



Gateway Factsheet

What is Gateway?

Gateway is an assurance methodology for major investments created by the UK's Office of Government Commerce in 2001; it has been used by the New Zealand (NZ) Government since 2008. It is a review process that examines programmes and projects at key decision points in their lifecycle to provide assurance that they can progress successfully to the next stage.

The key decision points (or 'gates') are:

Gate 0: Strategic Assessment	Gate 1: Business Justification & Options – Indicative Business Case	Gate 2: Delivery Strategy – Detailed Business Case
Gate 3: Investment Approach	Gate 4: Readiness for Service	Operational & Benefits Realisation Review

Gateway is Cabinet-mandated for high risk capital projects and programmes run by Government departments and Crown Agents.

Which programmes/projects are eligible?

Agencies help determine if a programme/project is high risk and therefore subject to Gateway by completing a Risk Profile Assessment (RPA). Completion of an RPA is mandatory for any project or programme that would expose the NZ Government to significant fiscal or ownership risk if not delivered within projected functionality, cost and/or timelines.

For further information on the RPA process, visit
www.treasury.govt.nz/statesector/investmentmanagement/think/riskprofile

Review costs

A programme/project under Gateway review will need to allow for a fixed cost of **\$75,000 per review**. It is therefore vital that initiatives complete Risk Profile Assessments as early as possible, so that review costs can be allocated in the programme/project budget.

Find out more:

visit: www.treasury.govt.nz/statesector/investmentmanagement/review/gateway
or email: gatewayunit@treasury.govt.nz

Roles and responsibilities

Treasury is responsible for facilitating the Gateway process; Gateway staff will provide advice and support to programmes/projects under review and will organise review teams.

Programmes/projects under review are responsible for identifying the appropriate time for reviews to be scheduled based on key milestone dates, and for arranging review logistics.

The review team is comprised of four individuals from the public and private sector who are experts in their field and will be able to provide informed and independent advice to the programme/project. The team is responsible for reviewing a programme/project over the course of a week and providing the SRO with a report summarising their agreed delivery confidence rating and key recommendations.

Senior Responsible Owners (SROs) of a programme/project under Gateway have prime responsibility for initiating a review. They are the recipients of review findings and are thus responsible for ensuring any recommendations are acted upon.

How does a Gateway Review work?

The Gateway review team assesses a programme/project over the course of one week by conducting interviews with key stakeholders and programme/project personnel, and by reviewing key documents. The output of this assessment is a Review Report, which gives the initiative a delivery confidence rating, and provides recommendations that will help give the programme/project the best chance of success. Definitions of the delivery confidence ratings are as follows:

Rating	Criteria description
 Green	Successful delivery to time, cost and quality appears highly likely and there are no major outstanding issues that at this stage appear to threaten delivery significantly.
 Amber/Green	Successful delivery appears probable however constant attention will be needed to ensure risks do not materialise into major issues threatening delivery.
 Amber	Successful delivery appears feasible but significant issues already exist requiring management attention. These appear resolvable at this stage and if addressed promptly, should not impact delivery of benefits realisation.
 Amber/Red	Successful delivery is in doubt with major risks or issues apparent in a number of key areas. Prompt action is needed to address these, and establish whether resolution is feasible.
 Red	Successful delivery appears to be unachievable. There are major issues, which at this stage do not appear to be manageable or resolvable. The programme may need re-baselining and/or overall viability re-assessed.

An Amber/Red or Red delivery confidence rating triggers an escalation and enhanced notification process.

Who sees the Gateway Review Report?

The Gateway Review Report is confidential to the SRO. Only two copies of the report are routinely made: one for the SRO and the other for the Gateway Team at Treasury. The Gateway team use reports to extract generic lessons learned, undertake value for money analysis and ensure compliance with the process. Agencies normally provide this report to Gateway review teams conducting subsequent reviews of the programme/project.

Where the result of the Gateway review is an Amber/Red or Red rating and escalation and enhanced notification processes are triggered, the review report may need to be made available to a wider, although still limited, audience.

How does Gateway fit with wider programme/project assurance?

The administrative burden and financial cost of assurance can be sizable. It's vital that the different forms of assurance that programmes/projects undertake have a distinct but complementary focus, to ensure value for money.

The primary focus of a Gateway review is on coaching and mentoring, not monitoring or audit. Gateway reviews frequently act as a "circuit-breaker" for projects that have got stuck on a particular issue, that have inadequate organisational support, or are dysfunctional in some way.

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