> Well defined service need Evidence of how the project scope meets the service need Options analysis Appropriate level of cost benefit analysis 	
		Progression	<ul style="list-style-type: none"> Does the project align to government priorities and is it deliverable. 	<ul style="list-style-type: none"> Evidence of alignment to government priority Well defined service need Does it represent value for money Deliverability 	
Procurement	Investment decision	2 Business case	<ul style="list-style-type: none"> How well has the project proven that the preferred option best meets the service need and maximises benefits at optimal cost? 	<ul style="list-style-type: none"> Full business case Detailed risk register Detailed cost plan Detailed cost benefit analysis Procurement and delivery strategy 	
		3 Readiness for market	<ul style="list-style-type: none"> How well has the project developed a procurement and delivery approach to realise the benefits outlined in the final business case? 	<ul style="list-style-type: none"> Clear scope definition Procurement documentation Procurement and commercial approach Evaluation strategy Probity plan 	
Procurement	Procure	4 Tender evaluation	<ul style="list-style-type: none"> Is a scope being procured that will deliver the benefits outlined in the final business case and is the project ready to proceed to delivery? 	<ul style="list-style-type: none"> Evaluation report Probity report Summary of departures and variations Evidence of delivery readiness and handover approach 	
		5 Readiness for service	<ul style="list-style-type: none"> How well has the project delivery team and asset owner and/or operator. Planned a handover that will ensure the benefits outlined in the final business case are achieved? 	<ul style="list-style-type: none"> Independent verifier reports confirming scope delivery Testing and commissioning documentation Operational readiness documentation Handover strategy 	
Delivery	Deliver & initial operations	5 Readiness for service	<ul style="list-style-type: none"> How well has the project delivery team and asset owner and/or operator. Planned a handover that will ensure the benefits outlined in the final business case are achieved? 	<ul style="list-style-type: none"> Independent verifier reports confirming scope delivery Testing and commissioning documentation Operational readiness documentation Handover strategy 	Delivery
Operation	Benefits management	6 Benefits management	<ul style="list-style-type: none"> How well have the benefits outlined in the final business case been managed and what lessons can be learnt from this? 	<ul style="list-style-type: none"> Evidence of operational performance Benefits management plan Record of lessons learnt 	

2.1 Key focus areas

At the conclusion of the review, the review team will rate the project against each of the key focus areas:*

Key Focus Area	General Description Applicable to Gateway
 Service Need	Identification of the problem or opportunity and the service need, along with the drivers for change. Demonstrated alignment to government policy or strategy and evidence of demand for the potential new services or enhancements.
 Value for Money and Affordability	Ensure value is delivered by maximising benefits at optimal cost. Evidenced by a clearly defined scope, a cost-benefit analysis and a robust cost plan to an appropriate level of detail for the lifecycle stage of the project. Value for money approach to allocating and sharing of risk. The whole-of-life capital and operational cost impacts have been considered.
 Social and Environmental Sustainability	The project will be successfully delivered while managing long-term social and environmental impacts, opportunities and obligations created. These should consider socio-economic equity, impacts on outcomes for First Nations people or communities, resilience to climate change, effective place making, asset adaptability (including technological change), heritage, biodiversity, whole-life carbon emissions, and the robustness of the project's planning approvals processes.
 Interdependencies and Interfaces	Effective identification and management of project interdependencies and interfaces with existing and planned infrastructure, systems and asset networks. Consideration of the technical (including digital) and organisational systems to ensure the project will effectively support the performance of the wider network.
 Governance, Decision-Making and Culture	The project and program governance is robust. Clear accountabilities, responsibilities, decision-making and approval processes exist, and are transparent, timely, appropriate and understood. Regulatory approvals (e.g. safety/industry approvals) and frameworks relevant to the project are accounted for. The senior responsible officer and project team have the culture and capability required to achieve project outcomes and realise benefits.
 Risk Management	Identification and active management of risks and opportunities using a structured and formal methodology.
 Stakeholder Management	Identification and proactive management of stakeholders (both internal and external to government) using a robust framework appropriate to the stage in the project lifecycle.
 Asset Owner's Needs and Change Management	Proactive assessment of the handover impacts through the lifecycle of the project. Demonstration of how the needs, responsibilities and readiness of the asset owner have been addressed to support asset handover and operations. Demonstrated consideration of issues and risks pertaining to the asset manager, operator and changes for end-users. <i>Change Management is split as a separate KFA for Gate 5.</i>

Note: the GCA manager retains the right to decide, outlining it in the terms of reference, which key focus areas are primary, and which may be secondary (i.e., less relevant) for the review.

The Gateway review process aligns with and acknowledges projects must comply with current NSW Government policy and strategies. A list of applicable policies is available at **Appendix 1**.

* Infrastructure Portfolio Health Checks and Deep Dive reviews are not rated on these key focus areas. Please refer to their respective workbooks.

2.2 Review ratings

The review team will assign the project an overall confidence rating. The workbooks contain the ratings relevant to that assurance review.

Example ratings from the Deep Dive workbook are as follows:

Overall rating	
Confidence level that the project is being effectively developed and delivered in accordance with the Government’s objectives	
High	For this stage of the project, the review team is confident that successful development/delivery of the project to a clear purpose, scope, time estimate, cost estimate and benefits appears likely and there are no unmitigated risks that threaten successful delivery.
Medium	<p>The review team is confident that successful delivery of the project to a clear purpose, approved time estimate, cost estimate and benefits is feasible but moderate risk exists which requires timely management attention. There is evidence that the project team is able to address these risks and has appropriate support.</p> <p><i>The review team is confident that successful development of the project is feasible but would benefit from improvements in justification of the purpose, options analysis, time estimate or cost estimate.</i></p>
Stressed	<p>The review team lacks confidence that successful delivery of the project to approved scope, time estimate, cost estimate or benefits is feasible. Major risks are placing significant stress on the project. The project team requires urgent senior executive support.</p> <p><i>The review team lacks confidence in the successful development of the project. There is insufficient evidence to demonstrate a robust options analysis, time estimate or cost estimate suitable to this stage of the project. Purpose and benefits are underdeveloped or not clear. The project’s development requires urgent senior executive attention.</i></p>
Low	At this stage of the project, the review team has no confidence that successful development/delivery of the project to a well justified purpose, clear scope, time estimate or controlled cost is achievable. There is evidence that the future viability of the project is in doubt and it requires urgent senior executive attention.

Note: Blue text is applied to projects and programs in the development stage (within Gate 1 and Gate 2).

For Gateway and Health Check reviews, the review team will also rate each of the key focus areas:

Key focus area rating	
How the key focus area been addressed and what risk does it pose to project development and delivery confidence	
Strong	There are no major outstanding issues that appear to threaten benefit realisation, risk management and project scope definition.
Acceptable	There are issues that can be addressed and are manageable, however require timely management attention.
Weak	There are significant issues that may jeopardise the successful delivery of the project.

2.3 Recommendation ratings




For all assurance reviews, recommendations made by the review team will receive a rating, indicating level of urgency for the project:

Recommendation rating	
Each recommendation of the review team is rated according to its urgency and criticality	
Recommended (Do)	The recommendation should be assessed by the project team for its potential to enhance the project and appropriate action should be taken.
Essential (Do By)	The recommendation is important but not urgent. The senior responsible officer (SRO) should take action before further key decisions are taken.
Critical (Do Now)	This item is critical and urgent. The SRO should take action immediately. It means “fix the key problems fast, not stop the project.”

Application of review success factors

The review success factors are an evaluation criterion that assesses on scope, risk and benefits as vital indicators of project health at major milestone points or critical junctures according to the relative assurance review pathway.

The three success factors are within each key focus area across all assurance reviews.

	Increasing Scope Confidence	<ul style="list-style-type: none"> • Well defined service need. • Value-for-money approach in developing an evidence-based solution. • Increasing clarity and detail in defining the solution. • Increasing understanding and clarity within the Agency of how to deliver the solution.
	Managing Risk	<ul style="list-style-type: none"> • Increasingly granular and effective identification of risk. • Assessment, prioritisation and planned mitigation of uncertain events that could adversely affect the achievement of the project objectives.
	Realising Benefits	<ul style="list-style-type: none"> • Increasing definition of the project objectives and benefits. • Linking of those benefits to the service need. • Embedding an end-to-end process to ensure that the benefits and objectives of the investment are realised.

The success factors for each key focus area at each review connect through from the workbook to the review report. The success factors contribute to each key focus area rating and the overall review confidence rating for the project. They provide a structure for review teams to examine the information presented and offer a balanced account through the reporting process.

Part 3 | Initiating and preparing for an assurance review

This section assists Agencies to prepare for an assurance review, including collating documentation and preparing for the project briefing and interviews.

3.1 Assurance review documents

The Agency is responsible for initiating an assurance review at the appropriate time. Agencies should seek authorisation from the agency's governance structure and the assurance review should be led by the Agency's SRO.

Review teams require evidence that work has been completed, but documentation should not be created solely for a review. It is intended that Agencies **use existing project documentation**.

Mandatory documents

Each workbook outlines the information that Agencies are to provide to support the review. This will be specified in the "requirements" section.

For example, the mandatory documents required at Gate 1 include:

- Project presentation providing an executive overview of the project.
- Document outlining the completed options analysis.
- Document presenting the option(s) that are to be taken through to full business case.
- Document outlining the cost to develop a full business case (including cost of design, stakeholder engagement and proposed technical studies informing the full business case).
- Cost-benefit analysis with benefit-cost ratio (BCR) and net present value (NPV) of the options taken to full business case.

Templates to be completed

Before the review, the Agency must complete and submit the following templates to the GCA manager at least 14 days before the review planning day.

Each of these templates is available with other review documentation on the Infrastructure NSW website.

- 1 Project briefing agenda.
- 2 Interview schedule.
- 3 Interviewee list.
- 4 Document register.
- 5 Document mapping template.

The Document mapping template aligns specific documents to the review key focus areas and terms of reference. This enables the review team to quickly identify information relevant to the review scope. The project team should minimise the number of documents provided to the review team and ensure all documents are relevant to the review scope.

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Gate 1 Strategic Options briefing agenda Infrastructure NSW

[project]
(date and location)

Briefing agenda

Review team members: (names of review team member(s))
GCA review manager: (name of GCA review manager)

TIME	FOCUS	REPRESENTATIVE
8:45 - 9:00	Review team discussion	Review team only
9:00 - 9:30	Briefing introduction	GCA review manager
9:30 - 9:30	Introduction of the project or program Problem identification Fit with NSW Government policy or program	Senior responsible officer (SRO)
9:30 - 10:30	Overview of the location and asset form	Project director
10:30 - 11:15	Site visit (if requested by GCA)	ALL
11:15 - 11:30	BREAK	ALL
11:30 - 13:00	Summary overview of how each of the key focus areas have been addressed: <ul style="list-style-type: none"> Service need Value for money and affordability Social and environmental sustainability Interdependencies and interfaces Governance, decision making and culture Risk management Stakeholder management Asset owner's needs and change management 	Project team
13:00 - 13:15	BREAK	ALL
13:15 - 13:45	Discussion of interview schedule and terms of reference	Project director
13:45 - 14:00	Review team discussion	Review team only

CONTACT DETAILS:
(name of agency contact for day)
(mobile number and email of agency contact)

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Gate 1 Strategic Options interview schedule Infrastructure NSW

[project]
(date and location)

Interview schedule

(DAY AND DATE) (DAY)

TIME	NAME AND POSITION OF PRESENTER	DETAILS	KEY FOCUS AREA
9:00 - 10:00	Senior responsible officer (SRO) Deputy secretary / GM planning Deputy secretary / GM operations	<ul style="list-style-type: none"> Identified need and problem being solved Assessment of alternatives to meet the need Delivery agency executive endorsement Benefits of the project for the delivery agency and stakeholders 	ALL
10:00 - 10:45	Project director Architect Design Manager	<ul style="list-style-type: none"> Asset design and scope overview How the asset fits in with its network / place making Overview of options 	Service need
10:45 - 12:45	Project director BCR analyst Quantity surveyor (cost planner) Treasury representative	<ul style="list-style-type: none"> Economic appraisal Financial analysis of options Cost-benefit analysis- quantitative and qualitative Source of funds 	Value for money and affordability
12:45 - 13:15	LUNCH BREAK		
13:15 - 15:00	Planning approvals Network manager Operator representative	<ul style="list-style-type: none"> Whole-of-life costs sustainability Planning approval progress Environmental impacts Place making and system/network integration 	Social and environmental sustainability
15:00 - 15:45	Project director Network manager	<ul style="list-style-type: none"> Project interdependencies and interfaces associated with strategic options 	Interfaces and interdependencies
15:45 - 17:00	Review team discussion and report planning		

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Gate 1 Strategic Options interviewee list Infrastructure NSW

[project]

Interviewee list

PERSON	ORGANISATION	ROLE	EMAIL / PHONE

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Gate 1 Strategic Options document register Infrastructure NSW

[project]

Document register

DOCUMENT NAME	DATE	CONTEXT / PURPOSE

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Document mapping Infrastructure NSW

Document mapping

AGENCY TO COMPLETE

PROJECT NAME	(type project name here)		
REVIEW TYPE	(select review type from dropdown)	BRIEFING DATE	(select briefing day date from dropdown)

There are 2 parts to this form:

- Part 1 - Key focus areas
- Part 2 - Additional terms of reference (ToR) questions.

To prioritise its work, the review team needs access to the most appropriate, accurate and up to date documentation relating to the project. These documents must address the key focus areas of the review, together with any specific issues raised by the ToR. The documents included below must be listed by relevance to the key focus area. If undertaking a Deep Dive review note that only the additional ToR questions will apply.

PART ONE	
KEY FOCUS AREA	DOCUMENT NAME / DATE OR VERSION (INCLUDE PAGE NUMBER(S) / SECTION)
Service Need	
Value For Money and Affordability	
Social and Environmental Sustainability	
Interdependencies and Interfaces	

NSW Infrastructure Investor Assurance | Document mapping Version Feb 26

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3.2 Initiating an assurance review

To initiate the review, the Agency and the relevant GCA manager will first agree on the time and scope of the review.

On initiation of the review, the GCA will draft the terms of reference and appoint the review team. The Agency uses this time to collate project documentation and coordinate interviewees. The review starts with the release of the project documents to the review team. This is followed by the project briefing (often including a site visit), and interviews.

The Agency and GCA manager will discuss and agree:

- dates for the project briefing and interview day(s)
- any urgency in the completion of the review report
- any issues to be covered in the terms of reference
- any nominations for review team members (which may or may not be agreed by the GCA).

The Agency project team must complete conflict of interest declarations for each member of the intended review team.

3.3 Terms of reference for the review

The GCA will determine the terms of reference for the review in consultation with the agency (and with Infrastructure Australia if a joint review) and provide them to the review team prior to the start of the review. The terms of reference provide the review team with important project-specific information and identify aspects of the project that the GCA and/or Agency see as issues.

The terms of reference should be used in conjunction with the appropriate review workbook and together form the review scope. The GCA manager may outline in the terms of reference if any key focus areas are less, or not relevant for the review.

Agencies should provide sufficient evidence and schedule appropriate interviewees to address the review scope.

3.4 Project briefing agenda

The project briefing is held approximately one week after the release of the review documentation to the review team.

A project briefing agenda template is included in the review suite of documents. This template is only provided as guidance and the Agency may change the agenda as appropriate

The Agency prepares the project briefing agenda and provides it to the GCA. The Agency organises the venue and issues diary invitations. The project briefing should include a site visit if useful to the review or if requested by the GCA or review team lead.

3.5 Participation and interviews

The Agency prepares an interview schedule and provides it to the GCA manager and the review team for comment. The review team has discretion over the final list of interviewees and can request additional interviewees, which the agency must then arrange. The interviewees nominated should be appropriate to cover each of the key focus areas and the terms of reference.

The Agency must complete an interviewee list for the review team and for inclusion in the review report. The interviewee list and schedule templates are included in the suite of documents.

Typically, interviewees will include:

- senior responsible officer (SRO)
- senior agency representatives responsible for infrastructure planning and prioritisation
- project manager/director
- project team members
- representatives of the intended operator and operations team
- dispute avoidance board members
- NSW Treasury representatives familiar with the project
- stakeholders from other agencies or user groups.

An interviewee information sheet is available with supporting documentation provided by the GCA or on the Infrastructure NSW website and it may be useful for the agency to provide this to interviewees unfamiliar with the review process.

Roles within an assurance review

The typical roles within a Gateway review are outlined below:

Role	Description
Gateway Coordination Agency (GCA)	The agency identified in the NSW Gateway Policy as responsible for the Gateway review processes, procedures, advice and reporting for either infrastructure, recurrent or ICT projects. The Gateway Coordination Agency (GCA) administers the Gateway review process for the nominated asset type (infrastructure, ICT or recurrent). The Head of Investor Assurance within the GCA ensures systems, processes and resources are in place to facilitate successful Gateway review processes and outcomes. The GCA is responsible for providing reports, briefings and commentary to the NSW Cabinet on the outcomes of Gateway reviews.
GCA manager	The senior GCA representative responsible for guiding the implementation of the Gateway review. The GCA manager has Cabinet level reporting responsibilities for project assurance. The GCA review manager directs and manages the process of the Review, but does not participate in the Review itself.
Agency head	The Secretary or CEO of the Agency responsible for the project.

Role	Description
Senior responsible officer (SRO)	The Agency's nominated senior executive with strategic responsibility and the single point of overall accountability for a project. The SRO may come from within the 'sponsor', 'deliverer' or 'asset manager/owner or operator's organisation. The SRO receives the review report from the GCA for action, is debriefed by the review team leader and the GCA manager following the review. The SRO may also be referred to as the project sponsor. SROs are not to contact the review team outside the protocols set by the GCA, including following the review.
Agency's project director	The Agency's nominated project director arranges access to the relevant project documentation and drafts the interview schedule for the review team. The project director takes an active part in the Gateway review interviews and assists in responding to the GCA manager and review team requests. The project director must ensure they and their team do not initiate contact with the review team outside the protocols of the review. There is no 'informal' communication permitted.
Review team leader (RTL)	<p>The review team leader (RTL) is appointed by the GCA manager and leads the independent review team for the review. The RTL acts as chair for the project briefing and interview days and has primary responsibility for delivering a high quality, consolidated review report using the appropriate template.</p> <p>The RTL acts as the point of contact between the review team and the GCA manager. If agreed by the GCA manager, the RTL may act as the liaison between the review team and the Agency's SRO and/or project director, however, this only extends to logistics to organise reviews or clarify review team requirements. There is no 'informal' aspect to reviews and specifics of the review report commentary or recommendations are not to be discussed outside the protocols set by the GCA, including with Agency heads or SROs. The RTL provides the debrief to the GCA and the Agency's SRO on behalf of the review team.</p>
Review team member	Provides the benefit of their independent and specialist expertise and advice in the review of the project, focusing on issues appropriate to the project's lifecycle stage and the level of development and delivery confidence. Each review team member participates in the project briefing and interviews and contributes to the review report and recommendations.
Sponsor Agency	The Agency which secures the funding, owns the business case, is responsible for specifying the asset requirements, ensures the project remains strategically aligned and viable and ensures benefits are on track.
Stakeholder	Organisations, groups or individuals, either internal or external to government, that are impacted by the project and may be interviewed at the discretion of the review team leader.

3.6 Initiating an optimisation review

When a project receives a 'Stressed' or 'Low' confidence rating in an assurance review, the Agency has up to 12 weeks to address the critical recommendations. If the agency successfully addresses the critical recommendations, the project progresses to the next review determined by the project assurance pathway.

If not, or if the agency or Cabinet chooses to self-nominate earlier, the project enters the Optimisation path. This involves working with the key stakeholders to develop a targeted optimisation plan to address time, scope, or funding challenges. See **Appendix 2** for a flow chart detailing the review process.

The optimisation plan can be submitted to Cabinet for decision if required. Infrastructure NSW will coordinate with other agencies to manage conflicts of interest.

Part 4 | Conducting a review

4.1 Assurance review

An assurance review is conducted through an examination of the project documentation provided and interviews with project team members and stakeholders. The Gateway and Health Check reviews are structured around the key focus areas and is informed by the terms of reference.

Typically, an assurance review includes:

- project documentation released to the review team
- project briefing and site visit hosted by the Agency and attended by the SRO and the GCA manager
- interview day(s) hosted by the Agency
- review report drafted by the review team for the GCA
- review debrief with the SRO organised by the Agency and attended by the review team leader and the GCA manager
- finalisation of the review report by the GCA and issue to the Agency.

4.2 Conducting a review

Gateway reviews for Gates 1 to 5 follow the same format; the indicative steps and timeframes are shown in the table below.

For joint State-Australian Government assurance reviews, Infrastructure Australia and the Department of Infrastructure, Transport, Regional Development, Communication and the Arts will provide input into the terms of reference and will provide representation at the project briefing and review debrief. For more information on joint State-Australian Government reviews please refer to the IIAF.

Step	Activity	
1	Project approaches milestone, Agency checks readiness for Gateway review and contacts the GCA.	Planning
2	GCA manager and the Agency confirm the review dates.	
3	GCA manager confirms and appoints reviewers.	
4	GCA manager prepares the terms of reference in discussion with the Agency.	
5	Agency completes the required templates and provides them to the GCA manager.	
6	Agency uploads review documents to review data room.	
7	Review documents are released to the review team.	Week 1
8	Project briefing (review planning day) including site visit hosted by the Agency.	Weeks 2-3
9	Review days (hosted by the Agency – up to 3 days if required). <ul style="list-style-type: none"> • Day 1 – Interviews. • Day 2 & 3 – Interviews/report preparation. The time required should be agreed in discussion between the GCA review manager, Agency and the review team leader.	
10	Review debrief (usually attended by the GCA) to the senior responsible officer (SRO).	
11	Review team drafts the review report and provides it to the GCA.	Week 4
12	Draft review report is provided to the Agency for fact check and responses to the recommendations.	Week 5
13	Fact checked report and responses to the recommendations sent to the GCA by the Agency.	
14	Report incorporating responses to recommendations finalised by the GCA.	Post Review
15	Post review survey sent out to Agency, review team members and GCA review manager.	
16	Close-out Plan issued to Agency by the GCA.	

4.3 Independent Gateway review team

For each Gateway review the GCA manager selects the Gateway review team members (typically 3 members), from the GCA's established Expert Reviewer Panel. One of the review team members will be assigned by the GCA as the review team leader.



Each member of a review team must be independent of the project. Reviewers must immediately inform the GCA of any potential or current conflict of interest that arises prior to or during the review. The reviewer's participation in the review may preclude them, and their organisation, from participating in the project in any other capacity. For all Tier 1 projects, members must be industry experts and independent of the NSW Government (i.e. not currently employed by the NSW Government).

The GCA appoints a review team with the mix of skills and expertise to allow the review team to expertly address each of the key focus areas, as relevant to the project stage and the nature of the project. Each member is expected to contribute within their area of expertise, work collaboratively with their review team colleagues and take responsibility for producing a high-quality, well written review report using the appropriate template.

4.4 Review communication protocols

There is no 'informal' aspect to assurance reviews. Review team members do not provide any briefings or discuss the review outside the review team without the permission of the GCA.

Topic	Details
Report confidentiality	<ul style="list-style-type: none"> Review reports are primarily for the consideration and noting of the NSW Cabinet to assist them in making key decisions about the project or to take action as required. All review reports are marked "OFFICIAL: Sensitive – NSW Cabinet" and are submitted to Cabinet. All participants must keep all information, including documentation, confidential at all times. Review team members must not directly contact the Agency or stakeholders without the permission of the GCA manager.
Report distribution	<ul style="list-style-type: none"> Review team members must not distribute copies of any versions of review reports directly to Agencies, project teams or any other party. The review team leader sends the final draft of the review report to the GCA for review and distribution. There is no 'informal' element to a review or the review report, and action will be taken if a review report is distributed without permission of the GCA. The review team may not keep any copies of any version of the review report, or supporting documents, following submission to the GCA.

Topic	Details
Review debrief	<ul style="list-style-type: none"> • The GCA manager and the review team leader will agree on the process and timing to conduct a review debrief with the Agency following the development of the review report. The GCA manager will approve the agency representatives that attend the debrief and may attend the debrief. • There is no ‘informal’ element to reviews. A debrief to the SRO or any agency executive must not occur without the approval of the GCA representative.
Report format	<ul style="list-style-type: none"> • All review reports must include a document control table. • All review reports must include a list of people interviewed by the review team. • All versions of reports issued by the review team to the GCA are to be in Microsoft Word .docx format. • The final review report issued to the Agency SRO is to be watermarked as ‘FINAL’ and issued in PDF.
Report transmittal	<ul style="list-style-type: none"> • The GCA is required to keep a record of all parties, noting the review report version, to whom reports are issued. • All participants should minimise the use of hard copies of Agency documents and must not keep documents in any form following the review.

Part 5 | Assurance review reports

The primary output of the review is a high-quality written report which is to inform the NSW Cabinet of project status and issues, with recommendations so appropriate action can be taken.

The report follows the relevant assurance review report template and incorporates an executive summary, commentary on each of the key focus areas, review ratings, actionable recommendations, and observations of good practice or areas for opportunity. The review report will also cover other matters identified in the terms of reference.

The review team provides a rating of how well the project team has addressed each key focus area and an overall rating of the level of confidence in the project's development or delivery.

The results of each assurance review are presented in a structured review report that provides a snapshot of the project's progress and status for the purpose of informing Cabinet and advising through the recommendations made of how to strengthen project performance and mitigate risks.

The review report, once finalised by the GCA, is provided to the NSW Cabinet. The Agency is expected to act on the report's recommendations, within the proposed timeframes.

5.1 Draft and final review report

The GCA will issue the Agency SRO or project director with a copy of the draft review report that has been prepared by the review team.

The Agency then 'fact checks' the report and provides marked-up corrections of any factual issues in the commentary. This does not extend to challenging or rewriting review team observations, professional opinions or recommendations.

The Agency also provides responses to the recommendations made in the draft report in the table provided.

Note the 'next review' recommended in the report is the view of the review team only.

Agencies should confirm with the GCA manager the type and timing of the next assurance review.

Once the fact check and response to recommendations is complete, the report is then sent by the Agency to the GCA for finalisation. The report only becomes final once the GCA has reviewed and approved the report. The GCA will send a copy of the final report to the SRO and it will be included in assurance Cabinet reporting.

Report distribution

The table below notes the protocols for sharing assurance review reports.

Report Distribution	<ul style="list-style-type: none"> • Review reports are Cabinet documents. • Review team members must not distribute copies of any versions of review reports directly to Agencies, project teams or any other party. • The review team leader sends the draft review report to the GCA for distribution. • The review report must not be distributed outside of the responsible Agency until the report is finalised, including agency responses to the review recommendations. • Copies of final review reports (including agency responses to the review recommendations) are only distributed by the GCA in accordance with the protocols outlined in the IIAF. • The final review report must not be distributed to any other parties unless directed by the Agency head or delegate of the GCA. No report may be distributed outside the NSW Government, unless permission is explicitly granted by the Chief Executive of Infrastructure NSW or the Federal Government for federally funded projects. • The Agency head or delegate may distribute the final review report at their discretion, having regard to the confidential nature of the report –but this does not include outside the NSW Government.
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5.2 Key theme assessment

Infrastructure NSW is required to prepare a report each year on key themes emerging across all reviews. This relies on an analysis of the review recommendations categorised according to twenty key themes.

As part of the review report, review teams are requested to assign one of the key themes to each recommendation made. The table in Appendix 3 – ‘Analysis of reviews – Alignment of Key Focus Areas and Themes’ lists each theme alongside relevant considerations for best practice project development and delivery.

5.3 Close-out plans

Close-out plans form part of the final assurance review reports and require the Agency to prepare responses to any recommendations made.

The Close-out plans plan details specific actions, timelines and accountabilities that respond to the assurance review recommendations.

Agencies are required to update Close-out plans each reporting period. Infrastructure NSW will:

- monitor the progress towards closing out these actions and recommendations
- determine the status of an Agency’s progress against a recommendation; including whether it has been closed
- report on this activity to the Assurance Governance Committee and Cabinet where ‘critical’ and ‘essential’ recommendations are not being addressed and where recommendations are closed.

Post-review surveys

After each assurance review, 360-degree feedback is obtained by means of a series of surveys. These surveys are sent to stakeholders and participants of the assurance review, the review team, the agency and the GCA manager with the aim of identifying areas where improvements can be made to the review process. Infrastructure NSW also uses the feedback to make improvements to the Assurance process and manage the performance of the Expert Reviewer Panel.

5.4 The NSW Assurance Portal

The NSW Assurance Portal (the Portal) provides the NSW Government with a statewide online environment to securely manage assurance information and activities for projects that meet the threshold of the IIAF and the Recurrent Expenditure Assurance Framework (REAF) as part of the NSW Gateway Policy.

The Portal enables Infrastructure NSW, NSW Treasury and the government agencies to actively and efficiently manage project registrations (including risk profiling and risk review assessment), capture review information and provide enhanced data collection for infrastructure project/program and portfolio reporting to Cabinet.

The Portal also captures expert reviewer information to assist with the selection of expert reviewers for Gateway, Health Check and Deep Dive reviews.

Glossary

Term	Definition
Agency	The Government delivery agency (also the accountable agency) tasked with developing and/or delivering a project at its stage in its lifecycle applicable under the Infrastructure Investor Assurance Framework (IIAF) and the NSW Gateway Policy.
Assurance review	Refers to Gateway, Health Check, Deep Dive, Optimisation reviews and Infrastructure Portfolio Health Check reviews.
Business case	Document that supports decision-making and public accountability. It provides information about a problem, case for change, project viability and deliverability.
Close-out plan	Document outlining actions, responsibilities, accountabilities and timeframes that respond to recommendations identified in Gateway, Health Check and Deep Dive final review reports.
Deep Dive reviews	Deep Dives reviews are similar to a Health Check but focus on a particular technical issue informed by the terms of reference rather than the key focus areas considered at a Health Check. These reviews are generally undertaken in response to issues being raised by key stakeholders to the project or at the direction of the relevant Government Minister.
Agency's project director	The Agency's nominated project director arranges access to the relevant project documentation and drafts the interview schedule for the review team. The project director takes an active part in the Gateway review interviews and assists in responding to the GCA manager and review team requests.
Equipment	The necessary assets used on or to support an infrastructure system and can include fleet and rolling stock.
Estimated total cost (ETC)	The total cost of a project or program from inception (strategic planning, preliminary business case) to completion of all project development (full business case), procurement and physical delivery of works, including design, consulting and construction contract award values and internal capitalised costs to government. Does not include operational costs.
Expert Reviewer Panel	Panel comprising independent highly qualified Expert Reviewers established to cover all aspects of Gateway review needs.
Gate	Particular decision point(s) in a project/program's lifecycle when a Gateway review may be undertaken.
Gateway Coordination Agency (GCA)	The agency responsible for the design and administration of an approved, risk-based model for the assessment of projects/programs, the coordination of the assurance reviews and the reporting of performance of the Gateway review process.

Term	Definition
Gateway policy	The NSW Gateway Policy sets out the key points along the project lifecycle important for providing confidence to the NSW Government that projects are being delivered to time, cost and in-line with government objectives.
Gateway review	<p>An assurance review of a project/program by the review team at a specific key decision point (gate) in the project/program's lifecycle.</p> <p>A Gateway review is a short, focused, independent expert appraisal of the project that highlights risks and issues, which if not addressed may threaten successful delivery. It provides a view of the current progress of a project and assurance that it can proceed successfully to the next stage if any critical recommendations are addressed.</p>
Gateway manager	The Gateway manager guides the implementation of the Gateway, Health Check or Deep Dive review. The manager facilitates the review, provides guidance to the review team and issues the terms of reference, but does not participate in the agency interview stage of the review.
Gate 1 Progression Assessment	Occurs after the strategic options Gate 1 review for Tier 1 and 2 projects without clear government commitment to determine whether the agency should progress to developing a business case to support an investment decision.
Health Check	An assurance review carried out by the review team seeking to identify issues in a project/program which may arise between Gateway reviews.
Infrastructure	The basic physical facilities, structure and built assets that support society and government services to enable, sustain or enhance societal living. This can include water, wastewater, transport, sport and culture, power, justice, health, education and community services.
Infrastructure Investor	The NSW Government, representing the State of NSW.
IIAF	Infrastructure Investor Assurance Framework.
Infrastructure NSW assurance team	The dedicated team within Infrastructure NSW responsible for implementing and administering the IIAF including organising assurance reviews.
Infrastructure projects and programs	A project is a discrete time-bound set of works delivering defined outcomes. A program is a co-ordinated grouping of related projects delivering broader outcomes.
Key focus area	A specific area of investigation that factors in assurance review deliberations.

Term	Definition
NSW Assurance Portal	Online portal administered by the GCA for the management of IIAF functions.
Optimisation review	An Optimisation review is a targeted assurance process bringing together stakeholders and experts to develop an Optimisation plan that addresses the project's challenges in scope, time, or funding. This plan is then submitted to Cabinet, which decides whether the project should continue, change direction, or stop. The Optimisation review helps ensure that struggling projects have a clear path forward or are appropriately managed to protect government investment and outcomes.
Project Evaluation Committee	Committee which meets periodically to make recommendations for Fast Track project applications, Gate 0 and Gate 1 Progression Assessments for consideration by Cabinet.
Project team	The Agency's assigned group with responsibility for managing the project through the Gateway review.
Project tier	Tier-based classification of project profile and risk potential based on the project's estimated total cost and qualitative risk profile criteria (level of government priority, interface complexity, procurement complexity, agency capability and whether it is deemed as an essential service). The project tier classification is comprised of four project tiers, where Tier 1 encompasses projects deemed as being the highest risk and profile (Tier 1 –High Profile/ High Risk projects), and Tier 4 with the lowest risk profile.
Review team	A team of expert independent reviewers, sourced from the Expert Reviewer Panel engaged by the GCA to undertake a Gateway Review 1 to 5, Health Check or Deep Dive review and Infrastructure Portfolio Health Check reviews.
Review team leader (RTL)	<p>For Gates 1 to 5, Health Checks and Deep Dives the RTL is appointed by the GCA manager and leads the independent review team for the review. The RTL acts as chair for the project briefing and interview days and has primary responsibility for delivering a high quality, consolidated review report using the appropriate template. For Gate 6 the RTL is the lead reviewer.</p> <p>The RTL acts as the point of contact between the review team and the GCA manager. If agreed by the GCA manager, the RTL may act as the liaison between the review team and the Agency's SRO and/or project director. The RTL provides the review debrief to the GCA and the Agency's SRO on behalf of the review team.</p>

Term	Definition
Review team member	For Gates 1 to 5, Health Checks and Deep Dives provides the benefit of their independent and specialist expertise and advice in the review of the project, focusing on issues appropriate to the project's lifecycle stage and the level of development and delivery confidence. Each review team member participates in the project briefing and interviews and contributes to the review report and recommendations.
Risk Review Advisory Group (RRAG)	A committee of the Gateway Coordination Agency (GCA) that reviews project registrations made by agencies in the NSW Assurance Portal and recommends a risk tier (being tier 1, 2, 3 or 4) to the GCA. RRAG is a multi-agency committee, and its recommendation is based on a risk review conducted across four criteria, along with the estimated total cost of the project.
Senior responsible officer (SRO)	The Agency executive with strategic responsibility and the single point of overall accountability for a project.

Appendix section

Appendix 1 | Applicable NSW policy

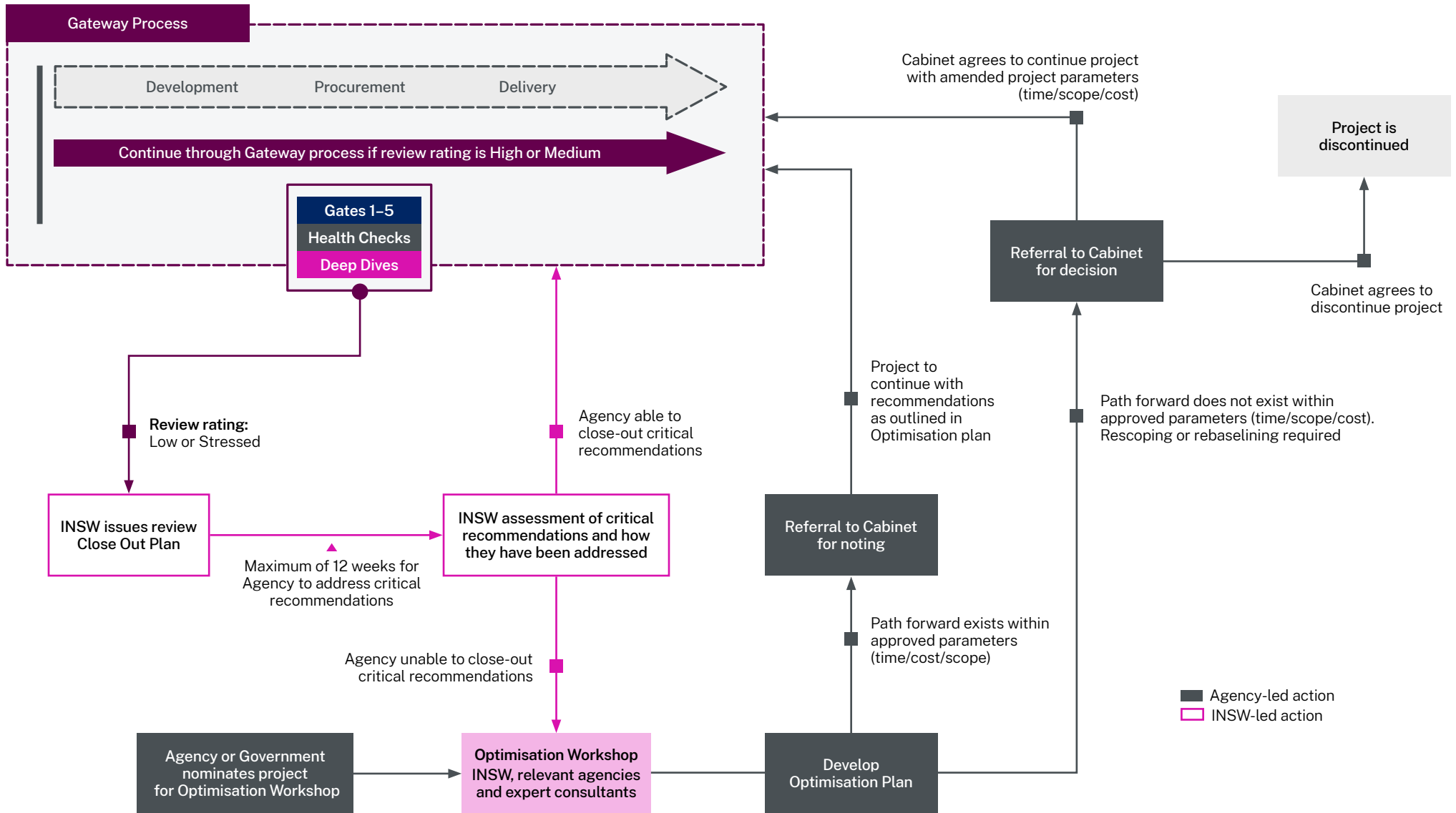
The Gateway review process aligns with current NSW Government policy and strategies.

Agencies should ensure projects meet latest NSW Government policy and guidelines.


Examples of these policies and guidelines include the current versions of:


- NSW Gateway Policy (TPG22-12)
- Infrastructure Investor Assurance Framework (IIAF)
- NSW Government Sector Finance Act 2018
- NSW Government Capability Framework
- NSW Government Cost Control Framework (CCF)
- NSW Government Business Case Guidelines (TPG24-29)
- Fast Track for Business Case and Assurance for Government Capital Commitments (TPG24-30)
- First Nations Investment Framework (TPG24-28)
- Asset Management Policy for the NSW Public Sector (TPP19-07)
- NSW Government Guide to Cost Benefit Analysis (TPG23-08)
- Policy and Guidelines: Evaluation (TPG22-22)
- Benefits Management Guide (TPG24-31)
- NSW Public Private Partnership Policy and Guidelines (TPG22-21)
- NSW Government Procurement Policy Framework (April 2022)
- Public Works and Procurement Amendment (Enforcement) Act 2018
- NSW Procurement Board Directions Enforceable Procurement Divisions
- NSW Procurement Policy
- Australian Government Assurance Reviews and Risk Assessment (Department of Finance).
- NSW Government Financial Risk Management Policy (TPP 21-14)
- Treasurer's Direction on Contingency and Transaction Management (TD25-03)
- Contingency Management Special Access Protocols (TPG25-06)
- NSW Infrastructure Digitalisation and Data Policy
- NSW Government Decarbonising Infrastructure Delivery Policy
- NSW Infrastructure (TPG25-07)



Appendix 2 | Optimisation path







Appendix 3 | Analysis of reviews – alignment of key focus areas and themes

KFA	Key Themes	Performance Indicator	Risk Factor
 <p>1. Service Need</p>	<p>1. Quality of business case</p>	<p>1.1 Appropriate technical and socio-economic analysis has been undertaken.</p> <p>1.2 Financial/economic appraisal (including appropriate sensitivity analysis) with assumptions underlying the analysis is clearly conveyed.</p> <p>1.3 There is consistency of documentation and clear articulation/justification for the project.</p> <p>1.4 The case for change is clear, with investment justified and substantiated.</p>	<ul style="list-style-type: none"> • Case for change is not clearly articulated or sufficiently succinct and the justification for the investment is not substantiated. • Analysis, assumptions and/or documentation lack rigour, clear articulation is inadequate.
	<p>2. Clear project objectives</p>	<p>2.1 Objectives convey proposed service requirement the project aims to deliver, and defined level of service.</p> <p>2.2 The way project objectives align to government priorities/objectives has been substantiated.</p> <p>2.3 The scope, scale and requirements of the project have been properly identified, including reference to how the project scope aligns with the project objectives.</p> <p>2.4 Criteria for measuring success of the project has been developed.</p>	<ul style="list-style-type: none"> • The project objectives do not align to government priorities, are not clear and/or do not articulate the service need. • The scope, scale and requirements of the project have not been appropriately articulated. • Project scope does not align with the project objectives and KPIs have not been developed.
	<p>3. Achievement of benefits</p>	<p>3.1 A benefits management strategy/plan that includes responsibility assigned to the expected benefits and articulates the approach to management and reporting of the benefits.</p> <p>3.2 Processes are in place to manage change and benefits over the project life cycle.</p>	<ul style="list-style-type: none"> • Lack of a high-level plan for monitoring and evaluation (under either a benefits management framework or monitoring and evaluation framework), or does not adequately identify, quantify or assign responsibility for benefits.

KFA	Key Themes	Performance Indicator	Risk Factor
 <p>2. Value for Money and Affordability</p>	<p>4. Procurement</p>	<p>4.1 An effective procurement strategy has been developed for the project offering value for money and accounts for the capacity of the market.</p> <p>4.2 A delivery strategy has been developed that provides efficient and optimal means of delivery for the complete scope.</p> <p>4.3 A tender evaluation plan with a clear methodology has been prepared to ensure transparency in the decision-making process.</p> <p>4.4 RFT documentation for the project is fit-for-purpose and includes all required information for the tenderer.</p>	<ul style="list-style-type: none"> • Inadequate procurement strategy, inadequate procurement planning, documentation does not ensure transparency in the decision-making process. • Delivery strategy not appropriately detailed and project staging not addressed.
	<p>5. Options analysis</p>	<p>5.1 Comprehensive assessment and analysis of all reasonable options to meeting the service need.</p> <p>5.2 Analysis of a range of alternative options (including a realistic base case) – where an option has not been evaluated an explanation is provided.</p> <p>5.3 Clear justification for the preferred option.</p>	<ul style="list-style-type: none"> • Identification and/or assessment of options to meet service need is inadequate/incomplete. • Alternative options, including a realistic base case, are poorly explained/justified. • Lack of a clear justification for the preferred option.
	<p>6. Commercial capability</p>	<p>6.1 Cost estimates/plans have been developed and include all costs throughout the life of the project and are up to date (reflective of project stage).</p> <p>6.2 Contingency allowances appear to adequately cover risk management strategies.</p> <p>6.3 Funding strategy and options are suitable for the project and, where appropriate, have been submitted to central agencies for funding approval.</p> <p>6.4 Funding is confirmed (depending on project stage).</p>	<ul style="list-style-type: none"> • Insufficient rigour, process and accuracy around cost estimates and contingency, estimating, planning and management. • Funding for the next phase not confirmed or allocated, gaps in project funding, lack of suitable funding strategy.

KFA	Key Themes	Performance Indicator	Risk Factor
 <p data-bbox="168 392 344 483">3. Social and Environmental Sustainability</p>	<p data-bbox="409 300 607 328">7. Sustainability</p>	<p data-bbox="651 268 1384 359">7.1 Considers whether suitable consideration, documentation and assessment of the social and environmental impacts of the project have been undertaken.</p>	<ul data-bbox="1413 252 2101 376" style="list-style-type: none"> • Lack of or inadequate consideration, documentation and assessment of the social, economic and environmental impacts of the project which may impact successful project delivery.
	<p data-bbox="409 418 595 509">8. Approach to planning and approvals</p>	<p data-bbox="651 418 1384 509">8.1 Has the agency considered and established appropriate means of achieving planning consent for the project in a timely manner.</p>	<ul data-bbox="1413 434 2114 491" style="list-style-type: none"> • Planning pathway to achieve planning consent in a timely manner not identified or articulated.
 <p data-bbox="125 850 383 909">4. Interdependencies and Interfaces</p>	<p data-bbox="409 713 573 772">9. Interface management</p>	<p data-bbox="651 713 1384 772">9.1 Interfaces with the project are identified and controls are in place to ensure the project delivers the intended benefits.</p>	<ul data-bbox="1413 555 2085 922" style="list-style-type: none"> • Interface control mechanisms to manage interactions and boundaries between different project components, systems, or scope are not in place, underutilised or unclear. • Misaligned scheduling or sequencing of project components, packages or milestones that impact project completion timeframes and potentially other interdependent projects. • Design requirements may not provide for successful integration with the asset network to deliver intended benefits.
	<p data-bbox="409 989 629 1080">10. Integration with the precinct/ service</p>	<p data-bbox="651 973 1384 1098">10.1 Considers whether adequate consideration has been provided to interfacing agencies, projects and infrastructure, including the management of interfaces with both the agencies and projects.</p>	<ul data-bbox="1413 1005 2024 1062" style="list-style-type: none"> • Inadequate consideration of interfacing networks, precincts, projects and services.

KFA	Key Themes	Performance Indicator	Risk Factor
 <p data-bbox="152 850 360 938">5. Governance, Decision-Making and Culture</p>	<p data-bbox="409 376 591 400">11. Governance</p>	<p data-bbox="651 252 1384 339">11.1 An effective governance framework that is fit-for-purpose and clearly understood by project team members and stakeholders.</p> <p data-bbox="651 360 1368 448">11.2 Roles, responsibilities and accountabilities that are clearly articulated and delineated amongst project teams to support effective decision-making.</p> <p data-bbox="651 469 1218 525">11.3 CEO/executive sponsor active support for the project/program.</p>	<ul data-bbox="1406 292 2110 488" style="list-style-type: none"> • Governance frameworks are not fit for purpose or understood by team members and/or there is a lack of definition around roles, understanding of responsibilities, decision-making frameworks and single-point accountability. • There is a lack of active senior level support.
	<p data-bbox="409 660 546 716">12. Project resourcing</p>	<p data-bbox="651 563 1144 587">12.1 A resource plan has been developed.</p> <p data-bbox="651 608 1346 663">12.2 There are adequate resource capability and expertise within key roles.</p> <p data-bbox="651 684 1323 740">12.3 There is consideration and planning for retention of key resources.</p> <p data-bbox="651 761 1379 817">12.4 There is consideration for resource requirements for the project's next stage/project life.</p>	<ul data-bbox="1406 632 2074 751" style="list-style-type: none"> • The resource plan, including for the next stage in the project lifecycle, has not been developed or resources identified are not adequate, key roles lack appropriate capability and expertise.
	<p data-bbox="409 882 600 1002">13. Program/ project management & planning</p>	<p data-bbox="651 855 1350 911">13.1 Programs and schedules reflective of the project risks and timing.</p> <p data-bbox="651 932 1055 956">13.2 Project management plan(s).</p> <p data-bbox="651 976 1361 1032">13.3 Project controls reflective of project stages, developed and implemented.</p>	<ul data-bbox="1406 863 2092 1026" style="list-style-type: none"> • Inadequate procurement strategy, inadequate procurement planning, documentation does not ensure transparency in the decision-making process. • Delivery strategy not appropriately detailed and project staging not addressed.
	<p data-bbox="409 1158 613 1182">14. Team culture</p>	<p data-bbox="651 1110 1357 1230">14.1 A transparent culture with shared ownership of outcomes, and where trust among team members enables them to raise concerns, offer feedback and allow collective problem solving.</p>	<ul data-bbox="1406 1074 2110 1273" style="list-style-type: none"> • Negative and potentially harmful culture with inconsistent direction, siloed workflows, low morale and adversarial behaviour as cross-disciplinary teams work in opposition rather than partnership. • Lack of psychological safety for staff and contracting resources to escalate issues in a timely way.
	<p data-bbox="409 1310 595 1430">15. Understanding government processes</p>	<p data-bbox="651 1310 1368 1430">15.1 Considers whether the relevant NSW Government guidelines, frameworks and processes have been considered, employed and compiled in project development and delivery.</p>	<ul data-bbox="1406 1326 2092 1414" style="list-style-type: none"> • Relevant NSW Government guidelines, frameworks and processes not considered, employed and/or complied with during project development and delivery.

KFA	Key Themes	Performance Indicator	Risk Factor
 6. Risk Management	16. Discipline in risk management	16.1 Risks associated with the stage of the project have been identified and assessed (qualitative and quantitative).	<ul style="list-style-type: none"> • Key project risks overlooked, missed or not adequately considered, risk management strategy/plan requires strengthening, mitigation measures and contingency management has not been developed or is not up to date.
		16.2 Risk management strategy/plan, incorporating mitigation measures and contingency management, developed and up to date (dependent on project stage) with a supporting risk register.	
 7. Stakeholder Management	17. Stakeholder engagement	17.1 All stakeholders have been identified, and their views/ concerns considered and addressed in the development of the project.	<ul style="list-style-type: none"> • Stakeholder strategy/management plan is missing or is not up to date. • Lack of adequate stakeholder consultation and/or stakeholder views/concerns have not been considered and addressed appropriately.
		17.2 A stakeholder strategy/management plan for managing stakeholder expectations and communications with stakeholders has been developed and is up to date.	
	17.3 Adequate stakeholder consultation is undertaken with both internal and external stakeholders.		
	18. Sharing lessons learnt across government	18.1 Considers whether lessons learnt (errors and successes) have been captured, shared and made available to other government agencies and organisations.	<ul style="list-style-type: none"> • Lack of, or inadequate processes to capture and share lessons learnt (errors and successes).
 8. Asset Owner's Needs and Change Management	19. Change management	19.1 Considers whether the changes necessary to achieve project services outcomes have been identified and a change management plan developed to help ensure realisation.	<ul style="list-style-type: none"> • Lack of an effective mechanism to identify the changes necessary to achieve project outcomes.
	20. Operational readiness planning	20.1 Operational readiness planning plans developed. 20.2 Determination and establishment of operational governance and management structures. 20.3 Appointment of dedicated commissioning manager to ensure effective readiness planning, prioritisation, management and operation.	<ul style="list-style-type: none"> • Lack of, or inadequate mechanisms to ensure effective readiness planning, prioritisation, management and operation. • Operational governance and management structures not determined and/or established.



Applying key themes to key focus area recommendations allows clearer project, program and portfolio analysis. Themes may be allocated to any KFA but have been loosely grouped by their most likely application.

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