
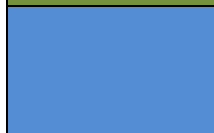
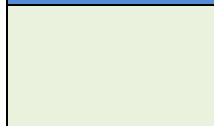

Guide to completing the Project Registration and Risk Assessment Tool

Introduction

Once a project or program has been identified as within the scope of the Recurrent Investor Assurance Framework (either because its Estimated Total Cost meets or exceeds the monetary threshold or it has been nominated by an agency, ERC or Treasury), the first step is to register the project and self- assess its Risk Tier

You can download the RIAF Registration and Risk Assessment Tool from the Treasury internet site. It is an Excel workbook

The workbook consists of

	A green tab for data entry
	Blue tabs summarising relevant information to assist in entering data
	Light green tabs set up to extract relevant information from the data tab which can be printed out

You must complete the data entry in the **Green** tab - (the rest of the workbook is protected).

Data entry

The data entry sheet is self explanatory. You can only enter data in unprotected cells, which are clearly identified.

There are **7 steps for data entry** in the data entry tab:

- **Step 1** is project registration where you are required to enter project and contact details, including the ETC
- **Step 2** is a self-assessment of the risk rating on each of 6 risk criteria:
 - Government priority
 - Interface complexity
 - Procurement complexity
 - Agency capability
 - Criticality of Service
 - Implementation complexity

In making these self-assessments you should consult the Tab marked Appendix 1 in the workbook (which more fully describes the criteria, sub –criteria and questions to be considered in determining a rating)

- **Step 3** is an automatic calculation of a preliminary risk tier (no input is required)
- **Step 4** consists of a set of additional considerations that could influence or change the preliminary risk tier
- **Step 5** allows you to adjust the preliminary risk tier based on the considerations in Step 4
- **Step 6** requires you to propose an assurance plan based on the adjusted risk tier (that is the Gates and/ or Health Checks for your project)
- **Step 7** asks you for your Treasury contact (if you have discussed this with Treasury)

When you have completed data entry the tool automatically populates the tabs set up for printing out. These can be printed out for the purpose of obtaining approvals required under your Department or agency's processes.

Submission

Once approval has been obtained for submission to Treasury, the excel file should be saved using the following naming convention:

RIAF Project Risk Profile Tool_ *Agency*_ *Project Name*_version x.xls

Replace *Agency* with your actual Agency Name and *Project Name* with the actual project name. The project name should be the same name used or proposed to be used in PRIME.

The version number should start with 1 and be updated with each resubmission:

- Print the following Tabs (as appropriate) and obtain necessary approval signoffs.

Print HPHR Project
Nomination

Print Project
Registration

Print Risk Profile

Print Project
Assurance Plan

- Email the completed workbook, supporting documents and pdfs of signed forms to the NSW Treasury Gateway Team at Gateway@treasury.nsw.gov.au
- Please use the following format in the email subject field:

Project Registration_ *Agency name*_ *Project Name*_version x

Next Steps

Your self -assessment and proposed assurance plan will be reviewed by the Major Recurrent Advisory Group, which has senior executive s from across the sector

Once the Risk Tier and assurance plan are approved, you will be advised by the Treasury Gateway Team who will work with you to plan the reviews.