

GATE 1 REVIEW GUIDELINE

Strategic Alignment

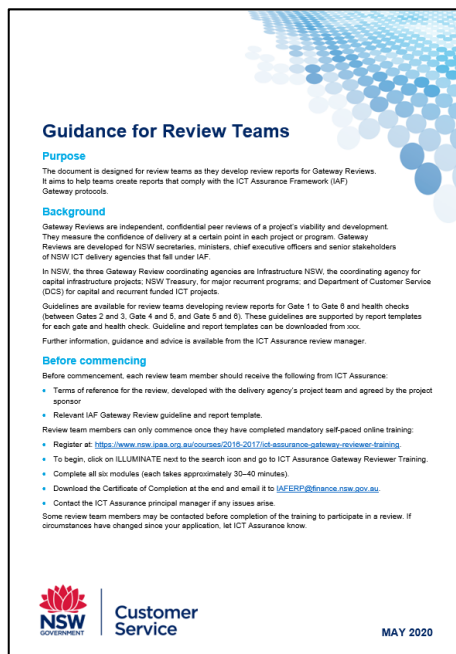


Customer
Service

JUNE 2020

About this guideline

This guideline assists review teams and delivering agencies working on Gate 1: Strategic Alignment of the ICT Assurance Framework (IAF) Gateway review process. It should be read alongside the ‘Gate 1 Review Report’ template and ‘Guidance for Review Teams’, both available from <https://www.digital.nsw.gov.au/policy/ict-assurance>.



The Gateway Review process examines projects at key decision points (gates) and looks ahead to provide assurance that projects can progress to the next stage (or gate). This can also include health checks between gates.

Gateway reviews are independent peer reviews of a project's viability and development. Independent practitioners from outside the project examine the progress and likelihood of successful delivery at a certain point in each project – this provides a valuable new perspective on the project's issues, while challenging the robustness of plans and processes.

PAGE 3	The Gateway Review process Purpose of the review Focus areas	PAGE 9	Topics to probe within each of the four key review scope areas: 1. Policy and business context 2. Business Case and stakeholders 3. Risk Management 4. Readiness for next phase: Business Case
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The Gateway Review process

	STAGE	PURPOSE	SCOPE	HEALTH CHECKS
	Portfolio review	Initiatives assessed using a value-based priority rating system to determine which initiatives should be developed		
	Strategy and Business Plan	Cluster or agency plan from which initiatives are formed		
YOU ARE HERE	PLANNING	GATE 1 Strategic Alignment	Ensures the business needs for the initiative are clearly defined and aligned with Strategic imperatives, Investment Principles and Enterprise Architecture.	<ul style="list-style-type: none"> • Policy and business context • Business case and stakeholders • Risk management • Readiness for next phase
		GATE 2 Business Case	Ensures that the business case is robust and there are plans to realise benefits and align with Strategic imperatives, Investment Principles and Enterprise Architecture.	<ul style="list-style-type: none"> • Assessment of delivery approach • Business case and stakeholders • Risk management • Review of current phase • Readiness for next phase
		GATE 3 Pre-execution	Assesses the procurement and tendering approach, identifies problems early in the initiative and ensures plans for the delivery of the initiative are in place.	<ul style="list-style-type: none"> • Assessment of delivery approach • Business case and stakeholders • Risk management • Review of current phase • Readiness for next phase
DELIVERY	GATE 4 Tender Evaluation	Evaluates the solution and preferred option prior to committing funds, ensuring that the initiative will be delivered effectively and checks requirements against milestones.	<ul style="list-style-type: none"> • Assessment of the proposed solution • Business case and stakeholders • Risk management • Review of current phase • Readiness for next phase 	<ul style="list-style-type: none"> • Test leading indicators of problems to catch risks and issues early. • Ensure appropriate measures and checks are in place for ongoing assurance.
	GATE 5 Pre-commissioning	Assesses whether the organisation is ready to adopt the solution to achieve the planned benefits stated in the business case and implement the change management required.	<ul style="list-style-type: none"> • Business case and stakeholders • Risk management • Review of current phase • Readiness for next phase 	
	GATE 6 Post-implementation	Assesses whether the anticipated benefits are being delivered, lessons learned have been considered and plans for ongoing improvements in value, service enhancements and performance are in place.	<ul style="list-style-type: none"> • Review of operating phase • Business case and benefits management • Plans to improve value for money • Plans for ongoing improvements in performance and innovation • Review of organisational learning and maturity targets • Readiness for the future: Plans for future service provision 	

Potential for multiple or recurrent health checks and milestone reviews

Purpose of the review - Gate 1: Strategic Alignment

Gate 1: Strategic Alignment aims to provide assurance to the delivery agency that the project's business needs are defined and aligned with strategic imperatives, investment principles and enterprise architecture. It aims to test whether stakeholders' expectations of the project are realistic by referencing them to outcomes, resource requirements, timetable and achievability.

This Gate 1: Strategic Alignment review is designed to:

- Ensure the project contributes to the organisation's business strategy and to high-level NSW Government policy objectives and outcomes including Ministerial priorities and Digital.NSW policies;
- Assess the robustness of the Preliminary Business Case – whether it meets business need; is affordable and achievable; and explores appropriate options in order to achieve value for money;
- Confirm that appropriate expert advice has been obtained to identify or analyse potential options;
- Establish the satisfactory completion of a feasibility study or proof of concept and clarity around a preferred way forward, developed in dialogue with the market, where appropriate;
- Ensure the project is clearly understood and supported by users and stakeholders;
- Review the arrangements for leading, managing and monitoring the project (or individual projects of a program);
- Confirm internal and external authority, if required, and support for the project;
- Assess if major risks are identified, and risk management plans developed;
- Assess if the project will deliver its business goals and support wider business change, where applicable;
- Confirm that the scope and requirements specifications are realistic and unambiguous;
- Assess whether the scale, outcomes, timescales and impact of external issues are considered;
- Ensure articulation of high-level desired benefits, measures of success and a measurement approach;
- Check that financing has been adequately assessed for the project and that it has a realistic, properly resourced and authorised plan through to the next stage;
- Ensure there are plans for the next stage;
- Confirm planning assumptions and assess whether the project team can deliver the next stage;
- Confirm consideration of overarching and internal business and technical strategies; and
- Check for quality plans for the project and its deliverables.

This guideline details topics to be assessed and the evidence the review team should expect, in four key review scope areas:

- Policy and business context;
- Business Case and stakeholders;
- Risk Management; and
- Readiness for next phase: Business Case.

These key review scope areas will help to structure the Gate 1 report.

The guideline provides examples of evidence the review team should seek. This should not be considered prescriptive; each review team should consider if broader topics should be addressed, or different evidence required – this will depend on the context of the project.

Focus Areas

The review team should be mindful of the seven focus areas. The seven focus areas are a set of themes common across the project lifecycle that the NSW Government has determined as requiring assessment. They are referred to in the key review scope areas and are used in the review report.

Focus area	Description
	<p>Affordability and value for money</p> <p>A clear case for change and consideration of technology and market options to show evidence that the proposed changes will be delivered to the highest quality within an acceptable time and at a competitive and affordable price. There must be sufficient financial, physical and human resource to deliver the project and expenditure of these resources must provide value for money over the project's life.</p>
	<p>Risk Management</p> <p>Risk to scope, cost, procurement, time and quality should be identified and managed, as should risks inherent to the nature of new or changing technology, such as data privacy and cyber security risks, reputational risks and risks to continuity or quality of business services. Risk management plans must be developed.</p>
	<p>Governance</p> <p>Consideration of project governance (roles and responsibilities to deliver the project, resource allocation, time management and process management) and alignment with business as usual agency activities and broader NSW Government and stakeholder governance.</p>
	<p>Stakeholder Management</p> <p>Consideration of the stakeholders that may contribute to or be affected by new ICT environments and capabilities, including end-users, government staff, citizens, business service managers and executive owners, technology providers, and both government and external vendors and service providers.</p>
	<p>Change Management</p> <p>Consideration of how the change will affect stakeholders, expected acceptance or resistance and actions required to move to new ways of working.</p>
	<p>Service Delivery</p> <p>Consideration of the effect of new technology capabilities on business service delivery, such as more efficient business services; maintaining or improving service delivery, such as better access to government services; quality improvements; or enabling new services.</p>
	<p>Sustainability</p> <p>Considerations of benefits realisation planning and tracking; service transition planning and implementation; whether vendor management offices will be required; continuous improvement capabilities and solution road maps; and how data will be archived or retained to meet current and future legislative requirements and data migration requirements.</p>

The Gateway Review Framework provides more details of the Gateway Review process.

Review teams should:





- Engage and meet with a Project Sponsor from the delivery agency prior to the review; and
- Where possible, engage early with the relevant agency's project management office (PMO) to understand the project's background and to adequately plan for interviews and required documentation.

The Gateway Review Framework

	Gate 1 – Strategic Alignment	Gate 2 – Business Case	Gate 3 – Pre-execution	Gate 4 – Tender Evaluation	Gate 5 – Pre-commissioning	Gate 6 – Post-implementation
Purpose	Ensures the business needs for the initiative are clearly defined & aligned with strategic Imperatives, Investment Principles & Enterprise Architecture	Ensures that the business case is robust & there are outline plans to realise benefits & align with Strategic Imperatives, Investment Principles & Enterprise Architecture	Assesses the procurement and tendering approach, identifies problems early in the project and ensure plans for the delivery of the project are in place	Evaluates the solution & the preferred option prior to committing funds, ensuring that the project will be delivered effectively and checks requirements against milestones	Assesses whether the organisation is ready to adopt the solution to achieve the planned benefits stated in the business case and implement the change management required	Assesses whether the anticipated benefits are being delivered, lessons learned have been considered and plans for ongoing improvements in value, service enhancements and performance are in place
Review Scope	<ul style="list-style-type: none"> Policy and business context Business case and stakeholders Risk management Readiness for next phase 	<ul style="list-style-type: none"> Assessment of delivery approach Business case and stakeholders Risk management Review of current phase Readiness for next phase 	<ul style="list-style-type: none"> Assessment of delivery approach Business case and stakeholders Risk management Review of current phase Readiness for next phase 	<ul style="list-style-type: none"> Assessment of the proposed solution Business case and stakeholders Risk management Review of current phase Readiness for next phase 	<ul style="list-style-type: none"> Business case and stakeholders Risk management Review of current phase Readiness for next phase 	<ul style="list-style-type: none"> Review of operating phase Business case and benefits management Plans to improve value for money Plans for ongoing improvements in performance and innovation Review of organisational learning and maturity targets Readiness for the future: Plans for future service provision
7 focus areas emphasis						
Reviews will assess the focus areas through various lenses including:						
Risk Management	<ul style="list-style-type: none"> Early identification of key risks, including risk for potential solutions/options and strategic risk Outline risk management plans 	<ul style="list-style-type: none"> Early identification of key risks, including risk for potential solutions/options and strategic risk Updated risk management plans 	<ul style="list-style-type: none"> Assessment of key risks Key procurement and supplier risk Stakeholder risks Updated risk management plans 	<ul style="list-style-type: none"> Assessment of key risks Key procurement and supplier risk Updated risk management plans Stakeholder & change risks 	<ul style="list-style-type: none"> Assessment of key risks Key delivery and implementation risks Updated risk management plans Stakeholder & change management risks 	<ul style="list-style-type: none"> Ongoing plans for risk management Business continuity & operations risks Ongoing cyber & information security risk Updated risk management plans Ongoing change management & stakeholder management risks
Change & end users	<ul style="list-style-type: none"> Stakeholder identification and end user input to service needs 	<ul style="list-style-type: none"> Assessment of the change impact to all stakeholders 	<ul style="list-style-type: none"> External (market) engagement and analysis 	<ul style="list-style-type: none"> Change preparation and planning 	<ul style="list-style-type: none"> Change, training and transition support 	<ul style="list-style-type: none"> Continuous improvement End user support
Benefits Management	<ul style="list-style-type: none"> High level benefits identified and agreed Benefits strategy, plan and register 	<ul style="list-style-type: none"> Benefits aligned to business case and agreed Governance and plans for realising and delivering benefits Updated Benefits management plan 	<ul style="list-style-type: none"> Benefits aligned to business case and agreed Governance and plans for realising and delivering benefits Deviations to agreed and planned benefits 	<ul style="list-style-type: none"> Updated benefits strategy, realisation plan and register Deviations to agreed and planned benefits Benefits aligned to business case and agreed 	<ul style="list-style-type: none"> Achievability of planned benefits Updated benefits strategy, realisation plan and register Handover and measurement of benefits 	<ul style="list-style-type: none"> Assessment and measurement of the realisation of planned benefits Planned future benefits Measurement of benefits against the business case
Scope Management	<ul style="list-style-type: none"> Requirements and scope are clear Alignment to business needs Options analysis 	<ul style="list-style-type: none"> Feasibility and options analysis to meet organisations needs and address government strategy 	<ul style="list-style-type: none"> Updated project scope including business change Delivery plan defined and agreed 	<ul style="list-style-type: none"> Assessment of options to ensure they are still within scope 	<ul style="list-style-type: none"> Confirmation project scope still meets business needs and acceptance criteria 	<ul style="list-style-type: none"> Scope for improved value for money Future needs and scope



Conducting a Gateway Review

	Step 1 – Initiate	Step 2 – Prepare	Step 3 – Conduct	Step 4 – Report
WHAT	<ul style="list-style-type: none"> • Register project • Confirm risk tier and assurance plan • Agree review dates • Draft and approve terms of reference 	<ul style="list-style-type: none"> • Nominate and agree review team • Draft review team agreements • Project documents uploaded to SharePoint by agency Coordinator • Interview logistics completed by agency • Review team briefed by assurance team 	<ul style="list-style-type: none"> • Planning meeting • Interviews held • Daily Sponsor feedback sessions • End-of-review Sponsor debrief 	<ul style="list-style-type: none"> • Review team draft and issue report to ICT Assurance/Sponsor • Sponsor reviews report and completes close-out plan and Sponsor comments • Review team and ICT Assurance validate Sponsor input • Issue final report • Issue clearance letter • Survey completed by Sponsor and review team • Invoicing and charge-back
WHO	<ul style="list-style-type: none"> • ISSI Working Group • Sponsor, Project Director / Manager (agency) • Assurance Director, Principal Manager, Case Officer (DCS) 	<ul style="list-style-type: none"> • Sponsor, Project Director / Manager, Coordinator (agency) • Assurance Director, Principal Manager, Case Officer (DCS) • Review team 	<ul style="list-style-type: none"> • Sponsor, Project Director / Manager, Coordinator (agency) • Interviewees including project stakeholders, Treasury, end-users, third parties • Assurance Director, Principal Manager, Case Officer (DCS) • Review team 	<ul style="list-style-type: none"> • Sponsor, Project Director / Manager, Coordinator (agency) • GCIDO • Assurance Executive Director, Director, Principal Manager, Case Officer, Finance (DCS) • Review team
WHEN	 <p>Varied</p>	 <p>Up to 4 weeks</p>	 <p>1–3 weeks</p>	 <p>1–3 weeks</p>

Assessing risk in ICT Assurance

Each gate in the Gateway Review process requires the review team to assess a project’s level of risk. Before the Gateway Process starts, each project is allocated a risk tier to quantify the level of assurance required. The risk tier – a rating between 1 and 5, with 1 being the largest and most complex – is determined through a self-assessment of risks and complexities which is then compared against estimated costs. The risk tier ensures there will be sufficient assurance to larger projects and less regulation for smaller projects.

As project risks or complexities can change, each gate or health check should reassess project risk and complexity by reviewing risk and issue logs, specifically that:

- Inherent and residual ratings are provided for all risks and issues;
- All risks and issues have action plans, with owners and dates against each action;
- Each action plan and seniority of owner reflects the significance of the risk or issue; and
- All dates must be in the future (if an action is late then a revised action plan should be documented).

If the risk tier needs to be changed or the assurance plan updated, this must be discussed with the Project Sponsor, with any change in tier requiring Government Chief Information and Digital Officer (GCIDO) endorsement under the terms of the IAF.

Tier classification and assessment

Risk score	ETC (\$m)					
	200+	>100-200	>50-100	>20-50	10-20	5-10<
4.0 - 5.0	Tier 1	Tier 1	Tier 1	Tier 1	Tier 1	Tier 2
3.0 - 3.9	Tier 1	Tier 2	Tier 2	Tier 2	Tier 2	Tier 3
2.5 - 2.9	Tier 1	Tier 2	Tier 2	Tier 2	Tier 3	Tier 4
2.3 - 2.4	Tier 2	Tier 2	Tier 2	Tier 3	Tier 4	Tier 5
2.1 - 2.2	Tier 2	Tier 2	Tier 3	Tier 3	Tier 4	Tier 5
0.0 - 2.0	Tier 2	Tier 3	Tier 3	Tier 3	Tier 4	Tier 5

Developing the report

A review report is the key output of each gate. Each report must follow the report template and be written in a concise way that a third party could understand. Commentary should be included for each section, to support recommendations by the Review Team. Where possible, examples should be provided especially for items that require further work and action.

The review report lists recommendations, defined as either critical, essential or recommended. These should:

- Link to project milestones;
- Follow the SMART approach (S – specific; M – measurable; A – attainable; R – realistic; T – timely); and
- Align to the seven focus areas.

Reports will remain in Microsoft Word and named as per the following file naming protocol:

Project Name – Gateway Review Name – (DRAFT / FINAL) Report_Ver 1-1

The review team leader emails all reports to the ICT Assurance Director.

1. Policy and business context

Each numbered item below is an area to be probed.

1.1 Are relevant government initiatives addressed?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> Evidence the Project Sponsor is undertaking their responsibilities as required in relevant policy initiatives. 	

1.2 Does the project meet the NSW Government ICT Strategic Imperatives and Investment Principles?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> A completed self-assessment template that assesses the project against relevant ICT policies, standards and priorities (refer to the ICT Assurance Whole of Government Agency Self-Assessment template). 	

1.3 Does the preferred option meet wider government and organisational policies, strategic objectives, standards and business change programs? Will it meet public service reform initiatives?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> Evidence of the project's role within a broader government program or policy initiative; Business justification stated in the Preliminary Business Case; Compliance with government frameworks, IT security requirements and Freedom of Information and data privacy requirements (<i>Government Information (Public Access) Act 2009</i>); consideration of information assurance requirements against business objectives; Alignment to service orientation, including 'as a service' sourcing models, as a primary option; Consideration of regulatory impact, sustainable development, environmental appraisal, and procurement innovation and sustainability issues; Online access and sharing of data across government and externally, as appropriate; and Consideration of planned or commenced public service reform programs. 	

1.4 Have internal and external factors affecting the project been identified and assessed?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> Clear objectives, timescales and scale; Consideration of legislation, policy and regulatory issues; Assessment of the stability of the current business environment and strategic direction; Evidence and assessment of other programs and projects that could affect priorities; Assessment of existing physical and technical environment issues such as current infrastructure and legacy systems; and Understanding and availability of the skills and knowledge required for implementation; appropriate allocation of project roles. 	

1.5 Have dependencies on current/future projects/programs been assessed?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> Evidence of interdependencies with other projects or services that will influence project scope and cost. 	

2. Business Case and stakeholders

Each numbered item below is an area to be probed.

2.1 Is there a clear and agreed strategic vision?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> A clear understanding of the strategic outcome. 	

2.2 Is there a clear and agreed understanding of business goals and how the project will deliver these?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> Business objectives follow the SMART method and meet the business needs of the organisation; Defined and agreed strategy for realising social, economic and environmental benefits; Total scope, including timescales, documented and agreed with stakeholders (including end-users or their representatives) and technical authorities; Realistic, clear and unambiguous scope and requirements specifications; Defined and agreed delivery approach and mechanisms; and Evidence of options reviewed and justification. 	

2.3 Are ICT security requirements identified?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> Potential requirements identified with evidence of advice from security teams; Consideration of delivery agency's cyber security standards, the NSW Cyber Security Policy and the NSW Cyber Security Incident Emergency Sub-Plan; and Consideration of information management and asset management standards. 	

2.4 Is the proposed delivery approach and mechanisms appropriate for this project? Has it been defined and agreed with stakeholders? Have Agile methodologies (if appropriate) been considered?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> Evidence of which delivery method will be used – Waterfall, Agile or a Hybrid. If Agile, use of Agile values, principles, tools and techniques including: <ul style="list-style-type: none"> Processes to review and respond to feedback, continue to improve and adapt to change; Research that informs the evolution of the project; Methods to prioritise requirements and features to ensure the service meets users' needs; Decision-making and approval processes; Engagement plans for each stakeholder; Plans to share information, collaborate and troubleshoot issues; Increased communication, collaboration and transparency; and Whether the organisation has the maturity to use an Agile methodology, and what change is required to maximise the use of Agile methodology. 	



2.5 Is there a strategy to plan and manage project benefits?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> • A high-level benefits realisation strategy and benefits realisation register. 	



2.6 What are the critical success factors?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> • The critical success factors for each objective. 	



2.7 Can critical success factors be quantified or measured?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Explanation of how factors will be measured with baseline measures where appropriate; and • Definition of systems to measure and track realisation of financial and non-financial benefits. 	

2.8 Have stakeholders been identified and their needs understood? Are external stakeholder issues such as communications, social issues (e.g. equality, disability, literacy, remoteness and diversity issues), environmental issues, personnel or statutory processes considered?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Internal and external stakeholders identified and documented; • Stakeholders motivations and triggers considered; • Stakeholders roles, responsibilities and potential influence defined and agreed; • End-users and their needs identified and documented; • Evidence of an efficient, effective and inclusive decision-making process; • Results of consultations, as prescribed in a stakeholder engagement and communications strategy; and • If the project traverses organisational boundaries, clear governance arrangements to align with the business objectives of all organisations. 	

2.9 Do stakeholders support the preferred option, including delivery approach and mechanisms?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Stakeholder consultation, involvement, support and endorsement. 	



2.10 Does the feasibility study examine enough options to meet the business requirement?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Options explored for collaboration with other State agencies, programs and projects; • Where applicable, options assessed in accordance with regulatory requirements and policies; • Clear advantages and disadvantages for each option; and • Market sounding indicates that suitable solutions can be provided. 	



2.11 Is there a clear best option or are several options appropriate?

Evidence expected	Status/Ref

<ul style="list-style-type: none"> Options examined, appraised and ranked; and Clear analysis of whole-life costs for each option. 	
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2.12 If there are several options, how was their robustness tested?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> Sensitivity analysis of appropriate options; and Major sensitivities included in the list of identified risks. 	



2.13 Is the project likely to be attractive to the market?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> Market sounding, including recent similar procurements and indication of suitable suppliers; Adequate capacity, capability and competitive interest in the market; Early supply-side involvement has determined and validated outputs and outcomes for the project, including proof of concept exercises; and Sufficient market engagement by senior management to allow assessment of supply-side risks. 	



2.14 Have contract management issues been considered?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> Arrangements for managing single/multiple suppliers considered; If multiple suppliers likely, high level plans for managing the interfaces; and Optimum scale of contract(s) appropriately considered. 	

2.15 Is the Preliminary Business Case valid and does it demonstrate business need and contribution to the organisation's business strategy?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> Evidence the preferred option is selected from a broad range, rigorously assessed and likely to be affordable and achievable; Proposed budget that forecasts, manages, monitors and controls project expenditures and benefits; Adequate representation of stakeholder views; Clear objectives and realistic expectations; Appropriate sources of expert advice; and Ability to align the delivery strategy with the overall organisational goal. 	

2.16 Have options for standardisation, collaboration and/or re-use of existing solutions been considered?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Investigation of ability to re-use existing solutions; • Outcomes from cross divisional/agency forums to identify existing ICT services/solutions that delivery agencies may be able to adopt, re-use or share; and • Options considered standardisation of frameworks, procurement arrangements, information management and data standards. 	

2.17 How is the change management plan being developed? How have the affected business units been involved in this plan?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Initial or high-level change management plan, developed with stakeholders; and • Demonstration of how the change management strategy will incorporate stakeholders' views, organisational and business process implications and communication requirements. 	

2.18 What is the framework for identifying, assessing, communicating and managing changes to business within and external to the agency?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Evidence of initial or high-level stakeholder and communications management plan, developed with stakeholders. 	

2.19 Are there defined project organisation with agreed roles and responsibilities?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Project organisation and methodology; • Governance/reporting arrangements; • Named individuals in key positions, with appropriate skills, experience and status (especially appropriate for Project Sponsor): <ul style="list-style-type: none"> – Project Sponsor; – Project Manager; – Project Director; – Stakeholder representation; – Project board or project steering group; – Chief Information Officer or equivalent role, an IT/Information Security Manager/accreditor to support the Project Sponsor; and – For collaborative projects, a Project Sponsor assigned and senior representatives from each organisation, and clear governance arrangements, with clear lines of accountability and ownership. 	



2.20 Does the Agile plan, if used, cater for some development to be discarded?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> The schedule caters for the possible disposal of early iterations. 	

2.21 Are the resources available to maintain momentum or address gaps in the multidisciplinary teams that may develop?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> Resourcing strategy and plan is appropriately aligned to the demand profile; and Witnessing stand-ups, etc. will demonstrate whether everyone who needs to be there attends. 	

2.22 Have resource capability and capacity requirements been assessed for production development and business readiness?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> Capability and capacity assessment completed, and resources identified and secured; and Comparison of plans with a wider change portfolio/strategy. 	

2.23 Do the plans align with the wider change portfolio?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> Comparison of plans with a wider change portfolio/strategy. 	

3. Risk Management

Each numbered item below is an area to be probed.

3.1 Are there processes to identify, assess, allocate, manage and monitor current, anticipated and emerging risks and issues?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Major risks and key issues categorised as strategic, political/reputational, legislative, implementation and operational (including business, technical, financial and commercial/contractual risks within these categories, as appropriate). In addition: <ul style="list-style-type: none"> – Information security risks, including staff and citizen information; and – Cyber security threats identified and assessed; and – Supplier-related risks, e.g. Information privacy and cyber security compliance/accreditation, supplier access to government IT environments, technical currency and financial viability; – Risks relating to poor take-up; – Risk management strategy that aligns with NSW Government standards such as tpp15-03 internal audit and risk management policy; – Individual responsible for managing risk, mitigation options and contingency plans and appropriate internal review and approvals, e.g. Chief Information Security Officer or similar, and agency audit and risk committee; and – Defined roles, responsibilities and processes for managing issues and risk and processes for bringing issues and risks to the attention of senior management. 	

3.2 Have the risks for each of the options been evaluated?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Current, emerging and anticipated risks classified by probability, impact, ownership, effect on the project and countermeasure, contingency and/or business continuity; and • Full assessment of risks that would jeopardise proceeding to the next phase. 	

3.3 Have the risks for the preferred option been fully assessed?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Involvement of senior stakeholders; • Assessment of risk, costs and benefits to demonstrate appropriate balance of risk and reward in the preferred option, demonstrating planned risk-taking and support for innovation where appropriate; and • Plans for contractually managing and allocating risks associated with the preferred option. 	

3.4 Have worst-case implications been assessed?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Risks financially assessed and risk allocation estimated; and • Consequences of breach of information privacy or cyber security safeguards. 	

3.5 Are the costs and time implications of managing risks included in the cost and time estimate or treated as a separate risk allocation?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Costs and time for managing risks separately identified; • Seed funding reserved for vulnerability and penetration testing (if applicable); • Costs and time estimated for risk countermeasures and, where appropriate, contingency and business continuity plans; • Where risks cannot be reduced, costs separately identified and included as a risk allocation provision; and • Analysis of the effects of slippage in time, cost, scope or quality. 	

3.6 Is the project breaking new ground in any areas?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Examination of similar leading-edge projects to assess the project's impact on business, stakeholders and end-users; • Innovative solutions assessed by professional advisers; • Consultation with the market to help refine approach, and identify and mitigate risks; and • Defined approach to change management, noting organisational culture, leadership and organisational capability. 	

3.7 Should the project be broken down into a series of small steps?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Documentation of the chosen approach and justification for taking that decision; and • Business Case details any phased delivery or expected improvements over time. 	

4. Readiness for next phase: Business Case

Each numbered item below is an area to be probed.

4.1 Is there an overall project structure for the Preliminary Business Case phase?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> • A definition of the project approach to be adopted; and • Assessment of its suitability. 	

4.2 Is there a realistic plan to reach Gate 2: Business Case?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Defined and agreed objectives, planning assumptions, constraints, activities, quality plans, deliverables and milestones for the next phase and remaining phases; • Assessment of current assumptions; • Evidence the project addresses short and long-term business requirements; • Evidence of suitable market solutions and capacity; • For projects with a design phase, evidence the timescale allows for the development of the required design quality; • Identification of members of the project team with capability to develop the Business Case; and • Evidence of consideration of a proof of concept stage. 	

4.3 Have requirements for external specialist advice been determined?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Specialist expertise considered and resourced; and • Appropriate use of external advice. 	

4.4 Does the project team have adequate skills?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Resource plan for internal staff; • Identification of skills required for next phase; • Skills appraisal and plans for addressing shortfalls; • Training assessment and plans, training sources; • Appropriate allocation of project roles between internal staff and consultants or contractors; and • Appropriate skills or access to specialist expertise. 	

4.5 Is the time plan for the next stage realistic? Does it account for statutory lead times?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Senior management commitment to the time plan; and • Time plan for delivery justified and not longer than necessary. 	



4.6 Is there a defined project organisation with agreed roles and responsibilities?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Project organisation and methodology; • Governance/reporting arrangements; • Named individuals in key positions, with appropriate skills, experience and status (especially appropriate for Project Sponsor): <ul style="list-style-type: none"> – Project Sponsor; – Project Manager; – Project Director; – Stakeholder representation; – Project board or project steering group; – Chief Information Officer or equivalent role, an IT/Information Security Manager/accreditor to support the Project Sponsor; and – For collaborative projects, a single Project Sponsor assigned and senior representatives from each collaborating organisation, as well as clear governance arrangements to align the business objectives of all organisations involved, with clear lines of accountability and ownership. 	

4.7 Are there the necessary funds to reach Gate 2: Business Case?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Budget provision, with costs included in NSW Government budget reviews; and • Financial controls for expenditure in place on project. 	

Gate 1 Review: Typical project documentation

The review team should expect to receive evidence as noted below:

Governance, requirements, policy and resourcing

- Project brief with the project's scope and the need for change;
- Project initiation document or equivalent;
- A product backlog for any initially identified epics and stories if using Agile;
- Key roles and governance/reporting arrangements;
- How performance is to be reported and monitored;
- Definition of how to judge the project's success;
- Regulatory impact assessment (for policy projects);
- Agency Total Asset Management (TAM) strategy and other TAM documentation;
- State strategic plans, e.g. Premier's Priorities, State Infrastructure Strategy, NSW ICT Strategy.
- Authority and approval to proceed;
- A Preliminary Business Case addressing business need, affordability, achievability, value for money and a range of options estimating the project's cost and benefits; some form of cross-agency feasibility study, sensitivity analysis and market sounding; and
- The agency self-assessment template showing compliance with whole-of-government ICT policies, standards and priorities.

Stakeholder engagement and change management

- High-level change management plan;
- Communications strategy;
- High-level stakeholder management plan;
- Strategy outlining the approach to business change (including staff training, new facilities, etc.); and
- Business impacts identified and documented.

Quality Management

- Quality management strategy; and
- An initial assessment of current and proposed physical and technical environment (e.g. IT infrastructure, workspace facilities).

Financial Management

- Cost report on the project to date against budget;
- Evidence of funding to cover all work to Gate 2: Business Case; and
- Preliminary financial analysis.

Procurement and commercials

- Preliminary procurement plan; and
- Agency strategic asset management planning of asset acquisition, maintenance and disposal proposals.

Risk Management

- A list of the major risks, with draft plans for managing them.

Planning and control

- A high-level activity, time and resource plan for the whole project;
- Plans to move the project to Gate 2: Business Case;
- The project approach, including how to deliver the intended outcome; and
- Cross-agency feasibility studies.

Benefits Management

- High-level benefits management plan including outcomes, benefits realisation strategy and high-level benefits realisation register.