

**GATE 0**

GATEWAY WORKBOOK

# Go/No-Go

How does the project demonstrate alignment to Government policy, priorities and the criticality of the service need?

## INTRODUCTION TO GATEWAY REVIEWS

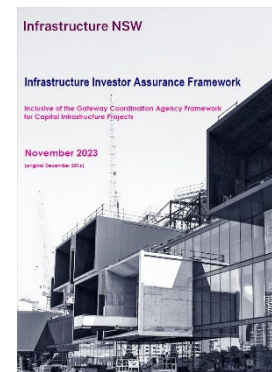
The *NSW Gateway Policy* (TPG22-12) sets out guidance and minimum requirements for the delivery and monitoring of Gateway Reviews in NSW. Gateway Reviews are independent Reviews conducted at key points, or Gates, along the lifecycle of a project and are important for providing confidence to the NSW Government (through Cabinet) that projects are being delivered on time, to cost and in line with government objectives.

Infrastructure NSW is the Gateway Coordination Agency (GCA) for the government's capital infrastructure projects and programs. As the GCA, Infrastructure NSW developed, implemented and administers the Infrastructure Investor Assurance Framework (IIAF). The roles and responsibilities of Infrastructure NSW as well as Delivery Agencies, in relation to assurance processes are set out in the IIAF. It is the responsibility of all Delivery Agencies to meet the requirements of the IIAF.

Gateway Reviews are one of the four elements of the Infrastructure NSW risk-based assurance approach for all capital infrastructure projects and programs valued at or more than \$10 million. The risk-based approach relies on an understanding of an agency's capability and capacity to develop and deliver capital projects and programs.

The outcome of each Gateway 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 Delivery (or Accountable) Agency to develop and deliver their projects and programs successfully.

Gateway Reviews can consider an individual project or a program consisting of a number of projects (incl. sector specific and place-based). For the purposes of this workbook, the use of the term 'project' also covers the grouping of projects into a program.



## PROJECT LIFECYCLE AND GATEWAY REVIEWS

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

PROJECT STAGE	PROJECT PHASE	GATEWAY REVIEW	KEY QUESTION	REVIEW DELIVERABLE	HEALTH CHECKS	
	INITIATION NEEDS CONFIRMATION	0 GO/NO GO	HOW HAS THE PROJECT DEMONSTRATED THAT THE SERVICE NEED IS ALIGNED TO GOVERNMENT POLICY AND DIRECTION?	EVIDENCE THE PROBLEM & SERVICE NEED EXISTS REGISTRATION ON GCA REPORTING & ASSURANCE PORTAL COMPLETED GATE 0 TEMPLATE OR EQUIVALENT	CAPITAL PORTFOLIO	
	PLANNING + DEVELOPMENT	NEEDS ANALYSIS	1 STRATEGIC OPTIONS	HOW WELL HAS THE PROJECT ANALYSED A RANGE OF OPTIONS TO MEET THE SERVICE NEED AND MAXIMISE BENEFITS AT OPTIMAL COST?	WELL DEFINED SERVICE NEED EVIDENCE OF HOW THE PROJECT SCOPE MEETS THE SERVICE NEED OPTIONS ANALYSIS APPROPRIATE LEVEL OF COST BENEFIT ANALYSIS	DEVELOPMENT
		INVESTMENT DECISION	2 BUSINESS CASE	HOW WELL HAS THE PROJECT PROVEN THAT THE PREFERRED OPTION BEST MEETS THE SERVICE NEED AND MAXIMISES BENEFITS AT OPTIMAL COST?	FINAL BUSINESS CASE DETAILED RISK REGISTER DETAILED COST PLAN DETAILED COST BENEFIT ANALYSIS PROCUREMENT AND DELIVERY STRATEGY	
	PROCUREMENT	PROCURE	3 READINESS FOR MARKET	HOW WELL HAS THE PROJECT DEVELOPED A PROCUREMENT AND DELIVERY APPROACH TO REALISE THE BENEFITS OUTLINED IN THE FINAL BUSINESS CASE?	CLEAR SCOPE DEFINITION PROCUREMENT DOCUMENTATION PROCUREMENT AND COMMERCIAL APPROACH EVALUATION STRATEGY PROBITY PLAN	PROCUREMENT
			4 TENDER EVALUATION	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?	EVALUATION REPORT PROBITY REPORT SUMMARY OF DEPARTURES AND VARIATIONS EVIDENCE OF DELIVERY READINESS AND HANDOVER APPROACH	
	DELIVERY	DELIVER & INITIAL OPERATIONS	5 READINESS FOR SERVICE	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?	INDEPENDENT VERIFIER REPORTS CONFIRMING SCOPE DELIVERY TESTING AND COMMISSIONING DOCUMENTATION OPERATIONAL READINESS DOCUMENTATION HANDOVER STRATEGY	DELIVERY
OPERATION	BENEFITS REALISATION	6 BENEFITS REALISATION	HOW WELL HAVE THE BENEFITS OUTLINED IN THE FINAL BUSINESS CASE BEEN REALISED AND WHAT LESSONS CAN BE LEARNT FROM THIS?	EVIDENCE OF OPERATIONAL PERFORMANCE BENEFITS REALISATION PLAN RECORD OF LESSONS LEARNT COMPLETED GATE 6 TEMPLATE		

## HOW TO USE THIS WORKBOOK

At Gate 0, Delivery Agencies need to demonstrate the level of priority, urgency and criticality of a project at its feasibility stage. This should be prior to work commencing on the Strategic Business Case and Final Business Case.

Gateway Review workbooks support a consistent, structured approach to Reviews. The workbooks define roles and responsibilities during Reviews and assist Delivery Agencies and the Gate 0 Committee to prepare.

<p>PART <b>A</b></p>	<p><b>FOR DELIVERY AGENCIES AND GATE 0 COMMITTEE:</b></p> <ul style="list-style-type: none"> <li>• Background information on the Gateway Review process</li> <li>• Information on how the Gateway Review process applies to projects</li> </ul>	<p>PAGE: <b>7</b></p>
<p>PART <b>B</b></p>	<p><b>FOR DELIVERY AGENCIES:</b></p> <ul style="list-style-type: none"> <li>• Initiating and preparing for a Gate 0 Gateway Review</li> <li>• Documentation required</li> </ul>	<p>PAGE: <b>14</b></p>
<p>PART <b>C</b></p>	<p><b>FOR DELIVERY AGENCIES AND GATE 0 COMMITTEE:</b></p> <ul style="list-style-type: none"> <li>• Conducting a Gate 0 Review</li> </ul>	<p>PAGE: <b>17</b></p>

## GATEWAY REVIEWS AND AGENCY ASSURANCE PROCESSES

The assurance process, including Gateway Reviews, informs the NSW Government (through Cabinet) on the development and delivery progress of capital projects. Recommendations and commentary emerging from Gateway Reviews also assist Delivery Agencies to improve projects and assets, with a focus on adding value through the expertise and experience of the Gate 0 Committee.

A Gateway Review provides an independent snapshot of project status at a point in time. Gateway Reviews are **not an audit or replacement for a Delivery Agency’s internal governance.**

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.

## WHY DO GATEWAY REVIEWS

The NSW Government requires visibility across the government’s capital program and assurance that expected services and benefits will be delivered on time, to budget and in line with government policy. The Government also expects project issues and risks to be transparent, with Delivery Agencies acting on and mitigating problems before there is an impact on the community and stakeholder outcomes.

## APPLICATION OF GATE 0

Gate 0 Reviews are mandatory for all projects with an estimated total cost of over \$100 million, and/or those nominated by the GCA’s Risk Review Advisory Group (RRAG).

The Gate 0 Review must occur at the initiation of the project and before the agency has allocated funding and resources to developing the project and as soon as practicable after project registration in the NSW Assurance Portal and assessment of the project’s risk tier by RRAG.

It is expected that some level of basic feasibility and preliminary scoping has been done to identify the key problems the project is intended to solve and how critical and urgent the project is to solving those problems. It is also understood that in registering the project the Delivery (or Accountable) Agency is proposing an infrastructure/asset solution. Although, the agency should also be able to demonstrate the basic rationale over a non-asset, operational or augmentation of an existing asset option.

Where deemed necessary by Infrastructure NSW, a Gate 0 Review may be done retrospectively even if the agency has advanced further work or business case development for the project.

State Owned Corporations (SOCs) are not required to complete a Gate 0 Review, unless specifically determined by RRAG.

## CONDUCTING A GATE 0 REVIEW

Gateway Reviews for Gate 0 follow the steps and timeframes shown in the table below:

STEP	ACTIVITY	
1	Delivery Agency registers the Project or Program in the NSW Assurance Portal.	Project Initiation & Registration
2	The GCA’s Risk Review Advisory Group (RRAG) assigns the project a risk tier for the purposes of Investor Assurance.	
3	For eligible projects, the GCA Review Manager informs the Delivery Agency that the project is subject to a Gate 0 and provides the Project Justification template to facilitate the Gate 0 process.	
4	The Delivery Agency prepares the Project Justification template and documents related to the Gate 0 and submits them to the GCA Review Manager.	Week 1
5	The GCA Review Manager seeks any necessary clarification on the documents submitted, collates all applicable information and schedules the project for consideration on the agenda of the next appropriate Gate 0 Committee meeting.	Week 2-4
6	The Gate 0 Committee meets and undertakes the Review of the project with the information provided. The Committee prepares a Gate 0 Review Report, including the recommendation on how the agency should proceed.	Week 5
7	The GCA provides a copy of the draft Report to the Delivery Agency for fact checking and response to the recommendations made by the Gate 0 Committee.	
8	The Delivery Agency completes the responses to recommendations in the Gate 0 Report template and returns to the GCA Review Manager. Noting any appeals of a decision will need to be raised by the Delivery Agency’s representative to the GCA.	Week 6
9	The GCA Review Manager ensures the report and recommendation are included in the next appropriate Assurance Cabinet Submission for review by the Assurance Governance Committee.	Week 7
10	Close-out Plan issued to the Delivery Agency and managed by the GCA.	Post Review
11	The GCA Review Manager informs the Delivery Agency of the decision of Cabinet.	

## GATE 0 REVIEW PROCESS PRINCIPLES

- The Review Report structure is followed by the Gate 0 Committee in undertaking the Review
- All parties focus on value-adding to the project
- Review Report commentary and recommendations are succinct and focused on practical issues and outcomes
- A clear recommendation is made on how the agency should proceed.

## GATE 0 REVIEW RATINGS

Following a Gate 0 Review, a short Review Report is produced using the Gate 0 Report template.

The Gate 0 Committee will assign an overall review rating in the Gate 0 Report:

OVERALL REVIEW RATING RECOMMENDATION FROM THE GATE 0 COMMITTEE AS TO WHETHER THE PROJECT HAS DEMONSTRATED SUFFICIENT PRIORITY, CRITICALITY AND URGENCY TO PROCEED	
<b>PROCEED TO NEXT PHASE</b>	The project is to continue to be developed in accordance with the appropriate processes, most commonly through the preparation of a Strategic Business Case.
<b>RETURN TO ERC WITH SBC</b>	A strategic business case is to be developed in accordance with the appropriate processes, but the agency must return to ERC with the completed business case for advice on the strategic option to be further progressed
<b>POSTPONE FURTHER DEVELOPMENT OF THE PROJECT</b>	The urgency of the project has not been demonstrated and further investment of resources is not required at this time. Agency to cease all work, and de-mobilise project. Agency may re-complete a Gate 0 at a future date.
<b>CANCEL THE PROJECT</b>	The need for the project has not been demonstrated and resources should not be invested in a business case. Agency to cease all work, and de-mobilise project.

## RECOMMENDATION RATINGS

Recommendations made by the Gate 0 Committee will receive a rating, indicating level of urgency for the project:

RECOMMENDATION RATING EACH RECOMMENDATION IS RATED ACCORDING TO ITS URGENCY AND CRITICALITY	
<b>RECOMMENDED (DO)</b>	The recommendation is not considered critical or urgent but the development of the options analysis may benefit.
<b>ESSENTIAL (DO BY)</b>	The recommendation is important but not urgent. The SRO should take action before further key decisions are taken.
<b>CRITICAL (DO NOW)</b>	This item is critical and urgent. The SRO should act immediately. It means “fix the key problems fast, not stop the development of the project to options analysis”.

**GATE 0**

**GATEWAY WORKBOOK**

# Part A

**FOR DELIVERY AGENCIES AND  
GATE 0 COMMITTEE**

**Background on NSW Gateway and the risk based  
approach to project assurance**

## PART A

## INFRASTRUCTURE INVESTOR ASSURANCE IN NSW

The NSW Government has adopted a formal Assurance Framework for capital infrastructure projects valued at or over \$10 million. The Framework is detailed in the Infrastructure Investor Assurance Framework (IIAF), as endorsed by NSW Cabinet in June 2016.

The Assurance Framework takes a risk-based approach to investor assurance. Each project is assigned one of four risk-based Project Tiers (considering risk criteria as well as the value and profile of the project), and this determines the potential assurance pathway for the project. For projects assessed to have higher risk/profile/value, the assurance pathway prescribes progressively greater levels of scrutiny.

There are three components of the assurance pathway for every project or program. These components are complemented by a fourth 'Improving Outcomes' initiative that seeks to enhance overall delivery of capital infrastructure programs and projects across government by sharing good practice and lessons learnt.



### GATEWAY REVIEWS, HEALTH CHECKS AND DEEP DIVE REVIEWS

Gateway Reviews are short, focused and independent expert Reviews held at key points in a project's lifecycle. They are appraisals of infrastructure projects that highlight risks and issues which, if not addressed, may threaten successful delivery. Gateway Reviews are supported by periodic Health Checks which assist in identifying issues which may emerge between decision points. Deep Dives are conducted at any stage of a project's lifecycle but focus on a few major issues that have been identified and are based on the Terms of Reference prepared by the GCA. Health Checks and Deep Dives, when required, are carried out by an independent expert review team.

Capital Portfolio Health Checks are periodically conducted into Delivery Agency capability and capacity to prioritise and manage the agency's entire capital infrastructure program. The focus is on portfolio management, rather than individual projects or programs of works.

The results of each Gateway Review, Health Checks and Deep Dives are presented in a report that provides a snapshot of the project or program's progress for the purposes of reporting to Cabinet and with recommendations to strengthen program and project outcomes.

### REGULAR PROJECT REPORTING

Regular project reports are submitted through the NSW Assurance Portal on either a monthly or quarterly basis, depending on the Project Tier, and focus on progress against time, cost and other risks.

### PROJECT AND PROGRAM MONITORING

The GCA monitors projects and programs through regular reporting (including mitigation plans for projects at risk), close-out of the Gateway Review Report Recommendations and general day-to-day interactions with Delivery Agencies.

### IMPROVING OUTCOMES

Infrastructure NSW seeks to share lessons learnt and good practice across delivery agencies. A number of forums have been established to bring together practitioners to share their insight of the development, procurement and delivery of capital infrastructure projects and programs.



## PART A

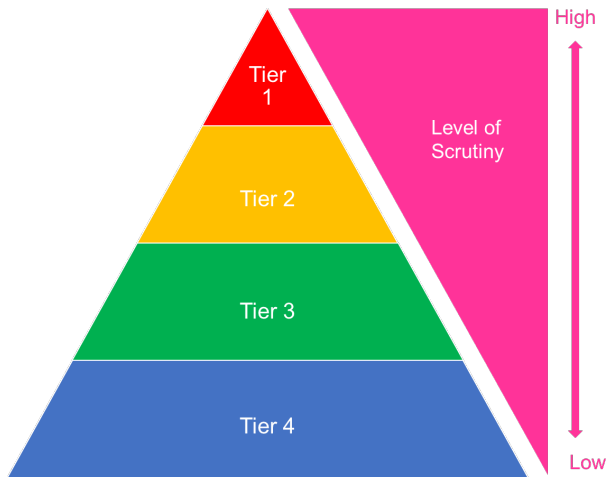
## RISK BASED APPROACH TO INVESTOR ASSURANCE

The IIAF, in taking a risk based approach, means that Gateway Reviews are not applied as a ‘one-size fits all’ requirement to all projects.

Registration is mandatory for all capital infrastructure projects including programs, with an Estimated Total Cost (capital cost) of \$10 million or greater. It is the Delivery Agency’s responsibility to register projects.

Minimum mandatory requirements on projects to undertake Gateway Reviews are primarily based on the Project Tier determined when the project is registered through the NSW Assurance Portal.

Projects are assigned one of four Project Tiers; 1 to 4, with Tier 1 being the highest profile and risk. Greater intensity/scrutiny is placed on those projects that need it most (i.e. Tier 1) through a greater frequency of Gateway Reviews, Health Checks, regular reporting and project monitoring.



The assurance pathway is determined at project registration but may change over time through discussions between the GCA and Delivery Agency. The assurance pathway must meet the minimum requirement for Gateway Reviews outlined in the IIAF, unless specific authorisation is received through the GCA.

The overarching objective of applying Gateway Reviews in this way is to ensure that the appropriate level of attention is given to projects as they are developed and delivered so that government can optimise the community benefits.

Collectively the infrastructure projects that an agency is prioritising, developing, procuring or delivering make up its capital portfolio. Agencies are expected to have robust portfolio and program management practices in place to manage issues and risks for both individual projects and across their capital portfolios.

## APPLICABLE NSW POLICY

The Gateway Review process aligns with current NSW Government policy and strategies. Delivery Agencies should ensure projects meet the 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 Treasury Guidelines for Capital Business Cases (TPP08-5)
- NSW Government Business Case Guidelines (TPP18-06)
- Asset Management Policy for the NSW Public Sector (TPP19-07)
- NSW Government Guide to Cost Benefit Analysis (TPG23-08)
- NSW Government Program Evaluation Guidelines (January 2016)
- NSW Government Benefits Realisation Management Framework (2018)
- 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
- Australian Government Assurance Reviews and Risk Assessment (Department of Finance)

# PART A

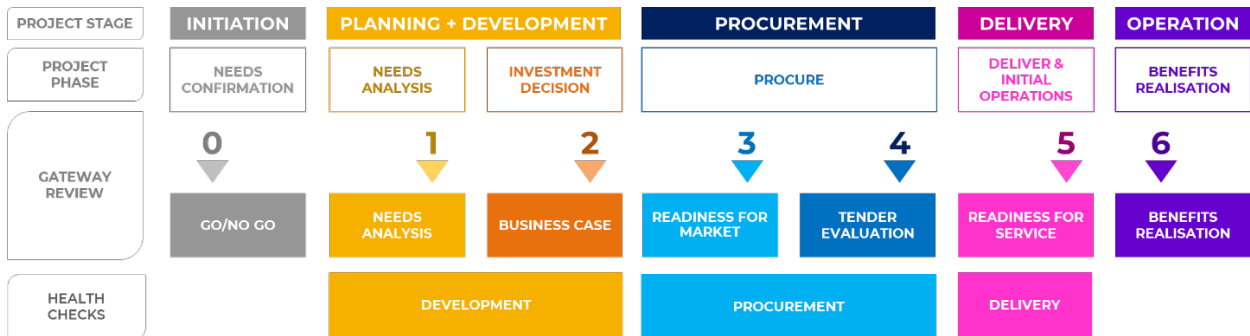
## OVERVIEW OF GATEWAY REVIEW

Gateway Reviews are short, focused and independent expert Reviews into the progress and direction of a project at key points in its lifecycle.

Each of the seven Gates in the IIAF occur at a point within a project phase, timed to inform government decision-making and project progression.

GATE	NAME OF GATE	LIFECYCLE STAGE	PROJECT PHASE	INFORMS
GATE 0	GO/NO-GO	INITIATION/ FEASIBILITY	NEEDS CONFIRMATION	Proceeding to develop the options analysis
GATE 1	STRATEGIC OPTIONS	PLANNING & DEVELOPMENT	NEEDS ANALYSIS	Proceeding to develop the Final Business Case
GATE 2	BUSINESS CASE	PLANNING & DEVELOPMENT	INVESTMENT DECISION	The Investment Decision
GATE 3	READINESS FOR MARKET	PROCUREMENT	PROCURE	Readiness to release procurement documentation
GATE 4	TENDER EVALUATION	PROCUREMENT	PROCURE	Robustness of the evaluation process and readiness to mobilise
GATE 5	READINESS FOR SERVICE	DELIVERY	DELIVERY & INITIAL OPERATIONS	Readiness of the asset to enter service/operations
GATE 6	BENEFITS REALISATION	OPERATION	BENEFITS REALISATION	Benefits promised have been delivered

Bringing it all together, the relationship of the Gates to the project lifecycle stages and phases can be represented as:



# PART A

## GATEWAY REVIEW PROCESS

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The Gateway Review process integrates project development and delivery processes with informed decision-making. Each Gate has a clear purpose reflecting the increasing requirement for certainty as a project moves through its lifecycle.

The Gateway Review process also includes 'Health Checks' and 'Deep Dives', which are Reviews conducted at any point through the project lifecycle.

All Gates, Health Checks and Deep Dives include the involvement of an Independent Expert Reviewer, Review Team Lead and/or Review Team. These individuals are appointed by the GCA based on their independence from the project, experience and expertise.

## GATE 0 – PROJECT INITIATION

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As project development is at an early stage in the project lifecycle, Gate 0 Go/No-Go Gateway Reviews have a relatively narrow focus compared to later Gateway Reviews and Health Checks. The Gate 0 Review is undertaken by the GCA's Gate 0 Committee shortly following the registration of the project. The Gate 0 Review focuses on how well the project fits with government priorities, the urgency of its service need and how well it is aligned to the Delivery Agency's Asset Management Plan or framework.

## GATES 1 TO 5 – PROJECT DEVELOPMENT AND DELIVERY

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Gateway Reviews (Gates 1 to 5) are independent expert Reviews conducted over a short period. The structure of each of these Reviews is similar and focused on high value areas that have greatest impact on successful project development and delivery.

Seven Key Focus Areas support a consistent structure in undertaking Gateway Reviews and preparing Review Reports. Review Report commentary and recommendations are intended to address the Key Focus Areas, the Terms of Reference and be constructive in raising issues essential to the project's success.

## HEALTH CHECKS AND DEEP DIVE REVIEWS

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Health Check Reviews are similar to the Gateway Reviews (Gates 1 to 5) and follow the same format to address and rate overall delivery confidence as well as each of the seven Key Focus Areas. The customisation of the Health Check is achieved using the appropriate Health Check Workbook and Terms of Reference.

For some projects, Health Checks are conducted at regular intervals (every six to nine months) during the Delivery stage of the project lifecycle. Health Checks during other lifecycle stages are generally only conducted upon request by Government, the GCA, NSW Treasury or the Delivery Agency.

Capital Portfolio Health Checks are periodically conducted into a Delivery Agency's capability and capacity to prioritise and manage the agency's entire capital infrastructure program. The Key Focus Areas are different to the other Gateway and Health Check workbooks to reflect the assessment of the program and portfolio management requirements.

Deep Dive Reviews have a limited Terms of Reference and do not cover the seven Key Focus Areas, instead they examine and report on a specific or detailed technical issue(s).

## GATE 6 – BENEFITS REALISATION

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The purpose of the Gate 6 Benefits Realisation Report is to support the close-out of the delivery stage into operations and to assess the successful delivery of the purpose and benefits of the government's investment in the project. The Report is to be finalised four to eight months from the first operations commencement date.

Instead of a Review Team, the GCA appoints an independent expert Lead Reviewer to work with the responsible agencies to complete the Gate 6 Report. The Gate 6 Report follows a structured template. The most appropriate agency leads the preparation of the initial draft and then the Lead Reviewer finalises the draft content of the Report, including the overall rating and recommendations. The Lead Reviewer then provides the Gate 6 Report to the GCA for review and finalisation.

# PART A

## GATEWAY REVIEW REPORTS

The primary output of the Review is a high-quality written report which follows the appropriate Gateway Review Report template. For Gate 0, the final draft of the Report template, the recommendations and recommended overall Review Rating are determined by the Gate 0 Committee.

The primary purpose of the Review Report is to recommend a decision on how the agency should proceed to the NSW Government. The Review Report, once finalised by the GCA, is provided to the NSW Cabinet. The Delivery Agency is expected to act on the recommendations documented in the Review Report.

Close out of recommendations is undertaken by the GCA, through the established assurance recommendation close-out process.

### REPORT DISTRIBUTION

- Gate 0 Reports are Cabinet documents.
- Gate 0 Committee members must not distribute copies of any versions of Review Reports directly to the Delivery Agencies, project teams or any other party.
- On receipt of the Review Report for checking and response from the GCA Review Manager, the Delivery Agency may only distribute the Report for the purpose of responding to the GCA Review Manager.
- 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 Delivery Agency Head or delegate of the GCA. No Report may be distributed outside the NSW Government by either the GCA or Delivery (or Accountable) Agency Head, unless permission is explicitly granted by the Chief Executive of Infrastructure NSW.
- The Delivery 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.

## CLEARANCE OF GATE 0

The status of the Clearance of a Gate 0 Review is recommended by the GCA to, and granted by, the NSW Cabinet.

The GCA Review Manager will confirm with the Delivery Agency when a decision is made. Up until the decision, Delivery Agencies may continue to progress the project as long as no long-term or major commitments are being made.

A Certificate confirming the Gate 0 has been cleared may be requested from the GCA by the Delivery Agency.

Regardless of the status of Clearance of the Gate, Delivery Agencies must respond to and act upon any relevant Review recommendations.

The Certificate is not a GCA endorsement of the project, only confirmation that that development work on the project may continue.

## PART A

## ROLES WITHIN A GATEWAY REVIEW APPLICABLE TO GATE 0

The typical roles within a Gate 0 Review are outlined below:

ROLE	DESCRIPTION
ASSURANCE GOVERNANCE COMMITTEE	The Assurance Governance Committee is a committee of NSW Government Secretaries chaired by the Chief Executive of Infrastructure NSW. This Committee reviews and endorses the GCA's regular assurance submissions. This includes the recommendations on how the project should proceed to Cabinet by the GCA.
DELIVERY AGENCY	The Delivery (or Accountable) Agency that is primarily responsible for the project or program at the various stages of the project's lifecycle. This agency is required to adhere to the Infrastructure Investor Assurance Framework (IIAF). Can also be referred to as the Sponsor Agency.
DELIVERY AGENCY HEAD	The Secretary or CEO of the Delivery (or Accountable) Agency responsible for the project.
GATE 0 COMMITTEE	The Gate 0 Committee is a committee of the GCA responsible for reviewing eligible projects and programs registered with the GCA and undertaking the Gate 0 Review. The membership and activity of the Gate 0 Committee is governed by the Gate 0 Committee Terms of Reference. The Gate 0 Committee jointly prepares a Gate 0 Report for the GCA.
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 (capital 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 REVIEW MANAGER	For Gate 0, the senior GCA representative responsible for the Gate 0 process. The GCA Review Manager chairs the Gate 0 Committee and is responsible for liaising with the Delivery Agency through the Gate 0 process and in finalising the Gate 0 Report. The GCA Review Manager has Cabinet level reporting responsibilities for project assurance.
INDEPENDENT EXPERT REVIEWER	An individual with the appropriate expertise and experience appointed by the GCA to the Gate 0 Committee. The Independent Expert acts as an advisor to the Gate 0 Committee.
SENIOR RESPONSIBLE OFFICER (SRO)	The Delivery Agency's nominated senior executive with strategic responsibility and the single point of overall accountability for a project. The SRO receives the Review Report from the GCA for action, is debriefed by the Review Team Leader and the GCA Review Manager following the Review. The SRO may also be referred to as the Project Sponsor. SROs are not to contact the Gate 0 Committee outside the protocols set by the GCA, including following the Review.
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.

**GATE 0**

**GATEWAY WORKBOOK**

# Part B

**FOR DELIVERY AGENCIES**

**Initiating and preparing for a Gate 0 Review**

# PART B

## GATE 0 – SUPPORTING THE NEED FOR FURTHER INVESTIGATION

<p>GATEWAY REVIEW</p>	<p style="text-align: center;"><b>INITIATION</b></p> <hr/> <p style="text-align: center;">NEEDS CONFIRMATION</p> <hr/> <p style="text-align: center;"><b>0</b></p> <p style="text-align: center;">▼</p> <p style="text-align: center;"><b>GO/NO GO</b></p>	<p><b>The Gate 0 Go/No-Go Gateway Review considers how well the project aligns to a NSW Government priority, its criticality, urgency and whether the problem or service need has been appropriately defined. The Review informs the GCA’s recommendation to the NSW Government as to whether to allocate resources to progress the project through further stages of development.</b></p> <p>Prior to the Gate 0 Review, Delivery Agencies will have registered the project through the NSW Assurance Portal and the project would have been assessed for its risk tier by the GCA’s Risk Review Advisory Group (RRAG).</p>
<p>KEY QUESTION</p>	<p>HOW HAS THE PROJECT DEMONSTRATED THAT THE SERVICE NEED IS ALIGNED TO GOVERNMENT POLICY?</p>	<p>Unless otherwise determined by RRAG, Gate 0 Reviews are only required for projects with an estimated capital value over \$100 million. Projects being undertaken by State Owned Corporations (SOCs) are not included unless specifically determined by RRAG.</p> <p>Before commencing a Gate 0 Review, the Delivery Agency should have met the requirements of internal project initiation, planning and prioritisation. The Delivery Agency should be able to articulate the problem and service need (supported by its asset management plans and frameworks) and show alignment to a NSW Government strategic priority and decision. The Delivery Agency should be able to provide the basic justification as to why non-asset, operational or augmentation of an existing asset options are not favoured.</p>
<p>REVIEW DELIVERABLE</p>	<p>EVIDENCE THE PROBLEM &amp; SERVICE NEED EXISTS REGISTRATION ON GCA REPORTING &amp; ASSURANCE PORTAL COMPLETED GATE 0 TEMPLATE OR EQUIVALENT</p>	<p>The Gate 0 Committee uses the information provided by the Delivery Agency to conduct the Gate 0 Review.</p> <p>A Gate 0 Go/No-Go Gateway Review Report, including recommendations, is provided to the GCA. The GCA will then provide the Report to the Delivery Agency to address any recommendations made.</p>



# PART B

## INITIATING A GATE 0 REVIEW

The Delivery Agency is responsible for initiating a Gateway Review at the appropriate time. For Gate 0, this should be at project initiation/early feasibility. The Delivery Agency should not have invested significant resources in developing an infrastructure solution and should not have commenced work on a strategic business case.

Each Delivery Agency follows its own internal project initiation process. The project initiation process must include registration on the NSW Assurance Portal for all capital infrastructure projects valued at more than \$10 million. Delivery Agencies must register their project at initiation, prior to the start of project development. This stage is when the agency:

- Can define the problem to be solved, or service need, and provide supporting evidence
- The problem or proposal has progressed through the Delivery Agency's own strategic service planning and asset management planning process and governance
- Some level of basic feasibility and preliminary scoping has been done.

If a Delivery Agency registers a project following commencement of project development work, the GCA may require the project to proceed through a Gate 0 Review retrospectively. This may result in a recommendation to Government that the project does not proceed and all development work and resourcing immediately ceases.

## GATE 0 GATEWAY REVIEW DOCUMENTS

The Delivery Agency's Senior Responsible Officer is expected to approve documentation submitted for the Review.

### MANDATORY DOCUMENTS

The mandatory documents required from the delivery agency to conduct the Gate 0 Gateway Review are:



- Registration Record of the project from the Reporting and Assurance Portal
- Completed Gate 0 Project Justification template (included in the Gate 0 suite of documents) or equivalent Delivery Agency document
- Relevant asset management framework or asset and service planning document extract.

At Gate 0, Delivery Agencies are encouraged to use their existing documentation and presentations, and not prepare new documentation. If an agency cannot produce a mandatory document, they should consult their GCA Cluster Partner on alternative documents to support the Gateway Review.

### OPTIONAL DOCUMENTS

Delivery agencies may choose to provide limited additional project information including:

- Executive/Board level presentation on the project
- Feasibility studies
- Extracts from agency (Secretary/Chief Executive) approved plans and strategies
- Agency specific project initiation documentation.

Where agencies have provided additional documents to demonstrate their case, the Project Justification Report should provide a reference to the page or section that is relevant to the Gate Zero Committee's deliberations.



**GATE 0**

**GATEWAY WORKBOOK**

# Part C

**FOR DELIVERY AGENCIES AND  
GATE 0 COMMITTEE  
Conducting a Gate 0 Review**

# PART C

## GATE 0 APPROACH

The Gate 0 Review is conducted as soon as possible following registration of the project or program on the NSW Assurance Portal and assessment of the project’s tier by the GCA’s Risk Review Advisory Group (RRAG).

The Gate 0 Review is conducted by a Gate 0 Committee appointed by the GCA. The Gate 0 Committee membership is as per the Committee’s Terms of Reference and the Committee is chaired by the GCA Review Manager responsible for Gate 0. An Independent Expert Reviewer, appointed by the GCA, attends all Gate 0 Committee meetings.

The outcome of the Gate 0 Review is a clear recommendation on how the agency should proceed. The Committee will also provide a short structured report in the GCA template that makes any relevant recommendations for improvement opportunities in the development of the project.

## GATE 0 GO/NO-GO REVIEW

**Gate 0 Go/No-Go Gateway Reviews are designed to be appropriate to the earliest development stage of a project. Projects at Gate 0 are not expected to have detailed documentation, scoping, options analysis or economic appraisal.**

**Projects are expected to have some level of feasibility assessment and preliminary justification for why an infrastructure asset intervention is required.**

The Gate 0 Committee is to assess the decision through the lens of four focus areas and some additional areas for consideration.

Three areas are scored by the Gate 0 Committee and this scoring is a key consideration in arriving at a recommendation on how the agency should proceed. The Committee will score the three Focus Questions by assigning a score between 0 and 2. No weighting is to be applied. The Committee may consider the total score as well as any other information in reaching the final recommendation on how the agency should proceed to the GCA.

The three scored Focus Questions are:

FOCUS QUESTION	CRITERIA	SCORE
<b>GOVERNMENT PRIORITY</b> <i>How has the NSW Government identified the project as a strategic priority?</i>	<b>HIGH</b> Project / proposal is clearly articulated as a NSW Government priority within a Cabinet-endorsed strategy, policy, (election) commitment or decision.	<b>2</b>
	<b>MEDIUM</b> Project / proposal is not listed but directly aligns with a NSW Government priority as identified in a Cabinet-endorsed strategy, policy, (election) commitment or decision.	<b>1</b>
	<b>LOW</b> Project / proposal has no, or limited alignment with a NSW Government Cabinet-endorsed strategy, policy, (election) commitment or decision.	<b>0</b>
<b>URGENCY</b> <i>How critical is the service need / problem or how urgently does the community need it?</i> Note: Urgency should consider public safety, agency statutory / regulatory requirements, service performance objectives as well as the short, medium and long-term deficiencies/impact on the community.	<b>HIGH</b> Project / proposal planning must commence immediately to meet the required timeframes. Any delay to commencement is likely to result in a critical service gaps or compliance gap or will result in delay to the delivery of government priorities.	<b>2</b>
	<b>MEDIUM</b> Project / proposal planning should commence as soon as possible to avoid degradation of service performance objectives or to avoid delays in the delivery of agency priorities or a strong community need.	<b>1</b>
	<b>LOW</b>	<b>0</b>

# PART C

FOCUS QUESTION	CRITERIA	SCORE
	Project / proposal seeks to address a government service need that may not be critical or action to address the need can occur in the longer term.	
<b>STRATEGIC ASSET MANAGEMENT</b> <i>How does the project / proposal align with the agency's approved asset planning submission (i.e. SAMP, AMP(s) and supporting documentation).</i>  <i>Note:</i> <i>Asset management frameworks can have different names but must be a formal plans or documents that has been approved by agency executive.</i>	<b>HIGH</b> The need for the project/program in the asset planning documentation is clear. The approved asset planning submission clearly demonstrates the agency's reliance on the project to deliver strategic and/or asset management objectives and achieve required outcomes.	<b>2</b>
	<b>MEDIUM</b> The need for the project/program in the asset planning documentation is somewhat clear. The proposal aligns to a strategic objective and/or asset management objective and its contribution to agency outcomes is visible.	<b>1</b>
	<b>LOW</b> The need for the project/program is not clear. There is no reference to the proposal in the agency's approved asset planning submission and/or the need for the project /program is not suitably demonstrated.	<b>0</b>

The fourth focus area is not scored but should be considered by the Gate 0 Committee:

FOCUS QUESTION	CRITERIA	SCORE
<b>ALTERNATIVES</b> <i>How has the project considered non-asset options or augmentation of existing asset in determining the scope of the project?</i>	Agency has given due consideration appropriate to the feasibility stage of the project to: <ul style="list-style-type: none"> <li>• non-asset solutions (e.g. utilisation of existing assets, demand management, operational response, major asset upgrade/maintenance or policy options)</li> <li>• integration / augmentation of existing assets or investment programs</li> <li>• digital and technology approaches</li> </ul> The Committee should note a non-asset and/or 'do nothing' option is examined in detail through the Strategic Business Case.	<b>Not scored</b>

Two additional areas are not scored, but should be considered by the Gate 0 Committee in the deliberations of the recommendation on how the agency should proceed and any other recommendations the Committee wishes to make. The Gate 0 Committee may wish to provide commentary addressing these areas as part of the Gate 0 Report.

AREA FOR CONSIDERATION	CRITERIA
<b>AFFORDABILITY</b> <i>The agency is to provide guidance as to the estimated range of cost for the next stages of the project (including project development to Strategic Business Case).</i>  <i>Agency may comment on any identified/intended funding source.</i>	<ul style="list-style-type: none"> <li>• Overall ETC range</li> <li>• Estimates of the Strategic Business Case and Final Business Case costs</li> <li>• Any identified/intended funding sources for both FBC and project delivery.</li> </ul>

# PART C

## PLANNING & INTERFACES

*Are there any planning issues or dependencies (inter-agency, inter-jurisdiction, inter-project, etc.) impacting development and delivery?*

- How might the project’s success depend on other existing or planned projects and inter-agency cooperation?
- Is this project a ‘critical enabler’ for another project?
- How may the project fit into a network and/or precinct?
- Given the proposed location is there a realistic planning pathway?

## REVIEW PRINCIPLES AND BEHAVIOURS

The Gate 0 Committee is expected to add real value to the project and asset by:



- Being helpful and constructive in conducting the Review and developing the Review Report
- Providing a specific recommendation on how the agency should proceed to the GCA
- Ensure the Review Report’s recommendations are not directed or influenced by external parties
- Providing a Review Report that clearly highlights substantive issues
- Provide other actionable recommendations that will guide and enhance project development.

Gate 0 Reviews are not an audit or a detailed assessment of management plans and project team deliverables.

## REVIEW COMMUNICATION PROTOCOLS

TOPIC	DETAILS
REPORT CONFIDENTIALITY	<ul style="list-style-type: none"> <li>• 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.</li> <li>• All Review Reports are marked “OFFICIAL; Sensitive - NSW Cabinet” and are submitted to Cabinet.</li> <li>• All participants must keep all information, including documentation, confidential at all times.</li> <li>• Gate 0 Committee members must not directly contact the Delivery Agency or stakeholders without the permission of the GCA Review Manager.</li> </ul>
REPORT DISTRIBUTION	<ul style="list-style-type: none"> <li>• The Gate 0 Committee members must not distribute copies of any versions of Review Reports directly to agencies, project teams or any other party.</li> <li>• There is no ‘informal’ element to a Gateway Review or the Review Report, and action will be taken if a Review Report is distributed without permission of the GCA.</li> <li>• Gate 0 Committee may not keep any copies of any version of the Review Report, or supporting documents, following submission to the GCA.</li> </ul>
REPORT FORMAT	<ul style="list-style-type: none"> <li>• All versions of reports issued by the Gate 0 Committee to the GCA are to be in MS WORD format.</li> <li>• The final Review Report issued to the Delivery Agency SRO is to be watermarked as ‘FINAL’ and issued in PDF.</li> </ul>
REPORT TRANSMITTAL	<ul style="list-style-type: none"> <li>• The GCA is required to keep a record of all parties, noting the Review Report version, and to whom the reports are issued.</li> <li>• Gate 0 Committee members should minimise the use of hard copies of Delivery Agency documents and must not keep documents in any form following the Review.</li> </ul>
APPEAL OF DECISION	<ul style="list-style-type: none"> <li>• Any appeal of a Gate 0 Committee decision is to be raised by the Delivery Agency’s representative to the GCA prior to a recommendation proceeding to Cabinet for decision.</li> </ul>

## GLOSSARY

TERM	DEFINITION
BENEFIT OWNER	The agency or role responsible for the realisation of the benefit.
CAPITAL PROJECT	A project primarily comprised of one or more of the following elements: <ul style="list-style-type: none"> <li>• Infrastructure</li> <li>• Equipment</li> <li>• Property developments</li> <li>• Operational technology that forms a component of a capital project.</li> </ul>
CEO	Chief Executive Officer.
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.
DECISION-MAKING	The Gateway, Health Check and Deep Dive Reviews inform decision-making by government. Government in this context refers to all parts of government including delivery agencies.
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 seven 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.
DELIVERY AGENCY	The Government 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.
DELIVERY AGENCY'S PROJECT DIRECTOR	The Delivery 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 Review Manager and Review Team requests.
ECI	Early Contractor Involvement.
EQUIPMENT	The necessary assets used on or to support an infrastructure system and can include fleet and rolling stock.
ETC	Estimated Total Cost.
EXPERT REVIEWER PANEL	Panel comprising independent highly qualified Expert Reviewers established to cover all aspects of Gateway Review needs.
FBC	Final Business Case.
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 Gateway Reviews and the reporting of performance of the Gateway Review Process.
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	A Review of a project/program by an independent team of experienced practitioners at a specific key decision point (Gate) in the project's lifecycle. 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.
HEALTH CHECK	Independent Reviews carried out by a team of experienced practitioners seeking to identify issues in a project/program which may arise between Gateway Reviews.
INFRASTRUCTURE	The basic services, facilities and installations to support society and can include water, wastewater, transport, sport and culture, power, policy, justice, health, education and family and community services.
INFRASTRUCTURE INVESTOR	The NSW Government, representing the State of NSW.
IIAF	Infrastructure Investor Assurance Framework.
KEY FOCUS AREA	A specific area of investigation that factors in Gateway Review deliberations.

TERM	DEFINITION
NSW ASSURANCE PORTAL	Online portal administered by the GCA for the management of IIAF functions.
PROGRAM	<p>A temporary, flexible organisation created to coordinate, direct and oversee the implementation of a set of related projects and activities in order to deliver outcomes and benefits related to the organisation's strategic objectives. A program is likely to be longer term and have a life that spans several years. Programs typically deal with outcomes; whereas projects deal with outputs.</p> <p>Projects that form part of a program may be grouped together for a variety of reasons including spatial co-location (e.g. Western Sydney Infrastructure Program), the similar nature of the projects (e.g. Bridges for the Bush) or projects collectively achieving an outcome (e.g. 2018 Rail Timetable). Programs provide an umbrella under which these projects can be coordinated.</p> <p>The component parts of a program are usually individual projects or smaller groups of projects (sub-programs). In some cases, these individual projects or sub-programs may have a different Project Tier to the overall program.</p>
PROJECT	<p>A temporary organisation, usually existing for a much shorter duration than a program, which will deliver one or more outputs in accordance with an agreed business case. Under the IIAF a capital project is defined as infrastructure, equipment, property developments or operational technology that forms a component of a capital project.</p> <p>Projects are typically delivered in a defined time period on a defined site. Projects have a clear start and finish. Projects may be restricted to one geographic site or cover a large geographical area, however, will be linked and not be geographically diverse.</p> <p>A particular project may or may not be part of a program.</p>
PROJECT TEAM	The Delivery 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 and agency capability). 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 practitioners, sourced from the Expert Reviewer Panel engaged by the GCA to undertake a Gateway Review 1 to 5, Health Check or Deep Dive Review.
REVIEW TEAM LEADER (RTL)	<p>For Gates 1 to 5, Health Checks and Deep Dives the RTL is appointed by the GCA Review 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 Review Manager. If agreed by the GCA Review Manager, the RTL may act as the liaison between the Review Team and the delivery agency's SRO and/or Project Director. The RTL provides the Review debrief to the GCA and the delivery agency's SRO on behalf of the Review Team.</p>
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 Delivery Agency executive with strategic responsibility and the single point of overall accountability for a project.