

NSW Health Process of Facility Planning - Gateway Review Guideline

Gateway Overview

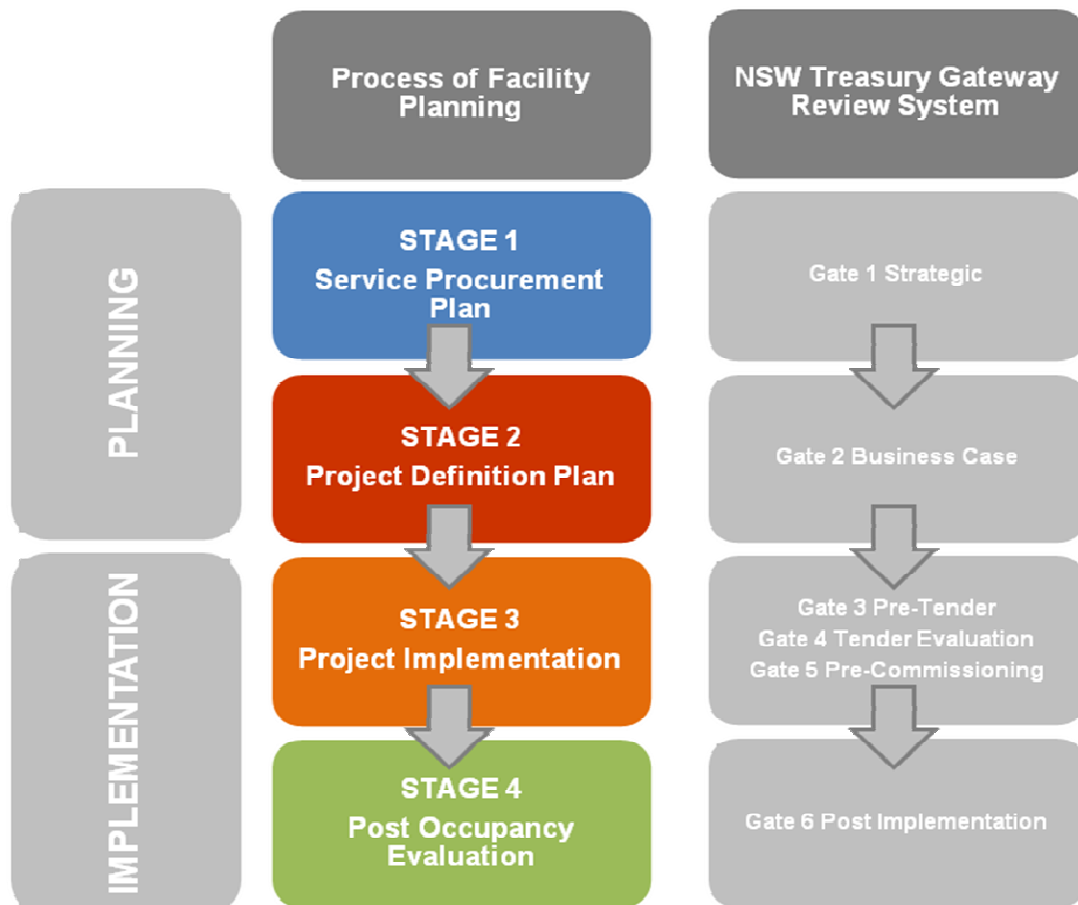
The NSW Process of Facility Planning (POFP) is integrated with NSW Treasury’s reporting and monitoring requirements. A key component of this is the gateway review system, which comprises the application of high level, structured reviews at critical points (or gates) in the procurement process by a small team of independent persons.

The aims of the gateway review are to:

- Assess whether the processes used in developing and implementing a project is sound.
- Achieve systematic improvement in the procurement process by encouraging better performance in project planning and implementation.

There are six gates in the procurement process. These are illustrated in the following diagram with the corresponding stage of the POFP.

Figure 1: Process of Facility Planning and NSW Treasury Gateway Review System



Gateway Assessment

At each gate, a project is assessed against the following seven success factors. For each success factor indicators have been developed to guide the review. This may be expanded or modified by the review team to reflect project specific issues. NSW Treasury has developed workbooks for each gateway review which outlines the success factors and indicators.

Table 1: NSW Treasury Gateway Review success factors

Success Factor	Description
Service Delivery	The Review needs to consider whether the acquisition of the good and/or service will achieve the desired outcome(s) and/or fulfill identified need(s).
Affordability and Value for Money	Affordability considers whether adequate resources will be available to achieve the proposal. Value for money considers all factors relating to a proposal including experience, quality, reliability, timeliness, service, capital costs, opportunity costs, whole of life costs, to meet the agency's requirements and Government's social and economic policies.
Sustainability	In considering sustainability, the Gateway Review Team needs to look at whether the project/program will meet the need(s) of the present without compromising the ability of future generations to meet their needs.
Governance	This factor assesses whether the activities required to ensure a successful project, including resource allocation, time management and process management have been addressed.
Risk Management	This factor considers if a structured methodology for identifying, analysing and managing potential risks is being applied.
Stakeholder Management	The review needs to examine whether the exchange of information with stakeholders is being adequately managed and that their concerns are being addressed.
Change Management	Change management is the task of managing the change resulting from the project, both inside and outside the managing agency, in a structured and systematic fashion so that the project is completed efficiently and effectively.

The assessment is generally based on a review of existing project documentation and interviews with key stakeholders, however the review team may seek additional information if required. Following this assessment, each success factor is rated using the following framework.

Table 2: NSW Treasury Gateway Review assessment framework

Assessment	Description
Red	This aspect poses a significant risk to the project and must be clarified or addressed before further consideration of the project is made.
Amber	This aspect indicates a minor risk to the project and must be clarified or addressed as part of proceeding to the next stage of the project.
Green	This aspect has been given adequate consideration as not to jeopardise the success of progressing to the next stage of the project.

These ratings, as well as any findings or recommendations of the review team, are then compiled into a gateway report.

Gateway Methodology

There are several issues to be considered in planning for and undertaking a gateway review.

Key issues in planning a gateway review include:

- Consultation with NSW Treasury early in the planning process to provide a project overview, confirm the timing of the gateway review, and seek general agreement on the logistics and persons to be interviewed. This is important to provide NSW Treasury with sufficient time to plan the review and establish the review team, and also enables early notification of the interview schedule for interviewees. It also assists the project team to allow adequate time for the gateway review in the project program.
- Early consideration of the requirements of the relevant gateway review workbook to ensure that the dual requirements of NSW Health and NSW Treasury are met.
- Forward planning and sequencing of key activities to be undertaken for the gateway review, and how this is aligned with POFP activities. For example, in Stages 1 and 2 of the POFP, gateway reviews should be scheduled following development of the draft SPP and PDP to enable the review outcomes to be addressed and incorporated into the planning process and final SPP and PDP.

Key issues in undertaking a gateway review include:

- Completion of the Project Profile Assessment (PPA) tool which provides a rating or index for the project. This may be undertaken early in planning the gateway review to provide NSW Treasury with an indication of the overall project complexity, a key consideration in establishing the review team.
- The provision of gateway review documentation to NSW Treasury and the review team a minimum of one week prior to the planning day. Subject to the volume of information submitted for the review, it may be necessary to consider how best to present the information in order that it can be easily navigated by

the review team, and clearly directs the review team to which project documentation meets which gateway review success factors and indicators.

- Scheduling the planning day a minimum of one week prior to the review day (the planning day should provide a synopsis of how the project addresses the project success factors and indicators. It should also consider the logistics of the review day). This will provide time for further information to be provided to the review team (if required), enable the review team to review project documentation in light of the information gained at the planning day, and allow for changes to the proposed interview schedule (if required).
- Ensuring that any specific requirements for the review day are met. This may include for example the availability of teleconferencing or videoconferencing facilities, sufficient space to accommodate the review team and interviewees and for drafting the gateway report, and ensuring that the dietary requirements of the review team are catered for.

Gateway References and Resource Material

Reference and Resource Material	Website
NSW Treasury Gateway Review System	www.treasury.nsw.gov.au/gateway/gateway_introduction
NSW Treasury Project Profile Assessment	www.treasury.nsw.gov.au/gateway/project_profile_assessment_tool
NSW Treasury Gateway Review Workbooks	www.treasury.nsw.gov.au/gateway/gateway_review_workbooks