

GATE 6 REVIEW GUIDELINE

Post-Implementation

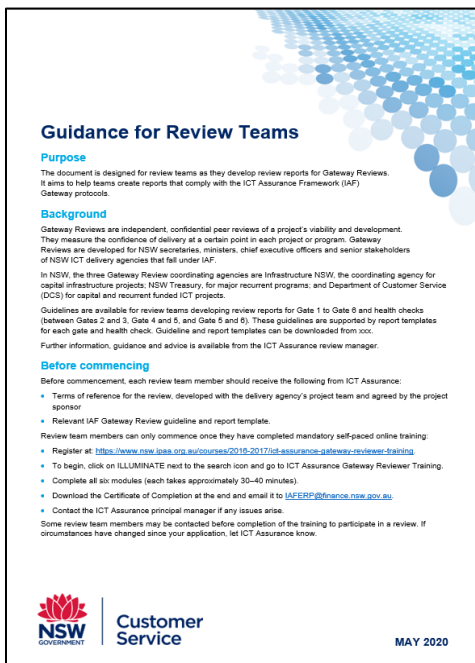


Customer
Service

JUNE 2020

About this guideline

This guideline assists review teams and delivering agencies working on Gate 6: Post-implementation of the ICT Assurance Framework (IAF) Gateway review process. It should be read alongside the 'Gate 6 Review Report' template, and 'Guidance for Review Teams' (specifically 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 six key review scope areas: 1. Review of operating phase 2. Business Case and benefits management 3. Plans to improve value for money 4. Plans for ongoing improvements in performance and innovation 5. Review of organisational learning and maturity targets 6. Readiness for the future: Plans for future service provision
PAGE 6	The Gateway Review Framework Conducting a Gateway Review Assessing risk in ICT Assurance Developing the report	PAGE 19	Typical project documentation for Gate 6 review

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		
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

YOU ARE HERE

Purpose of the review - Gate 6: Post-implementation

Gate 6: Post-implementation assesses whether anticipated benefits are being delivered, lessons learned have been considered and plans to improve value, service and performance are in place. The review also confirms that relevant whole-of-government ICT policies, standards and priorities have been considered.

The Gate 6: Post-implementation review is designed to:

- Assess if the Business Case justification was realistic;
- Confirm there is still a business need for the project;
- Assess if expected benefits are being measured and delivered against;
- Assess the effectiveness of contract management processes;
- Confirm the delivery agency continues to have the resources to manage the contract;
- Confirm continuity of key personnel in contract management and intelligent customer roles;
- If changes are agreed, check they do not compromise the original delivery strategy;
- Assess the requirement for the contract to meet business need, and, if circumstances have changed (in terms of partner, relationship, service, change, contract, benefits or performance management) that the service delivery and contract have adapted;
- Assess if ongoing contract development will improve value for money;
- Confirm there are plans to manage the contract to its conclusion;
- Where applicable, confirm the validity of the exit strategy and arrangements for re-competition;
- Evaluate actions to implement recommendations from earlier gate reviews; and
- Confirm that all relevant whole-of-government ICT policies, standards and priorities have been considered.

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

- Review of operating phase;
- Business Case and benefits management;
- Plans to improve value for money;
- Plans to improve performance and innovation;
- Review of organisational learning and maturity targets; and
- Readiness for the future: plans for future service provision.

These key review scope areas will help to structure the Gate 6 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	 Varied	 Up to 4 weeks	 1–3 weeks	 1–3 weeks

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.

At Gate 6, the project delivery has completed. The Gateway Review will focus on the handover of any remaining risks and issues, the quality of documentation, the management of risks and issues throughout the project and lessons learned.

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. Review of operating phase

Each numbered item below is an area to be probed.



1.1 Is the service operating to defined parameters?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Operating parameters updated as needs change, documented in change control and updated service level agreements (SLAs); • Service delivery measured against those parameters; • Measures to address poor/non-performance are effective; • Information on assets maintenance (if assets involved); • Information security and cyber security requirements appropriately managed; • Maintenance planned for over the lifecycle of the asset; • Sustainability targets met or exceeded; and • Stakeholder satisfaction assessed. 	



1.2 Has the service been benchmarked or market tested?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Details of benchmarking/market testing activities as agreed by each party; • NSW Treasury guidance on benchmarking and market testing being followed; and • If required, value for money reviews being held if no benchmarking or market testing included in contract. 	

1.3 Has project documentation (e.g. training material and training program) been delivered and kept up-to-date?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> • New staff trained and existing staff updated at appropriate intervals; • All material updated – no backlog; • Responsibilities for updating training material and documentation defined; and • Health and safety file updated as required. 	

1.4 Are governance and contractual relationships satisfactory?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Regular reviews between delivery agency (as client) and supplier; • Contract improvements documented with evidence that changes are justified; • Clarity around how agreed actions are dealt with operationally; • Action plan documented and kept as a live plan; • Measurement of contract improvements; • Reports on work done and plans for expected work; and • Representation of client and suppliers at an appropriate senior level. 	



1.5 Is continuity in contract management and intelligent customer knowledge planned for?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Forward resource plans; • Succession planning for key roles; • Continuity of knowledge when contract team staff change; • Handover and key process information clearly and simply recorded; • Contract guide available and in use; • Informal contract agreements regularly documented; • Details of intelligent customer input maintained; and • Skills appraisal and plans for addressing shortfalls. 	



1.6 Are plans for ongoing risk management up-to-date?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Risk register updated, risk reporting and management in line with best practice; • Business continuity/contingency plans updated as required; • Information security and cyber security services in place and accredited (as applicable); • Business as usual (BAU) transition includes regular cyber security reviews; • Information lifecycle issues considered, e.g. data retention policies, use of data standards and interoperability considerations and exit strategy; and • Operational health and safety aspects considered (if applicable). 	



1.7 Is change management effective?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Process for evaluating and agreeing proposals for major change; • Documented minor changes process; • Approval process; • Forward-looking reviews that identify possible change; • Governance arrangements in place; • Design authority, if required for more complex projects; and • Communications strategy and plan identify measures of effectiveness. 	



1.8 Is relationship management effective?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Plans in place for meetings between various parties; • Formal and informal communication and meeting structure established for all parties including stakeholders; • Structure appropriate for a long-term contract; • Robust contract management processes in place; and • Delivery agency defines requirements for supplier working on site. 	



1.9 Is training and support adequate?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Key post holders have appropriate skills and experience; and 	

<ul style="list-style-type: none"> • Access to expertise or specialist training available as required. 	
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1.10 Does the project meet whole-of-government ICT policies, standards and priorities?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Assessment against whole-of-government ICT policies, standards and priorities in completed self-assessment template (available from ICT Assurance). 	

1.11 For ongoing development, are release and deployment resourced and agreed?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Clear development end date and move into maintenance mode, or plans for a continuous development and improvement phase; • Funding for ongoing developments; and • Updated release plans reflect changes in schedule. 	

1.12 Is the project progressing towards the target service model?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Regular interdependencies checked and tracked, change managed, and timely governance reports ensure effective release management fits service model. 	

1.13 Are there checkpoints to determine ongoing deployment?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Arrangements to ensure continuous development and improvement. 	

2. Business Case and benefits management

Each numbered item below is an area to be probed.



2.1 Is the Business Case still valid?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Confirmation the Business Case still fits with delivery agency's strategic objectives and priorities, is achievable and affordable; • Confirmation of ongoing stakeholder commitment; and • Confirmation the business owner is committed to the Business Case. 	

2.2 Are the benefits as set out in the Business Case being realised? Have the delivery agency achieved more or less than expected?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Findings from post-implementation review, post project review or equivalent major review, including project success criteria met; project performance criteria and key performance indicators (including design quality indicators) met or exceeded; whole-life value targets achieved; • Contribution to project benefits (as appropriate) and strategic outcomes tracked; • Updated benefits capture plans compared with Gates 4 and 5; • Assessment of benefits in operating regime using the benefits measurement basis confirmed by Gate 5; and • Anticipated future benefits. 	

2.3 Have the needs of the business, end-users or stakeholders changed?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Comparison of business and end-user needs with those identified in Gates 4 and 5; and • Periodic reviews of business and end-user needs and a projection of future changes. 	

2.4 Have statutory processes, communications, external relations, environmental issues and personnel been addressed?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Operational communications strategy, communications plan and issues log updates; • Governance structure includes stakeholders from delivery agency and supplier; • Issues escalated to the appropriate level in both organisations; • Decision-makers have appropriate delegations; and • Representatives of stakeholders involved appropriately. 	

2.5 Are users satisfied with the operational service?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Details of user groups, their outputs and feedback process; • Indication that users are prepared for the change in services; and • User-friendly guide covers services provided. 	



2.6 Are user and business needs reviewed and benefits being tracked?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> Record of key stakeholder interviews; and Benefits management arrangements reflect the changing environment. 	

2.7 Does the Business Case reflect spend profiles, deliverables and benefits for the next period and include achievements and lessons learned from developments to date?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> Latest Business Case and upkeep arrangements reviewed. 	

2.8 Are stakeholders kept up-to-date with progress and plans?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> Communications strategy remains valid with evidence of forward plans and recent communications. 	

3. Plans to improve value for money

Each numbered item below is an area to be probed.

- 3.1 How will improved value for money be achieved, for example, can more be done for less, could a better service quality be provided for the same price or can maintenance be reduced?**



Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Analysis of value for money against scenarios for future services; • Commercial intelligence about the supplier's track record providing similar services; and • Details of efficiency gains expected and achieved. 	

- 3.2 Has the delivery agency compared contracted processes with equivalent organisations and relationships?**



Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Benchmarking of processes such as: <ul style="list-style-type: none"> – Demand management; – Service planning and development; – Service quality; – Investment decisions/project justification; and – Benefits management. 	

- 3.3 Are commercial mechanisms providing appropriate incentives?**



Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Evidence may include: <ul style="list-style-type: none"> – Payments to the supplier depend on benefits derived from implementing certain elements; – Supplier incentivised to deliver and to ensure individual investments are well planned, achievable and will deliver value; – Clear business justification with robust benefits identified; – Targeted incentive mechanisms where work is task-based; and – Supplier incentivised to submit optimum resource estimates for a task, with pre-defined ratios of the risks and benefits of the supplier exceeding or undercutting original estimates. 	

- 3.4 Are the delivery agency's plans for the next five years (or the period up to the next decision point) affordable?**



Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Future planning and budget information. 	

- 3.5 Has the condition of the asset been predicted for the end of the contract period?**



Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Evidence may include: <ul style="list-style-type: none"> – Contract information relating to condition of asset at end of contract (e.g. Mechanical and electrical systems and building fabric); and – Supplier maintenance plans and client's understanding of these (e.g. Responsibility for updating of software). 	

4. Plans for ongoing improvements in performance and innovation

Each numbered item below is an area to be probed.

4.1 Has the delivery agency set realistic targets for continuous improvement year-on-year from this service? Are the targets SMART?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> Understanding and use of key techniques such as balanced scorecard, business excellence model, ongoing stakeholder analysis, benchmarking, or goal/question/metric approach. 	

4.2 Do the delivery agency and supplier/partner actively seek opportunities for innovation?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> Details of innovation in service delivery through industry surveys, benchmarking, external reviews or supplier reports; and Evidence that people at all levels can contribute and that this is encouraged through staff suggestion schemes. 	

4.3 Is the delivery agency tracking performance improvements and results through key milestones and the business planning cycle?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> Performance information linked to planned outcomes, enabling assessment of performance in terms of effectiveness, efficiency and service quality; Core performance information meets multiple purposes, is consistent and complementary; Ongoing assessment of appropriateness of performance information; Responsibilities for performance management are defined and understood by delivery agency and supplier; Direct links between planning and results; Ongoing monitoring of performance and periodic evaluation; and Integration with corporate and business planning. 	

4.4 Does the delivery agency have performance measures to cover all aspects of the contract?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> Performance measures relating to: <ul style="list-style-type: none"> Cost and value obtained; Performance and customer satisfaction; Surveys; Delivery improvement and added value; Delivery capability; Benefits realised; Relationship strength and responsiveness; Details of the roles responsible for measurements; Details on how the information is used and followed up; and Effect of any contract refresh of the performance measurement system. 	



4.5 Do performance measures demonstrate the success (or otherwise) of the contract?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Performance measures are meaningful and visible to management, reflect user and stakeholder perceptions and identify the need for remedial action as part of the contract management activity. 	



4.6 Are performance measures relating to delivery or capability improvement tracked against a baseline?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Baseline is established in the Business Case; and • Performance measures tracked against that baseline. 	



4.7 For performance assessment, are there measures for ongoing service delivery; results of individual change or improvement programs, and project implementation; and overall impact of the contract? What does the delivery agency want achieved once the contract period ends?

Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Formal SLA approaches and related measures; • Investment appraisal and benefits management techniques constructed case-by-case; and • Objectives identified during project scoping and in preliminary Business Case should draw on the delivery agency's long-term business strategy. 	

5. Review of organisational learning and maturity targets

Each numbered item below is an area to be probed.

5.1 Does the delivery agency have a defined, implemented and effective process to embed improvements as lessons are learned?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Mechanism for capturing and recording the initial data; • Internal evaluation of lessons learned; • Mechanisms and policy for releasing information within and outside the delivery agency; • Process for feeding back to project teams; • Participation in knowledge-sharing forums; • Appropriate help and expertise available from delivery agency; and • Details of the application of learning from the supplier's systems. 	

5.2 Has project management been reviewed?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Evidence of formal review at project closure. 	

5.3 Are suppliers encouraged to learn from experience?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Incentives for suppliers to improve project delivery; and • Commitment to long-term relationships with integrated project teams. 	

5.4 Are lessons learned collected and promoted?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> • Retrospectives capture issues and escalate these when appropriate; and • Learnings from cyber security implementations considered. 	

6. Readiness for the future: Plans for future service provision

Each numbered item below is an area to be probed.

6.1 Is there an ongoing need for the service?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> Updated Business Case, linked to current business strategy. 	

6.2 If the service will be needed in the future, what is its likely scope?



Evidence expected	Status/Ref
<ul style="list-style-type: none"> Options appraisal to include some or all of the following: <ul style="list-style-type: none"> Do nothing; Retain the scope of the existing contract; Split the scope of the existing contract; Broaden the scope of the existing contract; Rethink the requirement for the contract; Consider single/multiple sources of supply; and Combine new services with others providing similar/complementary services. 	

6.3 Could any issues with the contract affect the approach to re-competition? This may include:

- **Could the supplier cope with the range of services provided or were there weaknesses?**
- **How adaptable was the relationship to foreseen and unexpected changes in the nature and level of demand?**
- **How did users adapt to services provided by a third party? Did management trust the supplier to provide the service? Is the delivery agency comfortable with outsourcing?**
- **Will re-competition be straightforward or is the client now locked in? Have agreements been made to ensure a smooth handover?**



Evidence expected	Status/Ref
<ul style="list-style-type: none"> Updated risk register and issue log; Exception reporting from regular client/provider progress meetings; Reports from contract and service management functions; and Exit strategy and details of handover arrangements. 	

Gate 6 Review: Typical project documentation

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

Governance, requirements, policy and resourcing

- An updated Business Case that reflects actual operating conditions, benchmarked against the Business Case in Gateway review 6;
- Report on the findings from post implementation review (or equivalent major post project review);
- Conduct and incorporate a release review and incorporate findings;
- Review of the product backlog vs the original Business Case (Agile);
- Contractor and consultant performance report;
- Steering committee packs; and
- The agency self-assessment template showing compliance with whole-of-government ICT policies, standards and priorities.

Stakeholder engagement and change management

- Customer surveys;
- Reports on stakeholder issues;
- Information showing how delivery agency/supplier manage their relationship and collaborate; and
- Commissioning report.

Quality Management

- Performance reports/key performance indicators;
- Performance measurement systems; and
- Security documents (e.g. accreditation document set).

Procurement and commercials

- A summary of contract changes since Gate 5 and, where applicable, plans for contract improvement and service improvement;
- Contract evaluation report;
- Plans for disposal of any assets at the end of the contract (e.g. resources, buildings, staff, intellectual property rights); and
- Resources, skills appraisals and personnel plans to continue managing the contract.

Benefits Management

- An assessment of the benefits delivered to date and expectations for the future.