

Regulators' Alliance for Progressing
Infrastructure Development

January 2024



Gate three submission template



Guidance for completing this submission

The submission should provide concise evidence of the solution's progress and ongoing viability. The submission document is intended to be a factual, standalone summary of the evidence assembled for gate three activities and the solution's progress. We expect the text of the submission document to be no more than approximately 60 pages and its length to be commensurate with the complexity of the solution. Documents forming part of the submission may be appended to the submission document in addition, but the number and length of appended documents should be kept to a minimum.

The gate three guidance document outlines what is expected to be included in each section of the submission document. Please refer to it when completing the submission. Where relevant, cross-reference other sections within the submission document to avoid duplication.

The submission document must provide full and comprehensive information about the progress of the solution and evidence of gate three activities without the need to refer to materials other than those appended to it. Any references to materials outside of this document are intended to provide an audit trail. The submission must provide full and comprehensive information about progress of the solution without the need to refer to other materials. However, all documents and data referred to in this submission must be published alongside the submission, redacted as necessary in line with our guidance. The number and size of supporting documents included in the submission should be kept to a minimum.

Strategic regional water resource solutions: detailed feasibility and concept design

Gate three submission for [solution name]

Date: [insert completion date]

Published version: 1

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1. Executive summary

Provide an overview of the solution and please complete the at-a-glance table below setting out key facts, that allow comparisons with other solutions and highlight key risks at the bottom. Also outline the conclusions and recommendations for the solution.

Item	Details
Scheme type	
Key assets	
1 in 500 year Deployable Output (DO)	
Requirements met by the scheme	
Plans in which the scheme features	
Date by when the scheme is required	
Year the scheme can be first operated	
Max utilisation average incremental costs (AIC) (with sensitivity test figures)	
Carbon impact	

Proposed gate four submission date	
Key project risks	Provide a summary of risks included in Section 6.2

2. Solution design and preferred solution option

Key solution design information to be developed to a standard suitable for pre-application planning consultation as per planning policy in England and/or Wales as appropriate.

Include evidence against the standards listed in section 2 of the guidance where appropriate, specifically how you have:

- aligned with Stage 3 of the RIBA plan of works ¹and ACWG Design Principles²
- considered all applicable requirements from [The Network and Information Systems \(NIS\) Regulations 2018³](#) and the Security and Emergency Measures (Water and Sewerage Undertakers and Water Supply Licensees) Direction 2022(SEMD). [Security and Emergency Measures Direction \(SEMD\) requirements.](#)

2.1 Background and objectives

A very short section outlining what this solution is aiming to address, including requirements and objectives set out by the Environment Agency for England in the [National Framework for Water Resources](#), published in 2020, and the [Water Strategy](#) for Wales.

See section 2.1 of guidance.

¹ [RIBA Plan of Works 2020](#)

² All Company Working Group (ACWG) Design Principles, Process and Gate 2 Interim Guidance

³ The NIS Regulations 2018 provides legal measures to protect essential services by improving the security of the network and information systems that support the continuation of these services. Drinking water supply and distribution has been designated an essential service within Schedule 1 of these Regulations. A water company supplying potable water to more than 200,000 people are classed as Operators of Essential Services (OES). OESs must take appropriate and proportionate measures to manage risks to their network and information systems and to prevent and/or minimise the impact of incidents to those systems.

2.2 The preferred solution option

Design information about the preferred option for the solution and evidence justifying its selection with respect to the range of options considered in previous gates.

See section 2.2 of the guidance.

2.2.1 Utilisation

Updated information on utilisation.

See section 2.2.1 of the guidance.

2.2.2 Water resource benefit

Updated information on the water resources benefit. This should be quantified to a high degree of confidence, with uncertainties explored, quantified and mitigated where feasible. Calculations on water resources benefit should be aligned with linked solutions, regional and company water resources modelling and planning.

See section 2.2.2 of the guidance.

2.2.3 Long term opportunities and scalability

It is important that Strategic Resource Options (SRO) explore opportunities for wider benefits.

See section 2.2.3 of the guidance.

2.2.4 Wider benefits

Information on wider benefits integrated into the solution design and proposed modes of operation and/or to be provided to third parties.

See section 2.2.3 of the guidance.

2.2.5 Solution scaling

Information on the preferred proposed option for solution scaling, where applicable.

See section 2.2.3 of the guidance.

2.2.6 Infrastructure resilience to the risk of flooding and coastal erosion

Information on infrastructure resilience to the risk of flooding and/or coastal erosion and on delivering wider flood risk management benefits.

See section 2.2.3 of the guidance.

3. Drinking water quality

Updated assessment of drinking water quality considerations and potential risks to drinking water quality and supply issues/resilience.

See section 3 of the guidance.

4. Environmental

Information to show that environmental assessments of the solution are sufficiently advanced to support Development Consent Order (DCO) or local planning pre-application stages after the gate.

See section 4 of the guidance.

4.1 Water Framework Directive assessment

Update on the assessments to ensure the solution complies with and supports the achievement of The Water Environment (Water Framework Directive) (England and Wales) Regulations 2017 requirements and objectives as set out in the River Basin Management Plans

See section 4.1 of the guidance.

4.2 Habitats Regulation Assessment

Update on Habitat Regulation Assessment to represent the solution's position within DCO or local planning pre-application stages and follow the latest Habitats Regulations Assessment (HRA) guidance. Where applicable, an outline strategy and indicative timetable for addressing HRA issues.

See section 4.2 of the guidance.

4.3 Environmental Impact Assessment

Update on the statutory Environmental Impact Assessment (EIA) required to support planning and permitting applications, sufficient to show the likely scope of the EIA.

See section 4.3 of the guidance.

4.4 National Parks, The Broads and Areas of Outstanding Natural Beauty Environmental Impact Assessment

For solutions that may affect National Parks, The Broads or Areas of Outstanding Natural Beauty, an assessment of the likely effects on those areas, having regard to the statutory purposes for which the areas are designated. Where applicable, an outline strategy and indicative timetable for addressing issues for National Parks, The Broads or Areas of Outstanding Natural Beauty.

See section 4.4 of the guidance.

4.5 Other environmental considerations

Information on the following where applicable:

- Biodiversity net gain (England only)
- Ecosystem resilience and Wellbeing (Wales only)

See section 4.5 of the guidance.

5. Carbon

Update on carbon information following the additional guidance listed in the gate three guidance.

See section 5 of the guidance.

5.1 Assessments of the whole life carbon cost of the solution

Clear estimations of carbon costs.

See section 5 of the guidance.

5.2 Reflecting the governance and environmental needs of Wales

Where a solution is within or affecting Wales an assessment of the carbon impact in Wales from the outset.

See section 5 of the guidance.

6. Programme and planning

6.1 Project plan

A clear project-level plan that sets out the key solution-specific milestones to delivery and includes key activities and outputs that need to be undertaken and achieved prior to each subsequent gate.

See section 6.1 of the guidance.

6.2 Key risks and mitigation measures

An assessment of key risks to the solution's planned progress to completion (including requirements at gates) and an assessment of risks to costs and realisation of the benefits of the solution.

See section 6.2 of the guidance.

6.3 Proposed gate four activities and outcomes

Propose dates for gate four onwards aligned with the solution project plan.

See section 6.3 of the guidance.

6.4 Planning and land

Updated land and planning strategy for the solution.

See section 6.4 of the guidance.

7. Procurement and operation model

Updated procurement arrangements and updated procurement strategy.

See section 7 of the guidance.

8. Solution costs and benefits

Updated key cost information for the preferred option with reduced uncertainty in costs and benefits and an explanation of any material change in costs, including where optimism bias has been reduced as costs firm up.

See section 8 of the guidance.

8.1 Best value and solution benefits

Updated best value and solution benefits.

See section 8.1 of the guidance.

9. Stakeholder and customer engagement

Information to show that solutions have completed non-statutory consultation and are undertaking statutory pre-planning consultation for DCO solutions, or planning application and permission. A description of the stakeholder concerns that have been raised in representations to date (including representations on the draft decisions at the previous gate) and how they have been addressed at gate three or will be addressed at future gates.

See section 9 of the guidance.

10. Board statement and assurance

An assurance statement from the Board of each solution owner, in its own words.

See section 10 of the guidance.

11. Efficiency of expenditure

Information in the Efficiency of Expenditure template detailing incurred costs for each gate activity allocated to the categories of Programme and Project Management; Finalised Feasibility and Developed Design; Environmental Assessment; Data Collection, Sampling, and Pilot Trials; Planning and Land; Commercial and Procurement; Stakeholder Engagement; Legal, and Other.

See section 1.1.6 of guidance and the Efficiency of Expenditure template.

11.1 Early gate four spend

Information on any gate four activities and the associated expenditure that has taken place during the gate three period.

11.2 Solution progression

Recommendations for which solution(s) and option(s) should progress through gate three and continue to receive funding for their investigation and development.

12. Conclusions and recommendations

Concise summary of the conclusions. Recommendations from the sponsors on:

- Whether the solution should progress to gate four.
- Approaches to resolving any major risks or barriers to scheme progression and application for a DCO or local planning application.

13. Supporting documentation

Any data tables including cost and benefit profiles must be consistent with 2024 water resource management plans (WRMP24) reporting requirements.

In the main gate three report include:

- A table of any actions and recommendations given by RAPID at the previous gate and signpost where further detail can be found in the main report and/or appendix.
- Table listing each appendix of the submission, its title and a summary of content.

In the appendix to the main report include:


- An appendix that lists the criteria from the gate three guidance and signposting where in the main report or which appendix of the main report it is addressed. An example from a gate two appendix has been included as a guide on the next page.

14. Example from gate two of guidance criteria and signposting appendix

Guidance reference	Overview of expectation	Sub-reference and detail of expectation	Addressed?	Description and/or rationale for X SRO	Report and	Section reference
3.1 Background Objectives	n/a	3.1.1. The submission should outline what requirements and objectives this solution is aiming to address, including requirements and objectives set out by the Environment Agency for England in the National Framework for Water Resources, published in 2020, the Water Strategy for Wales and regional and company plan(s). Proposals that affect Wales will have regard to the interests of Wales, in particular sustainable management of its natural resources and Welsh legislation and policies especially the guiding principles.	Yes	The requirements and objectives are set out in the main gate two report.	Main gate two report	2
	The submission should provide	3.2.1. Solution description - what does it do.	Yes	Refer to gate two report	Main gate two report	3.1

Guidance reference	Overview of expectation	Sub-reference and detail of expectation	Addressed?	Description and/or rationale for X SRO	Report and	Section reference
3.2 Solution, Options and sub-options	descriptions about the solution, options and sub-option elements, and evidence of what has been considered. This should include:	3.2.2. Evidence that a broad range of solution options have been considered with justification for why sub-optimal options have been eliminated and viable options selected to be carried forward including consideration of sub-option elements (key assets) interaction (both intra-regional and inter-regional) and scalability	Yes	An appraisal of potential site options has been completed at gate two to identify feasible quarries for repurposing as water storage reservoirs, and to reject any unsuitable sites. Potential alternative options to increase the storage to provide a higher DO have been considered and discussed as potential opportunities.	Main gate two report Annex A1 – Options Appraisal, Site Selection Annex A4 – Concept Design Report	3.2, 3.3, 4.3 All 1.3, 1.4, 1.5
		3.2.3. Configuration of solution options and sub-option elements including a description of how the solution/ options/sub-option elements will be operated.	Yes	A scheme diagram has been developed to communicate the key assets in the gate two report. Further detail of key asset and operation is provided in the conceptual design report.	Main gate two report Annex A4 Concept Design Report	3.4 All

Example from a gate two appendix of guidance and section signposting.



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