|  |  |
| --- | --- |
| **PROJECT:**  NSW INFRASTRUCTURE  INVESTOR ASSURANCE  Version 2: December 2018 | [project] |
| PROJECT ID:  NSW INFRASTRUCTURE  INVESTOR ASSURANCE  Version 2: December 2018 | **[to be populated by INSW]** |
| SPONSOR AGENCY: | **[agency name]** |
| AGENCY HEAD: | **[name of Sponsor Agency Secretary]** |

|  |  |
| --- | --- |
| PROGRAM: | **[program name] only required if project part of a broader program** |
| DELIVERY AGENCY: | **[delivery agency name]** |
| DELIVERY AGENCY HEAD: | **[name of delivery agency Secretary or CEO]** |
| ASSET OWNER/ OPERATOR AGENCY: | **[agency name]** |
| OPERATOR AGENCY HEAD: | **[name of agency Secretary or CEO]** |

|  |  |
| --- | --- |
| Status of Report: | **DRAFT Version [x]/ FINAL** |
| Senior Responsible Officer: | **[name, title & organisation of delivery agency nominated SRO]** |
| Project Director: | **[name of delivery agency Project Director]** |

|  |  |
| --- | --- |
| Review Dates: | **Briefing [dd month YYYY]** |
| **Interviews [dd – dd month YYYY]** |

|  |  |
| --- | --- |
| Gateway Review Team: | **[team lead]** |
| **[team member]** |
| **[team member]** |
| Review Manager: | **[Gateway Coordination Agency Executive Director]** |

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|  |  |  |  |
| --- | --- | --- | --- |
| **REVISION HISTORY** | | | |
| Revision Date | Version Status | Author | Version No. |
|  | DRAFT | REVIEW TEAM | 0.1 |
|  | FINAL DRAFT | REVIEW TEAM |  |
|  | RESPONSE DRAFT |  |  |
|  | FINAL | INFRASTRUCTURE NSW |  |

# EXECUTIVE SUMMARY

[Executive Summary should include:

* The Review Team’s view on the project (relevant to the project stage)
* Key messages for the delivery agency Secretary and Cabinet
* The major issues identified and the delivery agency’s capability to identify and manage the project issues
* Critical recommendations
* The Overall Rating of the project and a succinct justification.]

|  |
| --- |
| **CRITICAL RECOMMENDATIONS** |
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|  |
|  |

|  |  |
| --- | --- |
| The Review Team’s OVERALL level of confidence that the project is being effectively developed and delivered in accordance with the government’s objectives is: | Select a rating. |

Where the overall development and delivery confidence rating is defined as:

|  |  |
| --- | --- |
| HIGH | Successful delivery of the project to time, cost and quality appears highly likely and there are no major outstanding issues that at this stage appear to threaten the successful delivery. |
| MEDIUM | Successful delivery is feasible but significant issues exist which require timely management attention. |
| LOW | Successful delivery of the project is in doubt, with major risks or issues apparent in a number of key areas. Urgent additional action is needed. |

SUMMARY OF REVIEW FINDINGS

|  |  |
| --- | --- |
| The Review Team’s OVERALL level of confidence that the project is being effectively developed and delivered in accordance with the government’s objectives is: | Select a rating. |

Where the overall development and delivery confidence rating is defined as:

|  |  |
| --- | --- |
| HIGH | Successful delivery of the project to time, cost and quality appears highly likely and there are no major outstanding issues that at this stage appear to threaten the successful delivery. |
| MEDIUM | Successful delivery is feasible but significant issues exist which require timely management attention. |
| LOW | Successful delivery of the project is in doubt, with major risks or issues apparent in a number of key areas. Urgent additional action is needed. |

BACKGROUND

|  |  |
| --- | --- |
| Project name: | [insert project name] |
| Program name: | [insert program name if project part of a broader program] |
| Description of project scope: | [provide a description of the project’s scope and location] |
| Objectives and intended benefits of the project: | [summarise or list the project’s objectives and intended outcomes as understood by the Review Team] |

# PRIMARY PURPOSE OF THE GATEWAY REVIEW

|  |
| --- |
| Gateway Reviews are independent reviews undertaken on behalf of the NSW Government and administered by the Gateway Coordination Agency. This Gateway Review Report is delivered to the Gateway Coordination Agency by the Review Team and is prepared for the primary purpose of submitting to the NSW Government for examination and noting of the Review Team’s recommendations for action by the agency. The Review Report is therefore strictly confidential and classified as SENSITIVE: NSW CABINET.  This Report is also provided by the Gateway Coordination Agency to the Agency’s Senior Responsible Officer (SRO) for the Agency to take necessary action on the Review Team’s recommendations and provide evidence to the Gateway Coordination Agency that the recommendations have been appropriately actioned in accordance with the Infrastructure Investor Assurance Framework. The Gateway Coordination Agency routinely reports on the closing out of these recommendations to the NSW Government. |

# REVIEW METHODOLOGY

Review Team’s Approach to the Review

|  |
| --- |
| This Gateway Review is being conducted in-line with the NSW Gateway Policy, and the Infrastructure Investor Assurance Framework (IIAF) for Capital Projects.  The purpose of this Gateway Review is to provide an independent peer review that assesses the development and delivery confidence of this project at a point in time in the project’s phase of development and delivery. This Report includes constructive commentary and recommendations intended to enhance the delivery agency and project team’s ability to confidently develop and deliver the project, and realise the business objectives and benefits expected from the investment.  The Review principles adopted in approaching this Gateway Review are:   * Be helpful and constructive to the Senior Responsible Officer and Project Team * Be independent, with the recommendations not directed or influenced from others outside the Review Team * Adhere to the Terms of Reference provided by the Gateway Coordination Agency * Prepare a Review Report that is clearly highlights substantive issues, the causes and the consequences, with recommended actions to address those issues |

# FOCUS OF THE REVIEW

Deep Dive Reviews focus on a specific issue. The Terms of Reference provide guidance on the scope and focus of the Review. The Review Team has sought to provide commentary relating to the Terms of Reference provided by the Gateway Coordination Agency. The Terms of Reference included:

* [list item from Terms of Reference provided by the GCA]
* [list item from Terms of Reference provided by the GCA]
* [list item from Terms of Reference provided by the GCA]

# REVIEW COMMENTARY

[Insert commentary against each of the areas / questions highlighted through the terms of reference]

# CONCLUSIONS

Based on documentation reviewed and interviews conducted, the Gateway Review Team has the following conclusions:

1. [insert conclusion]
2. [insert conclusion]
3. [insert conclusion]

The Review Team also observed the following areas of good practice that may be transferable to other projects or programs:

1. [insert area of good practice]
2. [insert area of good practice]
3. [insert area of good practice]

# FUTURE GATEWAY REVIEWS OR HEALTH CHECKS

**[OPTIONAL FOR REVIEW TEAMS]**

Based on the outcomes of this Review, the Review Team recommends to the Sponsor and the Gateway Coordination Agency that consideration be given to undertaking a further Gateway Review, Health Check or Deep Dive as indicated:

|  |  |
| --- | --- |
| THE REVIEW TEAM RECOMMENDS  THAT THE NEXT REVIEW TO BE UNDERTAKEN IS: | Choose an item. |

The Review Team recommends that the timing of this next Review be [measure of time or project milestone].

The Review Team recommends that the focus of this Review should be:

1. [insert area of focus]
2. [insert area of focus]
3. [insert area of focus]

# APPENDIX A – REVIEW RECOMMENDATIONS

Each recommendation of the Review Team is to be rated according to its urgency and criticality:

|  |  |
| --- | --- |
| RECOMMENDATION RATING Each recommendation of the Review Team is rated according to its urgency and criticality. | |
| Suggested | The recommendation is not considered critical or urgent but the project may benefit from the uptake of this recommendation. |
| Essential (Do By) | The recommendation is important but not urgent. The project team should take action before further key decisions are taken.  ‘Clearance of Gateway’ will not be provided by the GCA until a plan of action in response to this recommendation has been approved by the GCA. |
| Critical (Do Now) | This item is critical and urgent. The project team should take action immediately.  “It means fix the key problems fast, not stop the project” |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| RECOMMENDATION: | RATING | Key Theme | agency response | due date |
|  | Select rating | Choose a theme |  |  |
|  | Select rating | Choose a theme |  |  |
|  | Select rating | Choose a theme |  |  |
|  | Select rating | Choose a theme |  |  |
|  | Select rating. | Choose a theme |  |  |
|  | Select rating | Choose a theme |  |  |
|  | Select rating | Choose a theme |  |  |
|  | Select rating | Choose a theme |  |  |
|  | Select rating | Choose a theme |  |  |

# APPENDIX B – REVIEW INTERVIEWEES

The Reviewers are grateful to the following people that gave generously of their time at the interviews. Each individual’s contribution assisted the Review Team in coming to an understanding of the Project and in the development of this Report.

[insert completed Interviewee Register template]

# APPENDIX C – DOCUMENTS REVIEWED

The following documents have been provided to the Review Team. The Team has reviewed these documents and used them as the basis for the commentary in this report.

[insert completed Document Register template]

# GLOSSARY

| **TERM** | **DEFINITION** |
| --- | --- |
| Benefit owner | The person 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 |
| Delivery Agency | The Government agency tasked with developing and / or delivering a project applicable under this Framework and the NSW Gateway Policy. |
| Equipment | The necessary assets used on or to support an infrastructure system and can include fleet and rolling stock. |
| ETC | Estimated Total Cost |
| FBC | Final Business Case |
| GCA | Gateway Coordination Agency |
| Gate | Particular decision point(s) in a project/program’s lifecycle when a Gateway Review may be undertaken. |
| 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/program’s lifecycle.  A Gateway Review is a short, focused, independent expert appraisal of the project/program that highlights risks and issues, which if not addressed may threaten successful delivery. It provides a view of the current progress of a project/program 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. |
| 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.  Where a project is delivered in multiple stages and potentially across varying time periods it is considered a ‘complex project’. Refer to the definition for ‘complex project’. |
| Review Team | A team of expert independent reviewers, sourced from the Expert Reviewer Panel engaged by Infrastructure NSW to undertake a Gateway Review, Health Check or Deep Dive Review. |
| SBC | Strategic Business Case |
| Senior Responsible Officer (SRO) | The delivery agency executive with strategic responsibility and the single point of overall accountability for a project/program. Refer to Attachment B for further detail. |