

NSW Gateway Policy

Policy & Guidelines Paper

Preface

The NSW Government originally developed the Gateway process to help agencies improve their procurement discipline and achieve better service results from their activities. It provides an opportunity for major proposals, which meet certain criteria and that involve the investment of Government resources, to undergo an independent peer review at key stages of a project lifecycle. Gateway's role is to identify risks and provide advice to strengthen project justification, delivery and benefit realisation.

Gateway is a critical component of the overall Government assurance approach designed to provide external input to the identification of risks associated with investing in major programs and projects, to support the effective delivery of Government objectives and outcomes.

Since its introduction in 2004, Gateway's primary design has been to add value to the project and the sponsor, which in turn has indirect positive impacts for government investment.

After operating Gateway Policy for just over 10 years, NSW Treasury undertook a review to investigate the appropriateness of existing Gateway requirements. The review made several recommendations relating to the coverage, responsibilities, effectiveness and monitoring of Gateway Policy. NSW Treasury considered these recommendations in drafting this Policy update.

In updating this Policy a principles based approach has been adopted, with risk being the key driver for determining the application of Gateway. The Policy allows for the development of risk based frameworks based on the principles of Gateway. Separate risk based frameworks for capital, ICT and major recurrent investments will exist under the Gateway Policy. All risk based frameworks require approval by a Cabinet Committee.

The policy establishes the overarching framework for Gateway in NSW, with the objective of focusing Gateway resources on those investments that present the greatest risk profile, in order to deliver independent assurance to project owners and to Government as the investor. This will support delivery of value for money to NSW taxpayers from Government investment decisions from inception through to delivery and benefit realisation.

Rob Whitfield
Secretary
NSW Treasury
February 2017

Treasury Ref: TPP17-01

Note

General inquiries concerning this document should be initially directed to: Andrew Alam, Financial Change, Reform & TAHE, NSW Treasury (Tel: 02 9228 4455, or email: andrew.alam@treasury.nsw.gov.au).

This publication can be accessed from the Treasury's website www.treasury.nsw.gov.au.

Contents:

| | Page |
|---|-------------|
| Preface | i |
| Executive Summary | 1 |
| Definitions | 3 |
| Part A: Policy Overview | 5 |
| Scope of this Policy | 5 |
| Application | 5 |
| Purpose of Gateway | 6 |
| Key changes in Gateway | 6 |
| Policy context | 6 |
| Part B: Principles of Gateway | 8 |
| Management of risks | 8 |
| Value for the investor and delivery agency | 8 |
| Independence and confidentiality | 9 |
| Transparency and accountability | 9 |
| Continuous improvement | 9 |
| Part C: Core Requirements | 11 |
| Core requirements for Gateway Coordination Agencies | 11 |
| Core requirements for Delivery Agencies | 12 |
| Role of the Policy Owner | 13 |
| Attachment A – Nominated GCAs and GCA Frameworks | 14 |
| Attachment B – Gateway Governance Summary | 15 |
| Attachment C – Gateway review process | 16 |
| Advice and further assistance | 19 |

Executive Summary

The requirement for major capital projects to be subject to a Gateway review process was introduced by the NSW Government in 2004 in order to mitigate the risks associated with investing in major projects and support the effective delivery of Government objectives. Gateway was introduced as an independent assurance process for capital projects that had a value of \$10 million or more. All of these projects required reviews at preliminary and strategic business case stage at a minimum.

This approach was based purely on monetary thresholds and did not consider the risks associated with the delivery of the project. This has meant that low risk projects have had the same level of review as higher risk projects. Moving to a risk based approach to Gateway will allow better targeting of Gateway resources and improve overall assurance to Delivery Agencies and to Government.

The purpose of this Policy and Guidelines Paper is to:

- Outline the NSW Gateway Policy
- Define Gateway principles and set minimum requirements for the Gateway process in support of a risk based approach to the delivery of Gateway
- Establish Gateway Coordination Agencies (GCAs) as the operators of Gateway policy in NSW and establish core requirements for GCAs
- Clarify roles and responsibilities for delivering Gateway, including the core requirements for Delivery Agencies and the role of the Policy Owner
- Establish requirements for monitoring and evaluation of Gateway effectiveness
- Define the gates that can be applied as part of a Gateway assurance process.

To support this purpose, the document has been structured in three (3) parts:

Part A provides an overview of the Policy and outlines the Policy's objectives, purpose, and applicability. It outlines the role of Gateway in delivering value for money to NSW taxpayers by providing independent peer reviews at key decision points in a project's lifecycle.

Part B establishes the Principles of Gateway, designed to set out expected requirements for the development of GCA frameworks and support a consistent and comparable assurance process. The Principles of Gateway are:

- Management of Risks
- Value for the Investor and Delivery Agency
- Independence and Confidentiality
- Transparency and Accountability
- Continuous Improvement.

Part C establishes Core Requirements for GCAs, Delivery Agencies, and the Policy Owner.

GCAs are required to develop, implement and report on a GCA Framework that is consistent with the Principles of Gateway and endorsed by the Policy Owner and a nominated Cabinet Committee.

Delivery agencies are required to identify the appropriate GCA Framework for a project and to comply with the requirements of the identified GCA Framework. It is the GCA Frameworks, rather than this Policy document, that set out detailed requirements, financial thresholds or other operational aspects of Gateway.

The Policy Owner is required to monitor and report on the application and performance of the Policy, and identify the applicable GCA Framework for projects in which the appropriate framework is unclear or disputed.

This Policy contains the following attachments which provide additional details for GCAs and Delivery Agencies:

- Attachment A – Nominated GCAs and corresponding GCA Frameworks
- Attachment B – Gateway Governance Summary
- Attachment C – Gateway Review process including standard Gate descriptions

Definitions

Gateway: Gateway is a project assurance process that assesses projects or programs based on risk in order to mandate and conduct independent peer reviews at key decision points, or gates, in a project or program's lifecycle. Gateway provides independent assurance to both the investor and delivery agency regarding the project or program's preparedness for success.

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.

Major Project or Program: any project or program that requires a risk review under the relevant GCA framework.

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.

Investor: the Government, representing the State of NSW.

Equipment: the necessary assets used on or to support an infrastructure system and can include fleet and rolling stock.

Property developments: wholesale and/or retail urban renewal or Greenfield developments managed by the Government where a capital investment over \$10 million has been made to facilitate those developments.

Operational technology: can include systems that relate to service delivery, such as tolling systems, rail signalling or technology to support a new school or hospital.

Mixed project: a project that contains a material combination of elements relating to multiple GCA frameworks.

Program: for the purpose of this Policy, a program is a grouping of projects. Projects may be grouped for reasons such as geographical location, similarity or interdependency of projects.

Mixed program: a program that contains a material combination of elements relating to multiple GCA frameworks.

ICT project: resources required to acquire, process, store and disseminate information. This includes stand-alone operational technology projects and programs.

Major recurrent project: a non-ICT project identified as requiring a recurrent proposal that meets the financial criteria detailed in the applicable GCA Framework.

Recurrent proposal: proposals that require funding for additional staff, outsourced service provision, legislative or regulatory changes including taxes and revenue or grants, as a result of new Government policies or programs or where there is a significant change in the current funding for an existing policy/program (outside the scope of an agreed parameter and technical adjustment).

Gateway Coordination Agency (GCA): the agency responsible for the design and administration of an approved, risk-based model for the assessment of projects or programs, the coordination of Gateway reviews and the reporting of performance of the Gateway Review Process. Refer to Attachment A of this Policy for a list of nominated GCAs. Note that NSW Treasury may be considered a GCA under this Policy, this would not diminish its role as Policy owner and the responsibilities associated with this designation.

GCA Framework: a framework, designed and operated by a GCA, that assesses the risks associated with a project or program of a particular nature in order to determine the application of Gateway. A GCA Framework defines the roles and responsibilities to deliver Gateway aligned with the Gateway review process per Attachment C to this Policy.

Delivery Agency: the Government agency tasked with developing and/or delivering a project applicable under this Policy.

Policy Owner: for the purpose of this Policy, the Policy owner is NSW Treasury.

Part A: Policy Overview

This policy document sets out guidance and minimum requirements for the delivery and monitoring of Gateway reviews in NSW.

Gateway is a project assurance process that provides independent assurance using peer reviews at key decision points, or gates, in a project or program's lifecycle. Gateway provides independent assurance to both the investor and Delivery Agency regarding the project or program's preparedness for success.

Gateway is to be applied to Government investment decisions, categorised as capital projects, ICT projects and major recurrent projects. The application of Gateway to individual projects will be determined with respect to the risk profile of the project.

Gateway Coordination Agencies (GCAs), as defined in this policy, will be responsible for establishing a risk based framework, to be approved by a Cabinet Committee, which will create the basis for determining the application of Gateway to individual projects. The purpose of having multiple GCAs is to allow risk based frameworks to be tailored to differing types of spend and risk, avoiding a one size fits all approach. GCAs will work collaboratively to support high quality outcomes for Agencies and Government.

This policy is part of a suite of policies to provide strong financial management over Government investment decisions in New South Wales. This includes linkages to multi-year pipeline approaches to major investments, business case guidelines, evaluation, benefit realisation and the annual budget process.

Scope of this Policy

This Policy is designed to achieve the following:

- To define Gateway principles and set the minimum requirements for the Gateway process.
- To clarify the roles and responsibilities in relation to delivering Gateway
- To establish the core requirements for the GCAs to:
 - design a compliant GCA Framework
 - obtain appropriate approval for a GCA Framework;
 - implement an approved GCA Framework
 - conduct Gateway reviews in accordance with the GCA framework
 - monitor the performance of the GCA framework
- To establish the core requirements for Delivery Agencies
- To clarify roles and responsibilities around monitoring and evaluation of Gateway effectiveness.

Application

This Policy is issued as a Treasury Policy and Guidelines Paper (TPP) and is applicable to Gateway Coordination Agencies (GCAs) and agencies responsible for the delivery of projects or programs requiring a Gateway review under an approved GCA framework.

All General Government agencies and Government Businesses must comply with the relevant approved risk-based GCA frameworks. The policy applies to State Owned Corporations to the extent made applicable under the Commercial Policy Framework.

All projects and programs that meet the definitions prescribed above are subject to the NSW Gateway Policy regardless of funding source. This includes projects that may be funded by grants, Consolidated Fund appropriations and self-funded projects.

The Policy applies to all new projects and to all projects that are already in progress. For projects that are already approved and/or underway, the Delivery Agency should liaise with the relevant GCA in order to agree the most appropriate Gateway path for the project.

This update to the Gateway Policy will apply with immediate effect. Delivery Agencies should contact the relevant GCA for further information on how to register the project or program for Gateway review, the risk assessment process and applicable Gateway review requirements.

Purpose of Gateway

Gateway is designed to support Government in delivering value for money to NSW taxpayers in respect of major Government investment decisions, from inception through to funding, delivery and benefit realisation.

Gateway supports the achievement of value for money by providing project or program assurance through independent peer reviews at key decision points in a project or program's lifecycle.

The Gateway review process provides an independent snapshot of a project or program at a point in time. Therefore Gateway should be seen as complementary to an agency's internal assurance processes. It does not replace agency assurance processes, which must also consider project or program risk.

Key Changes in Gateway Policy

A number of enhancements have been made to Gateway Policy in this update. The key changes are:

- Inclusion of all major spend/investment decisions, which mean an extension beyond traditional capital projects and programs to include ICT projects and programs and major recurrent projects
- Adoption of risk-based assessment of projects and programs to determine the need for Gateway reviews at key decision points
- Identification of Gateway Coordination Agencies (GCAs) to operate risk-based GCA Frameworks and coordinate Gateway reviews for different types of projects and programs
- Clarification of the responsibilities and roles of the Policy Owner, GCAs and Delivery Agencies in relation to Gateway Policy and process
- Strengthening of monitoring and analysis to improve investment decisions, consistency and portfolio transparency.

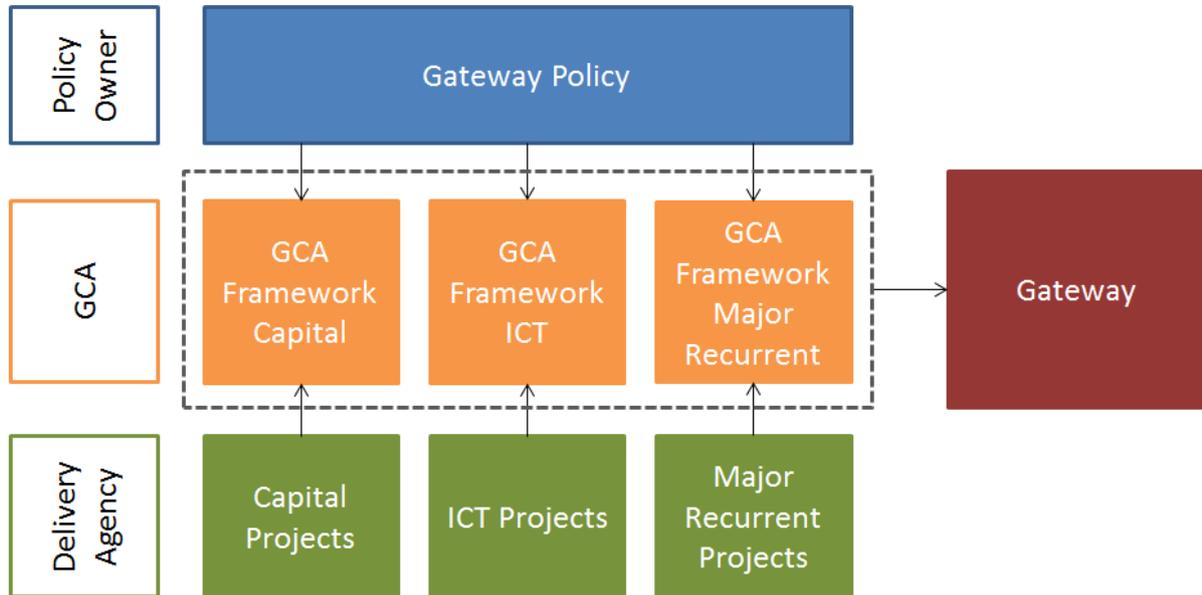
Policy context

The Policy is designed to provide a consistent framework for Gateway reviews so that these provide robust advice to Government on project or program delivery, effectiveness and budget impacts.

The Policy clarifies the roles of:

- The Policy Owner
- Gateway Coordination Agencies
- Delivery Agencies

The following diagram summarises the interaction between Gateway Policy, GCA Frameworks and delivery of Gateway reviews as well as the responsible stakeholders.



Attachment B further outlines the contents of both the Policy document and the supporting GCA frameworks.

Part B: Principles of Gateway

The Gateway principles provide the overarching framework for Gateway in the NSW public sector. They set the expected requirements for the development of GCA frameworks and create a consistent and comparable assurance process that is beneficial to both investor and Delivery Agency. The Gateway principles are not designed to set out detailed requirements, financial thresholds or other operational aspects of the Gateway review process. These will be addressed in the GCA frameworks.

The following five Gateway principles must be considered in the development of GCA frameworks:

1. Management of risks

Gateway is intended to provide Government with visibility, assessment and mitigation strategies for risk across capital, ICT and major recurrent projects.

- A GCA framework must set a financial threshold over which it is mandatory for projects to be risk-assessed to determine the applicability and extent of Gateway reviews
- The Gateway process is underpinned by risk-based assessments of projects and programs which must include the following appropriately-weighted criteria:
 - The total cost of the project or program
 - Level of Government priority
 - Interface complexity
 - Procurement complexity
 - Agency capability
 - Criticality of the service
- The number and application of Gateway reviews is to be determined by the level of risk
- High profile / High Risk (HPRH) projects will form 'Tier 1' projects within each framework. These projects will attract the highest level of scrutiny. HPRH projects will normally require all gates with the framework to be completed
- Projects or programs can be broken up for the purpose of Gateway reviews if it is beneficial to do so. However, the project or program as a whole should be considered when assessing risk
- Projects can be grouped into programs for the purpose of Gateway reviews if it is beneficial to do so
- A GCA should reassess the risk rating of a project in the event of a material change in project scope or environment.

2. Value for the investor and Delivery Agency

Gateway should provide an appropriate balance between providing confidence to investors and value to agencies that is reflective of proven agency capability.

- Gateway assurance should add value for the investor and Delivery Agency
- Delivery Agencies and NSW Treasury will have the ability to nominate additional Gateway reviews and health checks beyond those mandated by the GCA framework

- Gateway, when required under a GCA framework, will be considered in project approval and allocation of funding
- Gateway reviews should be structured in a way so as to not unnecessarily delay development or implementation.

3. Independence and confidentiality

Gateway should provide independent and experienced advice within a confidential environment, sharing outcomes between investors and agencies where beneficial.

- Gateway reviews are to be delivered by a panel of reviewers who are sufficiently independent to ensure objective review from concept through delivery and benefit realisation
- A Gateway review panel must be assembled so that it possesses sufficient skills, capability and experience to enable it to provide relevant assessment and advice
- An agency cannot perform the roles of both the Delivery Agency and GCA for the same project. When this occurs, the Policy Owner will allocate the responsibility to the appropriate GCA. The relevant GCA for capital projects that are delivered by Infrastructure NSW on behalf of another agency will be NSW Treasury. Similarly, NSW Treasury will be the GCA for ICT projects that are delivered by the ICT & Digital Government division of the Department of Finance, Services and Innovation.

4. Transparency and accountability

Gateway provides agencies with greater certainty about review expectations and program responsibilities.

- A GCA framework, developed by a GCA, must be endorsed by the Policy Owner and approved by a Cabinet Committee
- GCA Frameworks must promote a consistent approach to Gateway across the sector
- All final reports on Gate reviews must be provided to the Delivery Agency and the GCA and to Treasury to support investment or financing decisions or on request
- A Delivery Agency must prepare a mitigation response to address any recommendations arising from each Gate review and communicate this response to the relevant GCA and NSW Treasury
- A project or program should only be referred to one GCA Framework for the purpose of Gateway
- It is the responsibility of the Delivery Agency in the first instance to determine the appropriate GCA framework. Attachment A provides guidance to Delivery Agencies on how to identify the appropriate GCA Framework. In the case of mixed projects or programs, or in the absence of clarity as to which framework should be applied, the Policy Owner will allocate the responsibility to the appropriate GCA.

5. Continuous improvement

Continuous improvement ensures that the purpose of Gateway is realised through continuous monitoring and improvements.

- The Gateway process should provide insights to improve Government planning and delivery processes in the future
- A GCA must regularly review the efficiency and effectiveness of the GCA Framework they maintain
- GCAs should maintain a database of reviewers that should be shared with the Policy Owner and other GCAs
- GCAs must provide NSW Treasury with regular updates on the performance of the GCA Framework and broader Gateway process, including emerging themes from reviews, in order to inform Policy evaluation and agency compliance monitoring
- NSW Treasury will undertake periodic reviews on the application of the Policy and the performance of associated GCAs and GCA Frameworks.

Part C: Core Requirements

1. Core Requirements for Gateway Coordination Agencies

A Gateway Coordination Agency must design and implement an approved, risk-based model for the assessment of projects or programs, the coordination of Gateway reviews and the reporting of Gateway performance.

- 1.1. Development of a GCA Framework** – a GCA, in consultation with NSW Treasury, must develop a GCA Framework for the delivery and reporting of Gateway that aligns to the Principles of Gateway as detailed in this Policy. The GCA Framework must include the gates aligned to those detailed in Attachment C to this Policy, and must specify a financial threshold above which a project or program will be considered a major project or program, and therefore subject to the GCA Framework’s risk-assessment process.
- 1.2. Approval of a GCA Framework** – a GCA Framework must be endorsed by the Policy Owner and then approved by a relevant Cabinet Committee.
 - 1.2.1.A Cabinet Committee can withdraw approval of a GCA Framework at any time if it is demonstrated to their satisfaction that the GCA Framework is not compliant with the Policy or meeting the objectives of the Policy.
 - 1.2.2.The Policy Owner can approve non-material changes to a GCA Framework that are designed to promote efficiency and effectiveness in delivery of Gateway. Non-material changes may include amendments that would not have an impact on the types of projects that are captured by Gateway or the extent to which projects are required to engage with Gateway review processes (e.g. small administrative changes). Any changes to the financial thresholds or applicability of Gateway reviews would be considered material.
 - 1.2.3.A Cabinet Committee must approve any material changes to a GCA Framework.
- 1.3. Implementation of GCA Framework** – a GCA is required to implement the GCA Framework, developed and approved under this Policy, efficiently and effectively.
- 1.4. Maintain database of reports** – a GCA is required to maintain a database of all final Gateway review reports, health check reports and Delivery Agency mitigation responses under the GCA Framework they administer.
- 1.5. Reporting on performance** – a GCA is required to report to the Policy Owner, on an annual basis, on the application of the GCA Framework and the performance of Gateway.
- 1.6. Support for other GCA Frameworks** – for mixed projects the lead GCA will seek input and expertise from other GCA agencies. GCAs will work collaboratively to support high quality outcomes for Agencies and Government.

2. Core Requirements for Delivery Agencies

A Delivery Agency is required, under this Policy, to adhere to the processes defined in the approved GCA Frameworks. This includes providing all materials required by the GCA.

Delivery Agencies will also be encouraged to provide feedback to the Policy Owner on the performance of the GCA Frameworks and associated Gateway reviews, including the performance of review panel members, to assist the continuous improvement of the Gateway Policy framework.

2.1 Identification of GCA Framework – It is the role of the Delivery Agency in the first instance to identify the appropriate GCA Framework for a project or program and to agree the approach with the associated GCA. The nominated GCA and corresponding GCA Frameworks for each type of project or program are outlined in Attachment A.

The appropriate GCA Framework will often be easily identifiable based on the project's investment type i.e. either capital, ICT or recurrent, and can normally be agreed between the Delivery Agency and associated GCA. However, in the case of mixed projects, a project or program may contain elements within the scope of multiple GCA Frameworks. The Delivery Agency of the project or program must consider the materiality of the elements of the project or program in identifying the appropriate GCA Framework.

If there is confusion or disagreement over which GCA Framework is appropriate for a project or program, the matter should be referred to the Policy Owner, who will allocate responsibility for the Gateway review to the appropriate GCA.

2.2 Comply with the requirements of an approved GCA Framework – a Delivery Agency must notify an appropriate GCA of a project or program per Attachment A of this Policy and adhere to the roles and responsibilities detailed in the associated approved GCA Framework.

3. Role of the Policy Owner

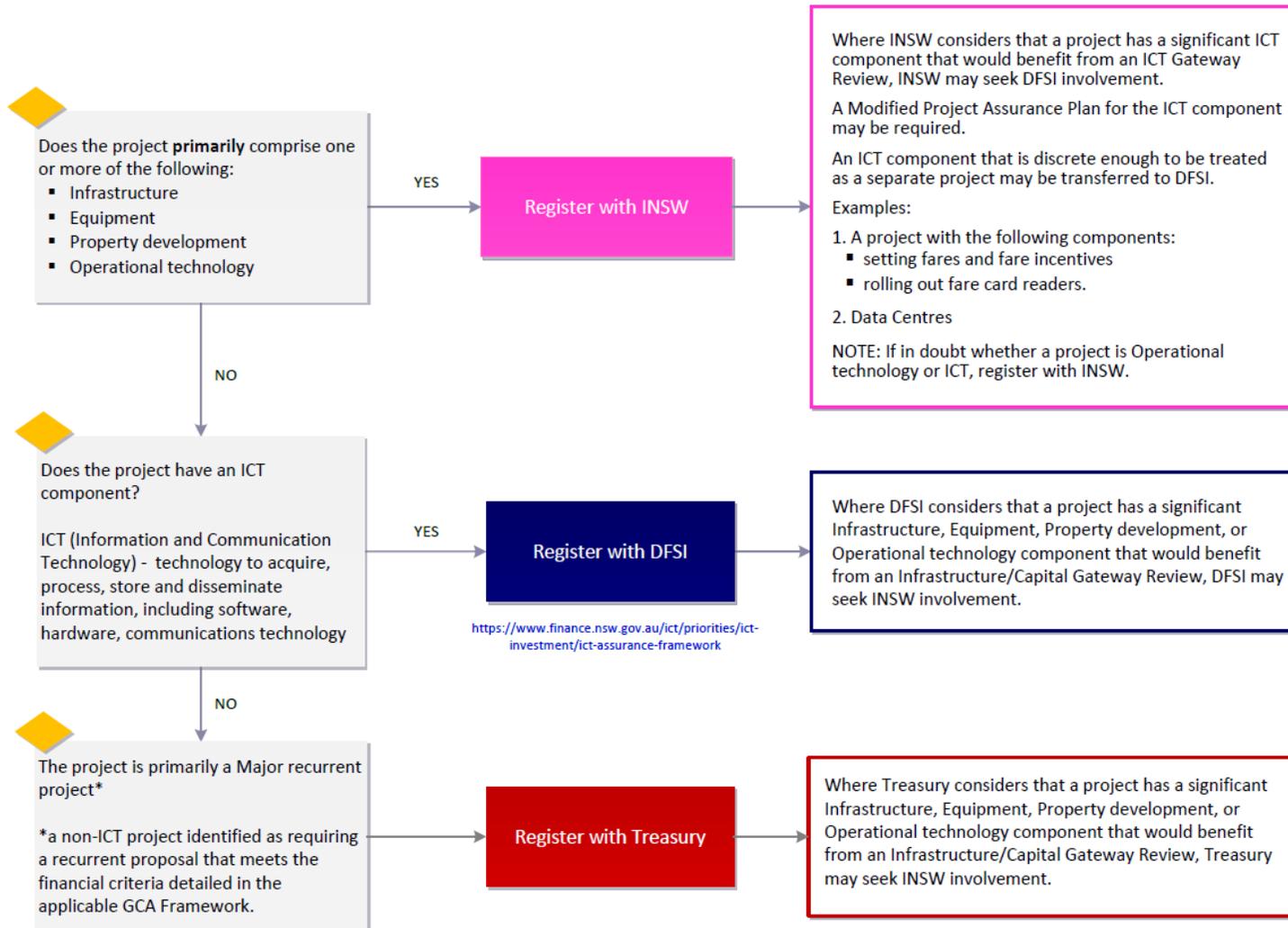
3.1 Policy Monitoring – it is the role of the Policy Owner to monitor the application of the Policy.

3.2 Determination of GCA Framework – It is the role of the Delivery Agency to identify the appropriate GCA Framework for a project or program and to agree the approach with the associated GCA.

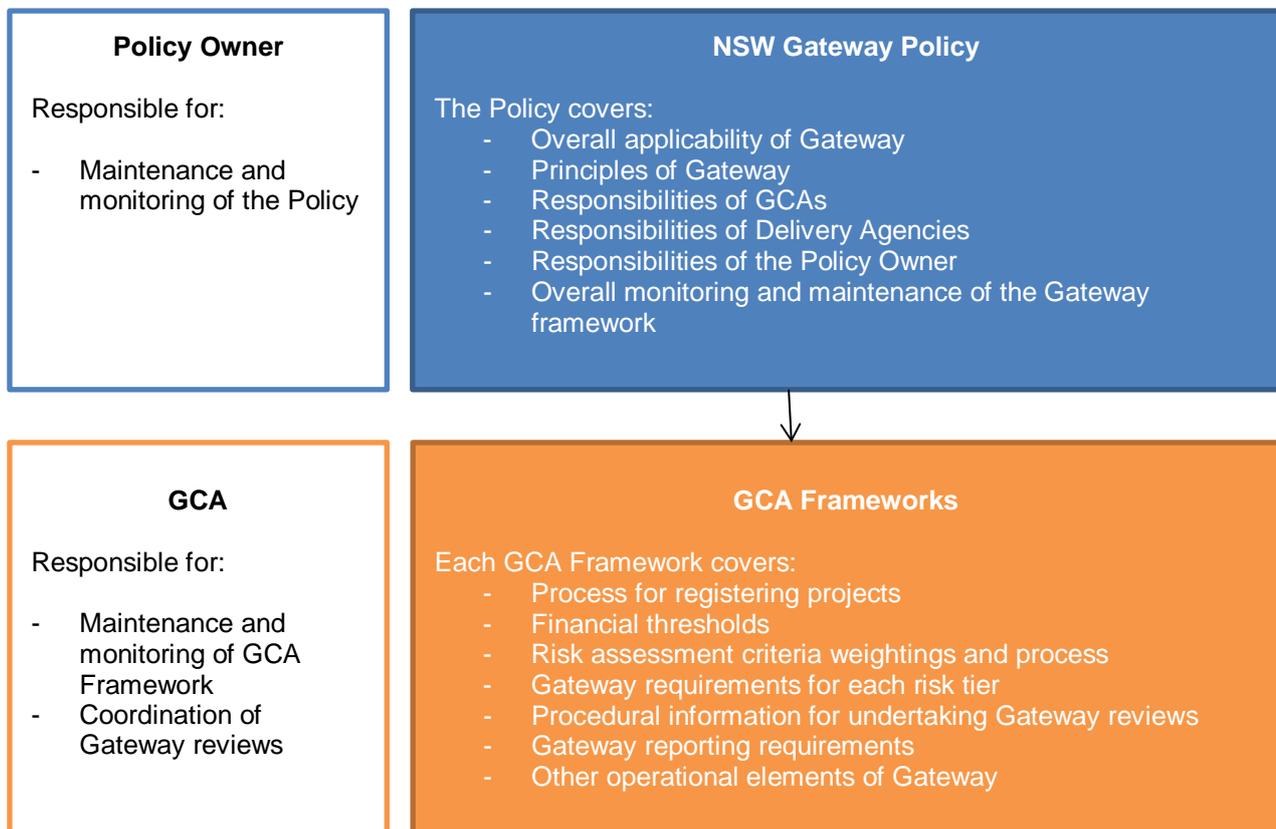
If there is dispute or confusion as to the appropriate GCA to deliver Gateway, the Policy Owner will be responsible for confirming the applicable GCA Framework and informing the concerned parties.

3.3 Reporting – the Policy Owner will report on the performance of the Policy, including the performance of the GCA Frameworks. Treasury will report on the performance of GCA Frameworks annually and will review the Policy, as a minimum, once every five years.

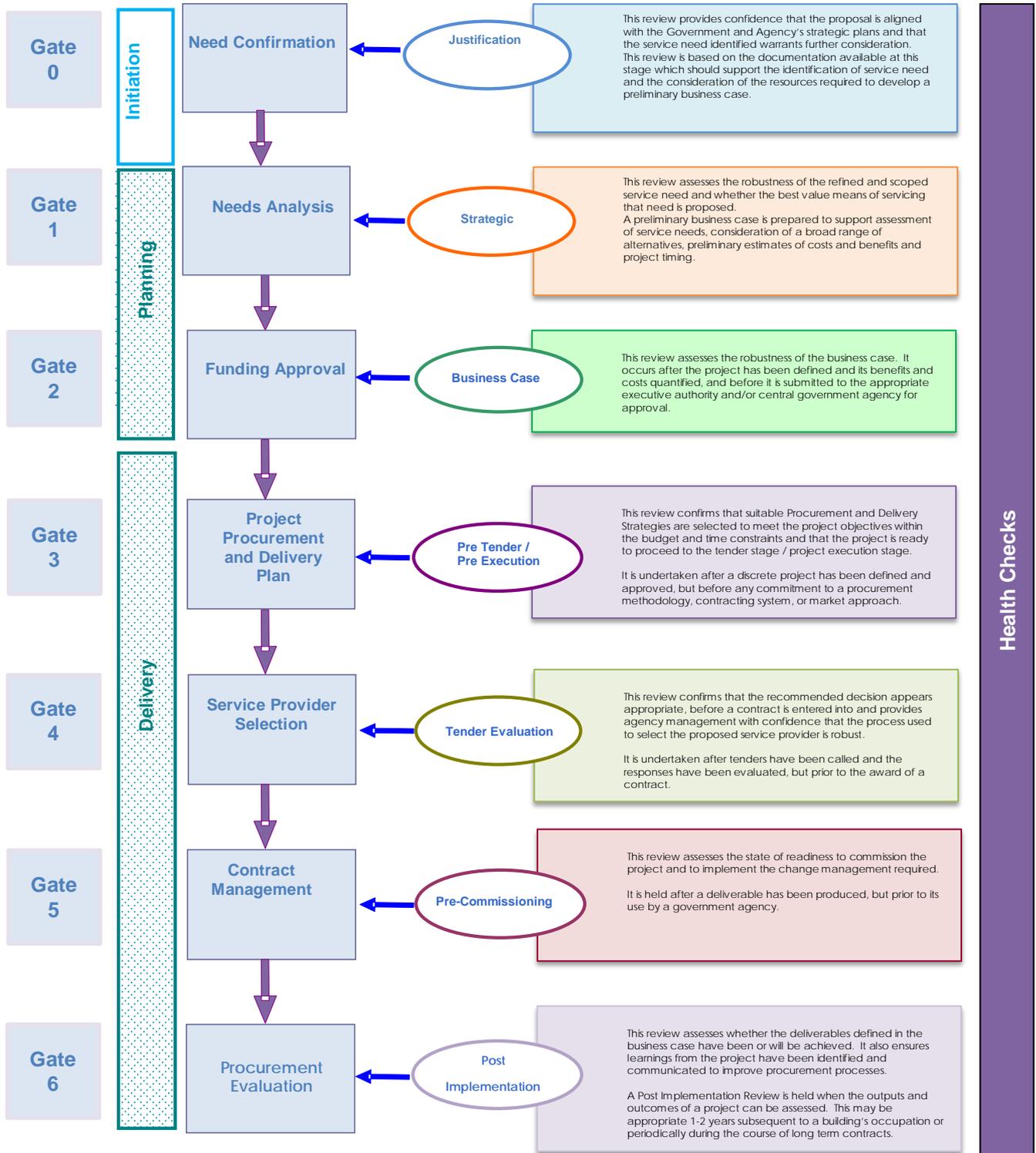
NSW Gateway Policy: Attachment A – Nominated GCAs and GCA Frameworks



NSW Gateway Policy: Attachment B – Gateway Governance Summary



NSW Gateway Policy: Attachment C – Gateway Review Process



The following table relates the project activities and milestones to the seven review gates.

- ▶ *Service need – determine if the project aligns with Government & Agency priorities and whether the service need identified has merit and warrants further consideration. Are there sufficient governance processes and are resources available to support development of a preliminary business case?*

0 INITIATION/JUSTIFICATION REVIEW: An Initiation/Justification Review occurs after a service need has been identified and at the earliest point in the development of the proposed service or service change and when appropriate analysis has been undertaken to allow the review to occur.

The Review should take place at the concept or project stage before any significant funds are expended and prior to developing a preliminary business case.

- ▶ *Business strategy – determine the need to be met and whether the procurement provides the optimal solution. Establish the key business objectives and outcomes. If a business need is identified – develop a program or project brief.*

1 STRATEGIC REVIEW: The Strategic Review assesses whether the proposal is aligned with Government and the agency's strategic plans. It demonstrates the best value means of servicing community needs. The Strategic Review occurs after a service need has been identified (but prior to developing a detailed project definition in a business case) and preliminary justification for procurement has been developed.

- ▶ *Develop options – determine the scope of the required project. Identify and appraise the options. Identify if affordability and value for money has been established.*

2 BUSINESS CASE REVIEW: The Business Case Review assesses whether project options have been fully explored and assessed. Before proceeding, it helps ensure that the recommended option provides the best value. The Business Case Review is undertaken after a project has been defined and its benefits and costs quantified. The Review will not be conducted unless accompanied by a financial/economic appraisal.

The review occurs before the Business Case for a project is submitted to the relevant funding authority to allow the project team to incorporate any recommendations from a review into the submission.

- ▶ *Develop delivery and procurement plans – determine the strategy for project delivery and approaching the market. Specify requirements, confirm supplier capability and project budget, update business case.*

3 PRE TENDER / PRE EXECUTION REVIEW: The Pre Tender / Pre Execution Review is undertaken after a project has been defined and approved, yet before a commitment is made to a procurement methodology and contracting system or to delivery steps. The Pre Tender / Pre Execution Review confirms that the project is set up for successful delivery and that the best strategy is selected to deliver the project within budget, time and supplier or market constraints. The review assesses whether the project is ready to proceed to project execution, including to the tender stage.

- ▶ *Competitive Procurement – Evaluate bids, select or confirm supplier, update Business Case.*

4 TENDER EVALUATION: The Tender Evaluation Review confirms that the recommended decision appears appropriate before a contract is entered into. The Review aims to provide the agency with confidence that the process used to select the proposed service provider is adequate. The Tender Evaluation Review is undertaken after tenders have been called and responses evaluated, but prior to the award of a contract.

- ▶ *Award and implement contract – Determine if the service provider has delivered the procurement.*

5 PRE-COMMISSIONING: The Pre-Commission Review assesses the state of readiness to commission the project and to implement the change management required for service delivery to achieve its objectives.

- ▶ *Manage Contract: Service delivered, benefits achieved, performance and value for money maintained / improved.*

6 POST IMPLEMENTATION: The Post Implementation Review assesses whether the deliverables defined in the Business Case have been achieved. It ensures that the learnings from the project have been identified and communicated to improve procurement processes. The Review is held when the outputs and outcomes of a project will be assessed. The timing will vary depending on the scope of the project.

- ▶ *Gateway Health Check.*

A Gateway Health Check complements the Gate Reviews by providing a 'point in time' insight into areas of concern which may impact completion of the next Gate or project outcomes.

Gateway Health Checks are conducted, for example, on an interval basis (in particular where there is a long gap between Gates); when there is a material change in operating environment or staff; or, at the specific request of the Delivery Agency or Policy Owner.

Gateway Health Checks do not replace the need for review at each Gate nor is it a substitute for robust project governance.

Advice and further assistance

For advice and further assistance on the NSW Gateway Policy, contact Director, Financial Change, Reform & TAHE, on 02 9228 4455.

Agencies are advised to familiarise themselves with the GCA frameworks which will operate in conjunction with Treasury's existing budget and project approval processes. Copies of the policy and framework documents are available from the relevant GCA internet sites as outlined below.

| Document | Website location | Contact |
|---|---|---|
| NSW Gateway Policy | NSW Treasury Document & Resources Library on website www.treasury.nsw.gov.au | Andrew Alam (02) 9228 4455 andrew.alam@treasury.nsw.gov.au |
| Infrastructure Investor Assurance Framework | Infrastructure NSW http://infrastructure.nsw.gov.au/project-assurance | Anissa Levy (02) 8016 0111 anissa.levy@infrastructure.nsw.gov.au |
| ICT Assurance Framework | https://www.finance.nsw.gov.au/ict/priorities/ict-investment/ict-assurance-framework | Mark Howard (02) 9372 7194 mark.howard@finance.nsw.gov |
| Recurrent Investor Assurance Framework | NSW Treasury Document & Resources Library on website www.treasury.nsw.gov.au | Andrew Alam (02) 9228 4455 andrew.alam@treasury.nsw.gov.au |

State Owned Corporations should initially refer to the Commercial Policy Framework. For further information on the application of this Policy, please contact your Treasury SOC Investment Manager.