HEALTH CHECK WORKBOOK

In Development

Is there development confidence in the project?

Infrastructure NSW

Infrastructure NSW

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.

Infrastructure NSW

PROJECT LIFECYCLE AND GATEWAY REVIEWS

The diagram below outlines the typical Gates, along a project's lifecycle stages where Gateway Reviews can be conducted. Health Check Reviews can occur at any point through the lifecycle and are tailored to the project's stage and phase.

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	

YOU ARE HERE

HOW TO USE THIS WORKBOOK

For Health Checks in Development, the Delivery Agency is expected to demonstrate a robust approach to project development, including options identification and analysis, design development, stakeholder engagement, procurement strategy and market engagement, transparent progress reporting and risk tracking and mitigation. Health Checks in Development should provide confidence that the project will meet the Service Need and maximise benefits at optimal cost.

Health Check Review workbooks support a consistent, structured approach to Reviews. The workbooks define roles and responsibilities during Reviews and assist Delivery Agencies and the Review Team to prepare.

PART A	**FOR DELIVERY AGENCIES AND REVIEW TEAMS:** • Background information on the Health Check Review process • Information on the Gateway Review process and how Health Checks apply to projects	**PAGE:** **9**
PART B	**FOR DELIVERY AGENCIES:** • Guidance on how to initiate a Health Check Review • Documentation required	**PAGE:** **16**
PART C	**FOR REVIEW TEAMS:** • Guidance on how to conduct a Gateway Review	**PAGE:** **22**
PART D	**FOR DELIVERY AGENCIES AND REVIEW TEAMS:** • Areas for investigation across the seven Key Focus Areas	**PAGE:** **27**

HEALTH CHECKS AND DELIVERY AGENCY ASSURANCE PROCESSES

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

A Health Check Review provides an independent snapshot of project status at a point in time. Health Check Reviews are **not an audit**, do **not replace the need for mandatory Gateway Reviews** and are **not a 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 HEALTH CHECK 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.

TRIGGERS FOR HEALTH CHECKS

The GCA will agree the timing of the Health Check with the Delivery Agency. Health Checks are initiated in one of three ways.

PLANNED	Projects classified as Tier 1 are required to have a Health Check in Delivery Review every six months during the Delivery stage.
UNPLANNED	Requested by the Delivery Agency, NSW Treasury or the GCA in response to an external event or emerging issue.
PROMPTED	Emerge as a recommendation of a Gateway Review or Health Check Review, to assist in resolving identified project issues.

TYPES OF HEALTH CHECKS

Health Checks are independent expert reviews completed by a Review Team comprising experienced practitioners selected by the GCA to meet the specific needs of the project. A Health Check adds value to the project by providing 'point in time' insight into project elements potentially impacting on successful development and delivery.

Health Checks are initiated as planned, unplanned or prompted activities.

Health Checks can be undertaken in the Development stage, Procurement stage and/or Delivery stage of a project. The Health Checks for each of these stages review the progress of the project against the seven Key Focus Areas. Part C of this workbook includes questions under each of the seven Key Focus Area to assist the Review Team and guide the review.

Each of the Health Checks (Development, Procurement, Delivery) take a general approach based on the project's lifecycle stage. In addition, each Health Check can also consider specific project activities. Part D of this workbook contains general questions relevant to all Health Check in Procurement Reviews and additional questions that the Review Team can choose to include in the Review process to target specific activities or issues.

As with other Reviews, Terms of Reference for each Health Check Review will be agreed and can ask the Review Team to focus on certain aspects of the project. This is particularly important for Health Check Reviews which can have a relatively broad remit.

In summary, the Health Checks and specific activities are:

- **Health Check in Development, which can include a focus on:**
    - o options analysis and appraisal
    - o procurement strategy
    - o market engagement
- **Health Check in Procurement, which can include a focus on:**
    - o market engagement
    - o procurement strategy and contract structure
- **Health Check in Delivery, which can include a focus on:**
    - o mobilisation
    - o lessons learnt

The outcome of a Health Check will be a Review Report commenting on the project development or delivery confidence, including a series of recommendations aimed at improving the project.

HEALTH CHECK PRINCIPLES

The following principles apply to the conduct of a Health Check Review:

- **Relevant and aligned** – the Delivery Agency should be transparent in the information presented in the Review.
- **Efficient and flexible** – the Terms of Reference are agreed, appropriate to the stage and phase of the project and can target specific known, potential or emerging issues.
- **Add value** – collaborative and cooperative discussion focused on project issues is essential. Constraints on the Delivery Agency in terms of resourcing, commercial parameters, level of influence and government policy should be viewed as practical considerations.

In addition:

- 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 report template are followed by the Review Team.
- Review Report commentary and recommendations are focused on practical issues and outcomes.

CONDUCTING A GATEWAY HEALTH CHECK

Health Check Reviews follow the same format as Gateway Reviews. Delivery Agencies should note the following steps and timeframes below:

STEP	ACTIVITY
1	Project approaches milestone, Delivery Agency checks readiness for Health Check Review and contacts the GCA.
2	GCA Review Manager and the Delivery Agency confirm the Review dates.
3	GCA Review Manager confirms and appoints Reviewers.
4	GCA Review Manager prepares the Terms of Reference in discussion with the Delivery Agency.
5	Delivery Agency completes the required templates (see Part B) and provides them to the GCA Review Manager.
6	Delivery Agency uploads Review documents to GCA data room.
7	Review documents are released to the Review Team.
8	Project briefing (Review planning day) including site visit hosted by the Delivery Agency.
9	Review days (hosted by the Delivery Agency – up to 3 days if required) • Day 1 – Interviews • Day 2 & 3 – Interviews / report preparation The time required should be agreed in discussion between the GCA Review Manager, Delivery Agency and the Review Team Leader.
10	Reviewer Team finalises the Review report for the GCA.
11	Delivery Agency debrief (usually attended by the GCA) to the Senior Responsible Officer (SRO).
12	Report and recommendations table goes to the Delivery Agency for fact check and responses to the recommendations.
13	Fact checked report and responses to the recommendations sent to the GCA by the Delivery Agency.
14	Report incorporating response to recommendations finalised by the GCA.
15	Post Review survey sent out to Delivery Agency, Review Team members and GCA Review Manager.
16	Close-out Plan issued to Delivery Agency by the GCA.

Timeline (right side): Planning → Week 1 → Week 2 → Week 3 → Week 4 → Week 5 → Post Review

KEY FOCUS AREAS

At the conclusion of the Health Check Review, the Review Team will rate the project against each of the seven Key Focus Areas:

KEY FOCUS AREA	DESCRIPTION APPLICABLE TO HEALTH CHECKS
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. An assessment of potential or confirmed sources of funds. The whole-of-life, capital and operational cost impacts have been considered.
SOCIAL, ECONOMIC AND ENVIRONMENTAL SUSTAINABILITY	Understanding the long-term impacts, opportunities and obligations created by the project. These can be social, environmental and economic. Ensuring the project delivers a positive legacy for the community. Areas explored include: socio-economic equity; resilience to climate change; effective place making; integration with broader asset networks; asset adaptability (including technological change); interface with heritage; and the robustness of the project's planning approvals processes.
GOVERNANCE	The project and program governance is robust. Clear accountabilities, responsibilities and reporting lines are identified and decision-making and approvals are appropriate and understood. The Senior Responsible Officer and project team have the culture, capability and capacity required.
RISK MANAGEMENT	Ongoing identification and active management of risks and opportunities using a structured and formal methodology.
STAKEHOLDER MANAGEMENT	Ongoing identification and proactive management of stakeholders, both internal and external to government, using a structured and robust framework appropriate to the stage in the project lifecycle.
ASSET OWNER'S NEEDS AND CHANGE MANAGEMENT	Demonstration of how change will be managed in the areas of people, organisation, network and systems as the asset enters operations. Proactive management of the handover impacts through the lifecycle of the project. Demonstrated consideration of issues and risks pertaining to the asset manager, operator and end users.

REVIEW RATINGS

The Review Team will assign the project an overall confidence rating:

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	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.
STRESSED	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.
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.

The Review Team will also rate each of the Key Focus Areas:

KEY FOCUS AREAS RATING HOW THE KEY FOCUS AREA HAS 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.

RECOMMENDATION RATINGS

Recommendations made by the Review Team will also 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 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." 'Clearance of Gateway' will not be provided by the GCA until this recommendation has been actioned.

HEALTH CHECK WORKBOOK

Part A

FOR DELIVERY AGENCIES AND REVIEW TEAMS
Background on NSW Gateway and the risk based approach to project assurance

Infrastructure NSW

OFFICIAL

HEALTH CHECK WORKBOOK – In Development
PART A

Infrastructure NSW

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.

HEALTH CHECK WORKBOOK – In Development
PART A

Infrastructure NSW

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.
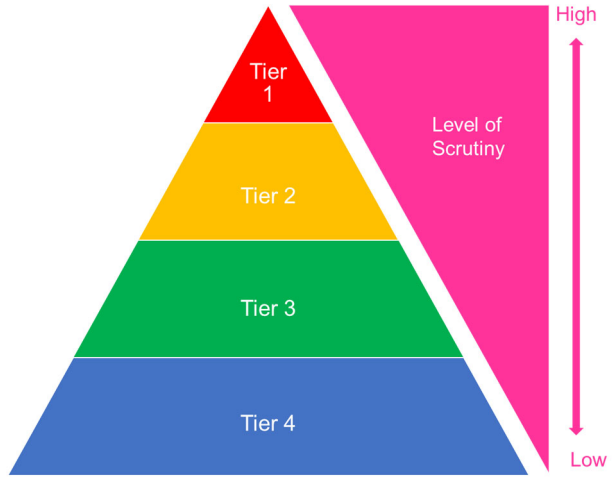
APPLICABLE NSW POLICY

The Gateway Review process aligns with current NSW Government policy and strategies. Delivery Agencies should ensure projects meet 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)

Infrastructure NSW

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

Infrastructure NSW
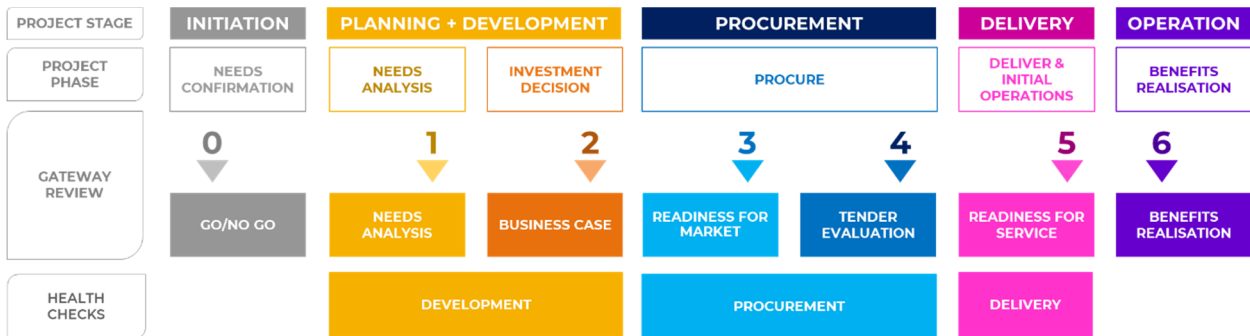
GATEWAY REVIEW PROCESS

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

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 criticality of its service need and how well it is aligned to the Delivery Agency's Asset Management Plan or equivalent.

GATES 1 TO 5 – PROJECT DEVELOPMENT AND DELIVERY

Gateway Reviews (Gates 1 to 5) are independent expert Reviews conducted over a short period 0. 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

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

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 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.

GATEWAY REVIEW REPORTS

The primary output of the Review is a high-quality written report which follows the appropriate Gateway Review Report template and incorporates an Executive Summary, commentary on each of the seven Key Focus Areas, Gateway Review Ratings, the Recommendations Table, 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 and delivery. The primary purpose of the Review Report is to inform the NSW Government of project progress and key issues impacting decision-making. 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.

REPORT DISTRIBUTION	- Health Check Reports are Cabinet documents. - Review Team Members must not distribute copies of any versions of Review Reports directly to Delivery 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 Delivery 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 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

Following the conclusion of the Gateway Review and the finalisation of the Review Report, the Delivery Agency can request a 'Clearance of Gate' Certificate from the GCA. 'Clearance of Gate' will be determined by the GCA.

The Certificate confirms the Gateway Review has been completed for a particular stage and that an appropriate Close-out Plan is in place to assist with project development or delivery. The Certificate is not a Gateway Review approval or an endorsement of the project.

To achieve a 'Clearance of Gate' the Delivery Agency must:

- Respond appropriately to the Review Recommendations (to the satisfaction of the GCA)
- Address all CRITICAL Review Recommendations (to the satisfaction of the GCA)

Delivery Agencies do not have to request a 'Clearance of Gate' Certificate but its absence does not negate the mandatory requirement on a Delivery Agency to respond to and act upon the Review recommendations.

WHAT HEALTH CHECK REVIEWS DO NOT DO

A Health Check Review is not an audit. The Reviews are intended to be confidential and constructive, providing an expert assessment of a project's status.

Delivery Agencies should note that Health Check 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.

ROLES WITHIN A GATEWAY 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 (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	The senior GCA representative responsible for guiding the implementation of the Gateway Review. The GCA Review 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.
DELIVERY AGENCY HEAD	The Secretary or CEO of the Delivery (or Accountable) Agency responsible for the project.
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 Review Team outside the protocols set by the GCA, including following the Review.
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. 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)	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. 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, 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 Delivery Agency's SRO on behalf of the Review Team.
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.
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.

HEALTH CHECK WORKBOOK

Part B

FOR DELIVERY AGENCIES
Initiating and preparing for a Health Check Review

Infrastructure NSW

PART B

Infrastructure NSW

HOW TO USE PART B

PART B assists Delivery Agencies prepare for the Health Check in Development Review, including collating documentation and preparing for the project briefing and interviews.

HEALTH CHECK IN DEVELOPMENT – INFORMING PROJECT DEVELOPMENT CONFIDENCE

PLANNING + DEVELOPMENT	**A Health Check in Development provides an assessment of confidence in the project's development with a focus on robust assessment of options, design development, stakeholder engagement, clear governance, procurement strategy and approach to market engagement.**
INVESTMENT DECISION	
GATEWAY REVIEW HC HC HC HC ▽ ▽ ▽ ▽ **HEALTH CHECK IN DEVELOPMENT**	The primary focus of a Health Check in Development is the efficient management and progression of the infrastructure project through the Planning and Development stage. A Health Check in Development Review responds to the seven Key Focus Areas as Gateway Reviews for Gates 1 to 5 and uses the same project rating approach as Gateway Reviews for Gates 1 to 6.

KEY QUESTION — **IS THERE DEVELOPMENT CONFIDENCE IN THE PROJECT?**

Health Checks in Development are not mandatory and are initiated by the Delivery Agency, NSW Treasury or GCA, or prompted by an earlier Gateway Review or Health Check.

Depending on the timing of the Health Check in Development Review and the project's circumstances, the Review may take a general approach or focus on preferred options, procurement strategy or market engagement. Terms of Reference will guide any specialist requirements for the Review.

REVIEW DELIVERABLE — **OPTIONS DEVELOPMENT / RISK APPROACH / MARKET ENGAGEMENT APPROACH / PROCUREMENT AND DELIVERY APPROACH**

Part D of this workbook contains general questions applicable to <u>all</u> Health Checks in Development. For Health Checks in Development with a targeted focus, additional questions are provided in Part D to assist in guiding the Review.

SPECIFIC HEALTH CHECKS — **MARKET ENGAGEMENT / PREFERRED OPTIONS / PROCUREMENT STRATEGY**

The Delivery Agency should provide documentation and evidence of the project's progress, including delivery fundamentals such as schedule, development of scope, ongoing identification of risks, status of budget, engagement with stakeholders and robustness of governance to support the Review. It will also be appropriate to include evidence to support the selection of options and the preferred option(s), how Cost-Benefit Analysis has been applied, and intended procurement approach.

The Delivery Agency should be able to demonstrate the strength of its project development team, good project management discipline and strong governance.

HEALTH CHECK WORKBOOK – In Development
PART B

Infrastructure NSW

HEALTH CHECK IN DEVELOPMENT REVIEW AND DOCUMENTS

The Delivery Agency is responsible for initiating a Health Check Review at the appropriate time. Delivery Agencies should seek authorisation from the Delivery Agency's governance structure and the Health Check Review should be led by the Delivery Agency's SRO.

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

MANDATORY DOCUMENTS

- Project presentation providing an executive overview of the project

REQUIRED INFORMATION

For a Health Check in Development, documents should exist that include information relating to the analysis of options and the selection of the preferred option(s), application of Cost-Benefit Analysis, a procurement strategy and market engagement approach. The table below highlights the information required to assess the project against the seven Key Focus Areas. In collating the documents, it may also be useful to refer to Part D of this workbook.

The Delivery Agency must complete a document register for the Review Team. Typically, no more than 30 documents that are most relevant to the project, should be loaded into the data room.

GENERAL INFORMATION DOCUMENTED TO SUPPORT HEALTH CHECK IN DEVELOPMENT
Defined service need, problem and forecast demand to support development of a robust scope.
Procurement approach at an appropriate level of development.
Market engagement strategy accompanied by a probity assessment at an appropriate level of development.
Status of budget and funding approvals.
Planning approval pathway strategy.
Structure and responsibilities of the project team (governance).
Project schedule, showing milestones and any issues potentially impacting development and delivery.
Risk register or matrix with evidence of active risk identification, management and mitigation.
Stakeholder engagement and analysis of issues.

HEALTH CHECK WORKBOOK – In Development
PART B

Infrastructure NSW

TEMPLATES TO BE COMPLETED

Prior to the commencement of the Review the Delivery Agency will need to complete the following templates and supply them to the GCA Review Manager.

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

- Project briefing agenda
- Interview schedule
- Interviewee list
- Document register

HEALTH CHECK WORKBOOK – In Development
PART B

Infrastructure NSW

INITIATING THE HEALTH CHECK

The Delivery Agency contacts the relevant GCA Review Manager to initiate the Review.

On initiation of the Review, the GCA will draft the Terms of Reference and appoint the Review Team. The Delivery Agency uses this time to collate project documentation and coordinate interviewees. The Review commences with the release of the project documents to the Review Team. This is followed by the project briefing and site visit, and interviews.

The Delivery Agency and GCA Review Manager will discuss and agree:

- Dates for the project briefing and interview day(s).
- Any urgency in the completion of the Health Check 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).

TERMS OF REFERENCE FOR THE REVIEW

The GCA will determine the Terms of Reference for the Health Check Review in consultation with the Delivery Agency and provide them to the Review Team prior to the commencement 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 Delivery Agency see as issues. The Terms of Reference should be used in conjunction with the appropriate Gateway Review Workbook.

Delivery Agencies should collate sufficient evidence and schedule appropriate interviewees to address the Terms of Reference.

HEALTH CHECK WORKBOOK – In Development
PART B

Infrastructure NSW

PROJECT BRIEFING AGENDA

The project briefing is held approximately one week after the release of the Review documentation and one week prior to the interviews.

The Delivery Agency prepares the Project Briefing Agenda and provides it to the GCA. The Delivery Agency organises the venue and the GCA Review Manager issues diary invitations. The project briefing should include a site visit if requested by the GCA or Review Team Lead.

A Project Briefing Agenda template is included in the Health Check in Development suite of documents. This template is only provided as guidance and the Delivery Agency may change the agenda as appropriate.

PARTICIPATION AND INTERVIEWS

The Delivery Agency prepares an interview schedule and provides it to the GCA Review Manager and the Review Team for comment. The Review Team has discretion over the final list of interviewees and, if they deem necessary, can request additional interviewees, which the Delivery Agency must then arrange. The interviewees nominated should be appropriate to cover each of the seven Key Focus Areas and the Terms of Reference.

The Delivery 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 Health Check in Development suite of documents. Typically, interviewees for a Health Check in Development will include:

- The Senior Responsible Officer
- Senior Delivery Agency representatives responsible for capital planning and prioritisation
- Project Manager/Director
- Project team members (Design / Cost Planning / Scheduling / Planning Approvals / Communication)
- Representatives of the intended operator and operations team
- NSW Treasury representatives familiar with the project
- Stakeholders from other agencies or user groups.

An interviewee information sheet is available with the Health Check in Development suite of documents on the Infrastructure NSW website and it may be useful for the agency to provide this to interviewees unfamiliar with the Gateway Review process.

DRAFT AND FINAL REVIEW REPORT

The GCA will issue the Delivery 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.

Once the fact-check and response to recommendations is complete, the Report is then sent by the Delivery 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.

HEALTH CHECK WORKBOOK

Part C

FOR REVIEW TEAMS
Conducting a Health Check in Development Review

Infrastructure NSW

HEALTH CHECK WORKBOOK – In Development
PART C

Infrastructure NSW

HEALTH CHECK IN DEVELOPMENT APPROACH

Health Check in Development Reviews occur during the Planning and Development stage of a project in response to the emergence of actual or potential project issues.

The Review Team should use this workbook to guide the assessment of the **development confidence in the project, including a detailed assessment of option development and selection, design development, stakeholder engagement, governance, procurement strategy, market engagement approach and any other specific issues noted in the Terms of Reference.** The Review Team is to provide a robust commentary against each of the seven Key Focus Areas.

The outcome of a Health Check in Development Review will provide confidence to government that the project is progressing through the Planning and Development stage and key risks are being identified and mitigated.

HEALTH CHECK REVIEW

Health Check Reviews are conducted through an examination of the project documentation provided and interviews with project team members and stakeholders. The Review is structured around the seven Key Focus Areas and is informed by the Terms of Reference.

Typically, a Health Check Review includes:

- Project documentation released to the Review Team
- A project briefing and site visit hosted by the Delivery Agency and attended by the SRO and the GCA Review Manager
- Interview day(s) hosted by the Delivery Agency
- Review Report drafted by the Review Team for the GCA
- Review debrief with the SRO organised by the Delivery Agency and attended by the Review Team Leader and the GCA Review Manager
- Finalisation of the Review Report by the GCA and issue to the Delivery Agency.

HEALTH CHECK REVIEW TEAM

For each Health Check Review the GCA Review Manager selects the Health Check Review Team members (typically three members but can be more or less depending on the Review requirements), 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 seeks to appoint a Review Team with the mix of skills and expertise to allow the Team to expertly address each of the seven 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.

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
- Adhering to any Terms of Reference provided by the GCA
- Providing a Review Report that clearly highlights substantive issues, their causes and consequences
- Providing specific and actionable recommendations.

Gateway Reviews are not adversarial or a detailed assessment of management plans and project team deliverables. Poor or disrespectful behaviour will not be tolerated by the GCA.

HEALTH CHECK WORKBOOK – In Development
PART C

Infrastructure NSW

REVIEW COMMUNICATION PROTOCOLS

TOPIC	DETAILS
REPORT CONFIDENTIALITY	• 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 Delivery Agency or stakeholders without the permission of the GCA Review Manager.
REPORT DISTRIBUTION	• Review Team Members must not distribute copies of any versions of Review Reports directly to Delivery 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 Gateway 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.
REVIEW DEBRIEF	• The GCA Review Manager and the Review Team Leader will agree on the process and timing to conduct a Review debrief with the Delivery Agency following the development of the Review Report. The GCA Review Manager will approve the agency representatives that attend the debrief and may attend the debrief. • There is no 'informal' element to Gateway Reviews. A debrief to the SRO or any agency executive must not occur without the approval of the GCA representative.
REPORT FORMAT	• 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 MS Word format. • The final Review Report issued to the Delivery Agency SRO is to be watermarked as 'FINAL' and issued in PDF.
REPORT TRANSMITTAL	• 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 Delivery Agency documents and must not keep any documents in any form following the Review.

HEALTH CHECK WORKBOOK – In Development
PART C

Infrastructure NSW

CONDUCTING A TARGETED HEALTH CHECK

The GCA will inform the Review Team if the Health Check in Development has a targeted focus and this will be reflected in the Terms of Reference.

A Health Check in Development Review may focus on:

- Options analysis and appraisal
- Procurement strategy
- Market engagement.

When a Health Check in Development takes a focused approach, the Review Team must cover the additional relevant questions posed under each of the seven Key Focus Areas. These questions are provided in this workbook.

HEALTH CHECK REVIEW REPORT

The primary output of a Health Check Review is a high-quality written report that is candid and clear, absent of errors and without contradiction and inconsistencies.

The primary purpose of the Review Report is to inform government of project status and issues, with recommendations so appropriate action can be taken.

The Review Team should utilise the appropriate Review Report template incorporating the Gateway Review Ratings and the Review Recommendations Table. The Terms of Reference form part of the Review Report.

Review Reports must include:

- Executive Summary that addresses the Review Team's key findings and includes the recommendations rated as critical and the overall Review Rating with a succinct justification.
- Commentary, including a Rating, on the project's response to each of the seven Key Focus Areas.
- Relevant recommendations under each Key Focus Area, listed, justified and rated (consistent with the Ratings Guide).
- Commentary under 'Other Matters' for issues that do not fit within the seven Key Focus Areas (including issues identified in the Terms of Reference).
- Recommendations Table in the format provided by the GCA and including each recommendation with its rating and categorisation by theme (see below).

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 18 key themes.

Review Teams are requested to assign one of the 18 key themes to each recommendation made.

THEME	DEFINITION
QUALITY OF THE BUSINESS CASE	- 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.
GOVERNANCE	- 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.
DISCIPLINE IN RISK MANAGEMENT	- 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.
STAKEHOLDER ENGAGEMENT	- 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.

HEALTH CHECK WORKBOOK – In Development
PART C

Infrastructure NSW

THEME	DEFINITION
BENEFITS REALISATION	• Lack of a benefits realisation framework strategy/plan, or does not adequately identify, quantify or assign responsibility for benefits.
PROJECT RESOURCING	• 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.
PROJECT MANAGEMENT AND REPORTING	• Lack of, or inadequate, project management, scheduling discipline or project controls. • The schedule (program) has not been appropriately developed and is not reflective of the project risks and timing.
PROCUREMENT	• 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.
OPTIONS ANALYSIS	• 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.
COMMERCIAL CAPABILITY	• 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.
APPROACH TO PLANNING AND APPROVALS	• Planning pathway to achieve planning consent in a timely manner not identified or articulated.
CHANGE MANAGEMENT	• Lack of an effective mechanism to identify the changes necessary to achieve project outcomes. • Lack of a change management plan / inadequate change management plan.
OPERATIONAL READINESS PLANNING	• Lack of, or inadequate mechanisms to ensure effective readiness planning, prioritisation, management and operation. • Operational governance and management structures not determined and/or established.
SHARING KNOWLEDGE ACROSS GOVERNMENT	• Lack of, or inadequate processes to capture and share lessons learnt (errors and successes).
INTEGRATION WITH PRECINCT AND ACROSS SERVICES	• Inadequate consideration of interfacing networks, precincts, projects and services.
UNDERSTANDING GOVERNMENT PROCESSES	• Relevant NSW Government guidelines, frameworks and processes not considered, employed and/or complied with during project development and delivery.
CLEAR PROJECT OBJECTIVES	• 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. • The project scope does not align with the project objectives and KPIs have not been developed.
SUSTAINABILITY	• Lack of or inadequate consideration, documentation and assessment of the social, economic and environmental impacts of the project.

HEALTH CHECK WORKBOOK

Part D

FOR DELIVERY AGENCIES AND REVIEW TEAMS
Areas for investigation in a Health Check in Development Review

Infrastructure NSW

WHAT TO LOOK FOR AT HEALTH CHECK IN DEVELOPMENT

The Health Check in Development Review seeks to answer the question: **Is there development confidence in the project?**

KEY FOCUS AREA	GENERAL DESCRIPTION APPLICABLE TO GATEWAY	HOW KEY FOCUS AREA IS APPLIED AT HEALTH CHECK IN DEVELOPMENT
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.	The development of the project is aligned to the Delivery Agency's strategic priorities with clear links between service need and current government policy. There is growing confidence the project will achieve the benefits intended. Evidence that demand analysis is being used to define the service need and scope.
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. An assessment of potential or confirmed sources of funds. The whole-of-life, capital and operational cost impacts have been considered.	Options identification, analysis and selection maximises benefits at optimal cost in meeting the service need. Appropriate Cost-Benefit Analysis of options is being developed with evidence to support the selection of the preferred option(s).
SOCIAL, ENVIRONMENTAL AND ECONOMIC SUSTAINABILITY	Understanding the long-term impacts, opportunities and obligations created by the project. These can be social, environmental and economic. Ensuring the project delivers a positive legacy for the community. Areas explored include: socio-economic equity; resilience to climate change; effective place making; integration with broader asset networks; asset adaptability (including technological change); interface with heritage; and the robustness of the project's planning approvals processes.	Solution identification, analysis and selection considers the long-term impacts and obligations created by the project, ensures the project fits within its context and location and is compatible within the broader service network and place-based plans. Planning pathways are considered in the analysis and the implications explored through the procurement strategy and market engagement activities.
GOVERNANCE	The project and program governance is robust. Clear accountabilities, responsibilities and reporting lines are identified and decision-making and approvals are appropriate and understood. The Senior Responsible Officer and project team have the culture, capability and capacity required.	Robust project development governance structure with clearly articulated responsibilities and reporting lines and appropriate delegations in place with an emphasis on project development.
RISK MANAGEMENT	Ongoing identification and active management of risks and opportunities using a structured and formal methodology.	Risks and opportunities identified, appropriately considered and documented within a structured methodology to support project development and enable market engagement and procurement.
STAKEHOLDER MANAGEMENT	Ongoing identification and proactive management of stakeholders, both internal and external to government, using a structured and robust framework appropriate to the stage in the project lifecycle.	Identification of stakeholders, both internal and external to government. Stakeholders appropriately engaged to inform the project Planning and Development stage.
ASSET OWNER'S NEEDS AND CHANGE MANAGEMENT	Demonstration of how change will be managed in the areas of people, organisation, network and systems as the asset enters operations. Proactive management of the handover impacts through the lifecycle of the project. Demonstrated consideration of issues and risks pertaining to the asset manager, operator and end users.	Involvement of the asset owner and/or operator in project development and consideration and documentation of operational issues for the project. Proactive identification of change management approach to move effectively through to Procurement stage.

Infrastructure NSW

DEFINITION OF SCOPE

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. Gateway 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:
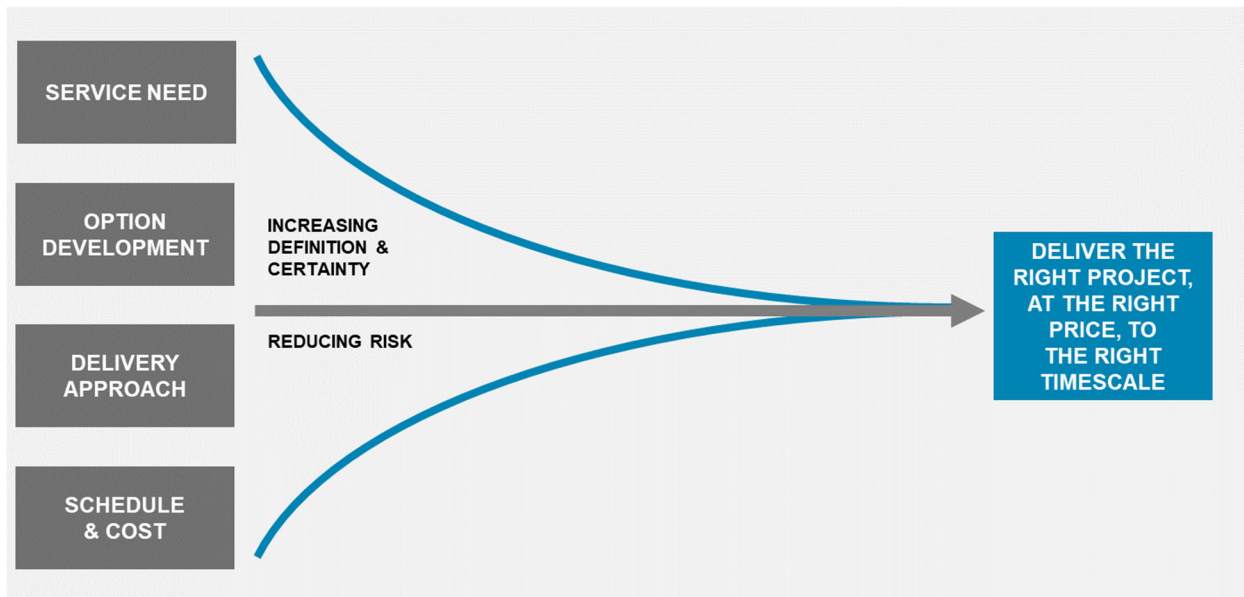
PROJECT DECISIONS

Gateway Reviews also 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.

HEALTH CHECK WORKBOOK – In Development
PART D

Infrastructure NSW
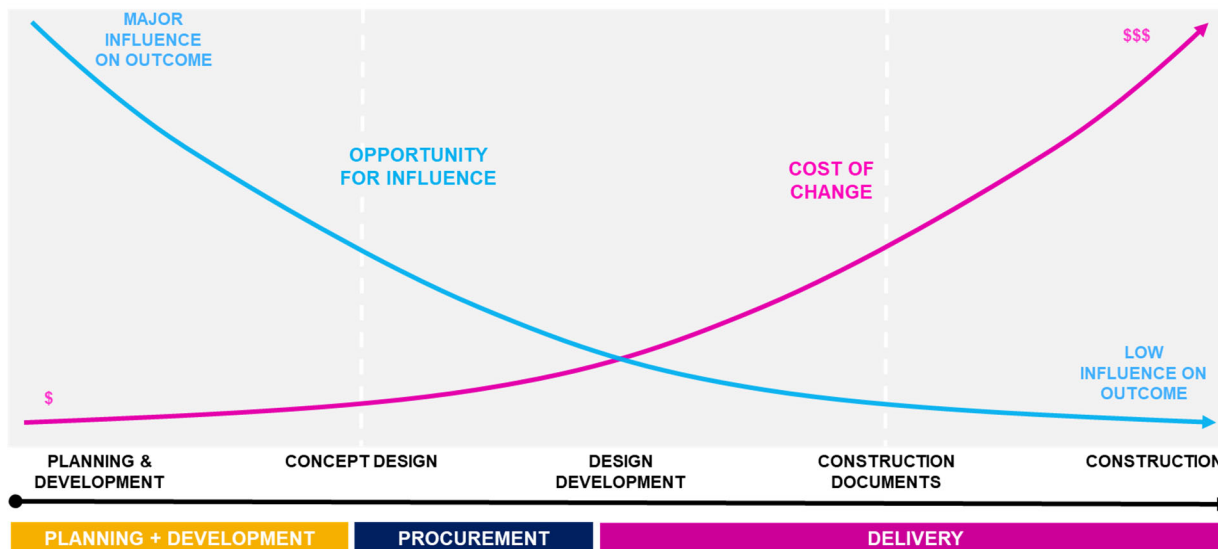
APPLICATION OF REVIEW SUCCESS FACTORS

In examining each of the Key Focus Areas the Review Team should be guided by project development and delivery fundamentals. These fundamentals are the Success Factors for projects underpinning delivery confidence.

The Success Factors provide an overarching context for each Key Focus Area and should assist in developing lines of enquiry. The Success Factors provide context to the commentary in the Review Report and are incorporated into the Review Report.

As a project progresses through its lifecycle there is an expectation that the detail and evidence will increase, providing confidence that the requirements of the seven Key Focus Areas are being met. This can be seen through the lens of three success factors within each Key Focus Area:

	INCREASING SCOPE CONFIDENCE	• 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 Delivery Agency of how to deliver the solution
	MANAGING RISK	• 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	• 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

OPTIMISM BIAS

Optimism bias refers to the tendency to overestimate the likelihood of good events occurring and underestimating the likelihood of experiencing adverse events. Optimistic errors are considered to be 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:

• Use independent peer reviewers to verify that cost, demand and benefit estimates are realistic

• Undertake risk workshops, with key stakeholders, and people with knowledge of the project and/or the potential risks, the operator and asset owner involved to review the assumptions made and the risks identified – including the likelihood of the risk occurring, and impact if the risk were to occur.

HEALTH CHECK WORKBOOK – In Development
PART D

Infrastructure NSW

KEY FOCUS AREA 1 – SERVICE NEED

KEY FOCUS AREA	HOW KEY FOCUS AREA IS APPLIED AT HEALTH CHECK IN DEVELOPMENT		
SERVICE NEED	The development of the project is aligned to the Delivery Agency's strategic priorities with clear links between service need and current government policy. There is growing confidence the project will achieve the benefits intended. Evidence that demand analysis is being used to define the service need and scope.		
	The project development activities are consistent with the problem definition and reflect the service need.	The project development activities are consistent with government policy and reflect future demand.	Project objectives are articulated to define and maximise project benefits.

AREAS TO EXPLORE

The tables below assist the Review Team to customise the areas explored to better align with the focus of development activities at a point in time. The Review Team should select the most appropriate questions to guide the Review.

GENERAL FOR ALL HEALTH CHECKS IN DEVELOPMENT
1. How are the project objectives being aligned and consistent with government policies?
2. How are the project objectives guiding the project through its development?
3. How is the project defining and analysing the evidence of the problem to support the service need and scope development and linked to service need in the agency's Asset Management Plan?
4. How well has the case for change been articulated and evidenced, and does the narrative have a clear direction?

ADDITIONAL QUESTIONS FOR TARGETED HEALTH CHECK IN DEVELOPMENT
OPTIONS ANALYSIS AND APPRAISAL FOCUS
Does the project have the right skills, resources and data available to undertake the options analysis?
How comprehensive has the options identification been and are the options appropriate to the project?
Is the evaluation methodology to assess each option and select the preferred option sound?
Have operational and non-asset solutions been robustly assessed?
How is the option identification and analysis ensuring the technical and engineering outcomes are balanced against end-user needs?
PROCUREMENT STRATEGY FOCUS
Are there any constraints on the project that have led to the selection of the procurement model?
How is the project allowing for market innovation within the procurement approach?
Does the project lend itself to an Early Contractor Involvement (ECI) or similar model?
How will the procurement process incentivise suppliers to deliver the expected benefits of the project?
MARKET ENGAGEMENT FOCUS
How is the project engaging with the market to understand market experience, capacity and alternative approaches to delivery?
How is the early market engagement structured to inform scope development and optimisation?
How confident is the project in the market capacity and capability to deliver the intended service need?

HEALTH CHECK WORKBOOK – In Development
PART D

Infrastructure NSW

KEY FOCUS AREA 2 – VALUE FOR MONEY AND AFFORDABILITY

KEY FOCUS AREA	HOW KEY FOCUS AREA IS APPLIED AT HEALTH CHECK IN DEVELOPMENT		
VALUE FOR MONEY AND AFFORDABILITY	**Options identification, analysis and selection maximises benefits at optimal cost in meeting the service need. Appropriate Cost-Benefit Analysis of options is being developed with evidence to support the selection of the preferred option(s).**		
	Has sufficient funding been accessed to support the development of a robust Final Business Case and does the scope being developed represent optimal cost for the delivery of the intended benefits.	High level costing to inform appropriate Cost-Benefit Analysis, assess funding risk and establish overall affordability of the project.	Project interdependencies and whole-of-life benefits incorporated into the options analysis, procurement strategy and early market engagement.

AREAS TO EXPLORE

The tables below assist the Review Team to customise the areas explored to better align with the focus of development activities at a point in time. The Review Team should select the most appropriate questions to guide the Review.

GENERAL FOR ALL HEALTH CHECKS IN DEVELOPMENT

1. How is the project ensuring it adheres to Planning and Development stage budgets with appropriate tracking and reporting and is the project information being relayed to the asset owner/operator for continuous life cycle modelling?
2. How is the Delivery Agency developing the funding envelope for the project and is it affordable?
3. How is the Delivery Agency exploring alternative sources of funding to Consolidated Revenue?
4. What is the evidence that the cost planning against the scope (including risk allowances) is sufficiently robust, free from bias and assumptions have been consistently applied?

ADDITIONAL QUESTIONS FOR TARGETED HEALTH CHECK IN DEVELOPMENT

OPTIONS ANALYSIS AND APPRAISAL FOCUS

Has the affordability of the options or preferred option, been considered within the ongoing analysis and refinement process?

Is an appropriate level of Cost-Benefit Analysis being undertaken for each option?

How are the benefits of each option being maximised, assessed and compared?

What are the key areas within each option's scope that could significantly impact funding requirements?

How are operational and whole-of-life costs being integrated into the option evaluation and assessment?

How have the costs and benefits of each option been sufficiently identified to support the development of a Final Business Case?

PROCUREMENT STRATEGY FOCUS

How may the nominated procurement strategy impact on the procurement cost of the project?

How may the nominated procurement strategy impact on the delivery timeframe or cost of the project?

How will the procurement strategy contribute to achieving maximum benefits at optimal cost?

How does the procurement strategy encourage the contestability of service delivery?

MARKET ENGAGEMENT FOCUS

How is the project engaging the market to understand costs and any capacity constraints that may impact on project delivery costs?

How are innovative and cost effective maintenance approaches being extracted from the market and incorporated into the project development?

PART D

Infrastructure NSW

KEY FOCUS AREA 3 – SOCIAL, ENVIRONMENTAL AND ECONOMIC SUSTAINABILITY

KEY FOCUS AREA	HOW KEY FOCUS AREA IS APPLIED AT HEALTH CHECK IN DEVELOPMENT
SOCIAL, ENVIRONMENTAL AND ECONOMIC SUSTAINABILITY	**Solution identification, analysis and selection considers the long-term impacts and obligations created by the project, ensures the project fits within its context and location and is compatible within the broader service network. Planning pathways are considered in the analysis and the implications explored through the procurement strategy and market engagement activities.**

Project development activities consider social and economic equity, environmental impacts, technological change and climate resilience in the context of its location and integration with its wider asset network.

Planning pathways are considered and further developed through the procurement strategy development.

Non-economic benefits are included. Broader community outcomes are built into the scope and delivery.

AREAS TO EXPLORE

The tables below assist the Review Team to customise the areas explored to better align with the focus of development activities at a point in time. The Review Team should select the most appropriate questions to guide the Review.

GENERAL FOR ALL HEALTH CHECKS IN DEVELOPMENT
1. How will the project development activities ensure place making and locational context are integrated into the design process?
2. How are future adaptability (including event impact and stress, climate resilience and technological change), and sustainability criteria being embedded into the project?
3. How are planning pathways and approvals being incorporated into and assessed within the options analysis?

ADDITIONAL QUESTIONS FOR TARGETED HEALTH CHECK IN DEVELOPMENT
OPTIONS ANALYSIS AND APPRAISAL FOCUS
How are the potential heritage impacts being confirmed (through a local, state or federal instrument or heritage listing) and then mitigated for each option?
How is the integration of the asset within the built environment and place being included in the option development and assessment process?
What are the long-term broader asset network and service integration requirements, are they being articulated and then appropriately captured?
How is the option analysis considering the distribution and realisation of socio-economic impacts and benefits?
How is the option analysis and evaluation considering the environmental impacts, and sustainability criteria?
PROCUREMENT STRATEGY FOCUS
How are planning pathways being developed to inform potential procurement strategy options?
How are sustainability initiatives being embedded into the procurement strategy and is this appropriate for the project?
MARKET ENGAGEMENT FOCUS
How are innovative and cost effective sustainability approaches being extracted from the market and incorporated into the project development?
How is the project engaging with the market to understand the implications of planning pathways and strategies on project procurement and delivery?

HEALTH CHECK WORKBOOK – In Development
PART D

Infrastructure NSW

KEY FOCUS AREA 4 – GOVERNANCE

KEY FOCUS AREA	HOW KEY FOCUS AREA IS APPLIED AT HEALTH CHECK IN DEVELOPMENT		
GOVERNANCE	**Robust project development governance structure with clearly articulated responsibilities and reporting lines and appropriate delegations in place with an emphasis on project development.**		
	Governance framework developed and key roles in place. Senior Responsible Officer identified. Project team is appropriately structured, skilled and resourced.	Governance structure supports the assessment and control of risk and ensures probity.	Baseline data is captured to support benefit / impact assessment.

AREAS TO EXPLORE

The tables below assist the Review Team to customise the areas explored to better align with the focus of development activities at a point in time. The Review Team should select the most appropriate questions to guide the Review.

GENERAL FOR ALL HEALTH CHECKS IN DEVELOPMENT
1. What is the formal project and Delivery Agency governance structure to support the project Planning and Development stage?
2. Are there appropriate intra- and inter-agency governance arrangements in place?
3. What evidence demonstrates the Senior Responsible Officer has sufficient engagement, expertise, capacity and financial delegation at a level appropriate to the scale of the project?
4. What are the mechanisms to ensure the necessary skilled resourcing, project controls (program, milestones, change control), monitoring and reporting are in place and current to meet the needs of the project to support the Planning and Development stage?
5. How are the governance and project team responsibilities, accountabilities and decision-making delegations documented and are they appropriate to the scale of the project?
6. How does the governance framework include representation of the end user?
7. How is the governance for the project and Delivery Agency ensuring the right culture is developed and maintained within the project team through the Planning and Development stage?
8. Is there appropriate visibility and transparency through the project team and governance?
9. How does the organisation handle failure or setbacks within projects? Can you provide examples of how these situations were managed and what was learned from them?

ADDITIONAL QUESTIONS FOR TARGETED HEALTH CHECK IN DEVELOPMENT
OPTIONS ANALYSIS AND APPRAISAL FOCUS
How is the options analysis process and evaluation being agreed within the established governance framework?
PROCUREMENT STRATEGY FOCUS
Has a procurement model been developed to a sufficient level of detail to allow a meaningful assessment of how appropriate it is to the project?
How is the project assessing procurement strategy options within the established governance framework?
How are lessons learnt from previous projects being utilised in the development of procurement options?
MARKET ENGAGEMENT FOCUS
Does the project have an appropriate probity plan in place to guide the proposed market engagement for this project?

PART D

Infrastructure NSW

KEY FOCUS AREA 5 – RISK MANAGEMENT

KEY FOCUS AREA	HOW KEY FOCUS AREA IS APPLIED AT HEALTH CHECK IN DEVELOPMENT
RISK MANAGEMENT	**Risks and opportunities identified, appropriately considered and documented within a structured methodology to support project development and enable market engagement and procurement.**

Risks to scope development proactively managed to meet Service Need.	Robust and consistent risk assessment approach applied.	Risks to objectives and benefits realisation identified and mitigated within the project development process.

OPTIONAL AREAS TO EXPLORE

The Review Team may choose to explore the following questions based on the type of project being undertaken.

GENERAL FOR ALL HEALTH CHECKS IN DEVELOPMENT
1. What formal risk management approach has been adopted for the Planning and Development stage of the project and is it effective?
2. What evidence demonstrates that the list of the project's key risks is robust?
3. Could you share examples of when project staff promptly escalated specific project risks and critical issues to senior management and how does the organisation measure and encourage transparency and courage in these situations?

ADDITIONAL QUESTIONS FOR TARGETED HEALTH CHECK IN DEVELOPMENT
OPTIONS ANALYSIS AND APPRAISAL FOCUS
How are the specific risks for each option being developed and assessed within the context of selecting the preferred option(s) and realising the benefits of the project?
How are the key project risks influencing the options development, analysis and evaluation?
PROCUREMENT STRATEGY FOCUS
How are the key project risks influencing the development of the procurement strategy?
How has commercial risk and its allocation been considered in the development of the procurement model?
Has the project followed Delivery Agency and government procurement policy in-line with the scale of the project?
MARKET ENGAGEMENT FOCUS
How are the key project risks being identified through the market engagement process?
How are the risks around the market engagement process, including those relating to confidentiality of information, being comprehensively captured and mitigated?
How are delivery risks around scale of packages and project interfaces being captured and assessed?

HEALTH CHECK WORKBOOK – In Development
PART D

Infrastructure NSW

KEY FOCUS AREA 6 – STAKEHOLDER MANAGEMENT

KEY FOCUS AREA	HOW KEY FOCUS AREA IS APPLIED AT HEALTH CHECK IN DEVELOPMENT
STAKEHOLDER MANAGEMENT	**Identification of stakeholders, both internal and external to government. Stakeholders appropriately engaged to inform the project Planning and Development stage.**
	Stakeholder input into the development of the project scope, scope trade-offs, procurement strategy and market engagement. / Assessment of the acceptability of the project to key stakeholders. Evidence of active identification and management of interfaces. / Stakeholder engagement informs project objectives and supports enhanced benefits.

AREAS TO EXPLORE

The tables below assist the Review Team to customise the areas explored to better align with the focus of delivery activities at a point in time. The Review Team should select the most appropriate questions to guide the Review.

GENERAL FOR ALL HEALTH CHECKS IN DEVELOPMENT
1. What is the comprehensive stakeholder management and engagement strategy developed to support project development, options analysis, market engagement and procurement?
2. How are stakeholders (including end users and the community) being identified?
3. How is intra- and inter-agency consultation being incorporated into the Planning and Development stage, with the aim of enhancing the project and achieving whole of government benefits?
4. How well is the stakeholder engagement actively managing interfaces to the project?

ADDITIONAL QUESTIONS FOR TARGETED HEALTH CHECK IN DEVELOPMENT
OPTIONS ANALYSIS AND APPRAISAL FOCUS
What engagement is being undertaken with stakeholders to inform the identification and assessment of options?
How are the views of stakeholders being incorporated into and informing the identification and assessment of options?
How are other government agencies being included in the options identification and assessment to develop a robust Cost-Benefit Analysis?
What stakeholder issues have been identified through the options identification and analysis that may prevent the project from maximising benefits and optimising costs?
PROCUREMENT STRATEGY FOCUS
How is the project canvassing procurement strategy options amongst stakeholders?
MARKET ENGAGEMENT FOCUS
What market engagement activities are defined and programmed to inform project development?
How will the market engagement activities be conducted in-line with community and government expectations?

HEALTH CHECK WORKBOOK – In Development
PART D

Infrastructure NSW

KEY FOCUS AREA 7 – ASSET OWNER'S NEEDS AND CHANGE MANAGEMENT

KEY FOCUS AREA	HOW KEY FOCUS AREA IS APPLIED AT HEALTH CHECK IN DEVELOPMENT
ASSET OWNER'S NEEDS AND CHANGE MANAGEMENT	**Involvement of the asset owner and/or operator in project development and consideration and documentation of operational issues for the project. Proactive identification of change management approach to move effectively through to Procurement stage.**
	Good understanding of scope driven operational impacts. / Understanding of affected organisations and likely response to change. / Clear articulation of operational benefits and how project benefits overall will be realised.

OPTIONAL AREAS TO EXPLORE

The Review Team may choose to explore the following questions based on the type of project being undertaken.

GENERAL FOR ALL HEALTH CHECKS IN DEVELOPMENT
1. How is the asset owner/operator's statement of requirements for the project incorporated into the Planning and Development stage activities?
2. How is the project managing ongoing resourcing needs in line with Planning and Development stage activities?

ADDITIONAL QUESTIONS FOR TARGETED HEALTH CHECK IN DEVELOPMENT
OPTIONS ANALYSIS AND APPRAISAL FOCUS
How are the possible workforce or human resources impacts being incorporated into the identification and assessment of options?
How are the possible broader network impacts being incorporated into the identification and assessment of options?
How are the possible systems changes (technology, processes or procedures) being identified and incorporated into the assessment of options?
How is the options identification and assessment considering the asset owner and/or operator and operational impacts across affected organisations?
How are the end-user needs and impacts being incorporated into the identification and assessment of options?
How are potential network disruptions, during delivery or in operations, being considered in the identification and assessment of options?
PROCUREMENT STRATEGY FOCUS
How are the asset owner and/or operator needs being considered in the development of the procurement strategy?
How are potential network disruptions, during delivery or in operations, being considered in the development of the procurement strategy?
How are the identified benefits being captured through the procurement strategy?
MARKET ENGAGEMENT FOCUS
How is the owner and/or operator being involved in the market engagement process?

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: • Infrastructure • Equipment • Property developments • Operational technology that forms a component of a capital project.
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.

TERM	DEFINITION
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.
NSW ASSURANCE PORTAL	Online portal administered by the GCA for the management of IIAF functions.
PROGRAM	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. 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. 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.
PROJECT	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. 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. A particular project may or may not be part of a program.
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)	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. 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.
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.