GATE 6 REVIEW REPORT

Post-Implementation

[PROJECT NAME]

NSW GOVERNMENT | Customer Service

Contents

Revision history			
Revision date	**Version status**	**Author**	**Version no.**
	Draft		0.1
	Final Draft		
	Final		

About this report

This report represents an independent review undertaken on behalf of the NSW Government and administered by the Department of Customer Service (DCS).

This report is delivered to DCS by the review team, then submitted to the Expenditure Review Committee (ERC). In examining the report, the ERC acknowledges the review team's recommendations to the agency. DCS routinely reports on progress against these recommendations to ERC.

DCS also provides this report to the agency's Project Sponsor for action. The Project Sponsor is expected to report to DCS on progress against the recommendations in accordance with the ICT Assurance Framework.

The report is strictly confidential and classified as NSW GOVERNMENT SENSITIVE.

Grey and square-bracketed text provides guidance or indicates the information to be added. It should be deleted before submitting the report.

Project and review team information

Program	[Program name]
Project name	[Project name]
Delivery agency	[Agency name]
Project Sponsor	[name of Project Sponsor]
Status of report	DRAFT Version [x]/ FINAL
ICT Assurance team	[name, Director] [name, Principal Manager] [name, Case Officer]
Review dates	Briefing [dd month YYYY] Interviews [dd – dd month YYYY]
Review team leader	[Insert name of team leader]
Review team	[Insert name of team member] [Insert name of team member] [Insert name of team member]
Previous review	[Insert review type] [Insert dates] [Insert Delivery Confidence Assessment – DCA]

Scope of the review

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

It is part of an overall Gateway Review Framework and measures progress and recommendations in terms of seven focus areas for ICT projects in NSW. Details of these seven focus areas and the ratings used in this report are included in the appendices.

Specifically, this review has… [Refer to the Gateway Framework (review scope) and address scope areas listed in the Terms of Reference and the purpose and conduct of the Gate 6 review detailed in the Gate 6 Guideline].

Delivery confidence assessment and summary

Delivery confidence assessment against ratings in Appendix E2 – Delivery confidence level definitions	[Insert status using delivery confidence assessment definitions in Appendix E2 – Delivery confidence level definitions]

[Provide a summary of no more than two pages that articulates the review team's view of the likelihood of the project's successful delivery and identifies issues that influence delivery confidence. This is top-level only; include additional evidence and recommendations in the body of the report.
 	
Consider using the following structure:
 	
• Describe the project/program, key deliverables, timeframes and costs;
 	
• Reason for review;
 	
• Review outcome:
 	
   – Demonstrated good practice;
 	
   – Areas for improvements/concerns;
 	
   – Findings against the agency self-assessment template in terms of compliance with existing strategies and policies;
 	
   – Explanations on confidence-rating/likelihood of project success;
 	
   – Summary of key recommendations; and
 	
   – Indication if the registered Project Tier needs to be changed (new)].	

Summary of report recommendations

The review team has prioritised its recommendations as below.

Rating descriptions can be found at Appendix E1 – Report recommendations ratings.

Reference No.	Recommendation	Rating (see below)	Target date for completion	Response activity	Responsibility	Focus area (Appendix F)
1.		Select Rating	Select a date			Select Focus Area
2.		Select Rating	Select a date			Select Focus Area
3.		Select Rating	Select a date			Select Focus Area
4.		Select Rating	Select a date			Select Focus Area
5.		Select Rating	Select a date			Select Focus Area
6.		Select Rating	Select a date			Select Focus Area
7.		Select Rating	Select a date			Select Focus Area
8.		Select Rating	Select a date			Select Focus Area
9.		Select Rating	Select a date			Select Focus Area
10.		Select Rating	Select a date			Select Focus Area

Next assurance review

Include next review type, timing, areas to be covered and/or milestone/s to be achieved.

Next assurance review

Comments from Project Sponsor

[Insert comments here.]

Detailed findings against key review scope areas

Cross reference the recommendations to the reference numbers from the 'Summary of report recommendations'.

Note that only key findings need to be detailed; it is not expected to document responses to all the expected evidence.

Add a key review scope area rating (high, medium, low) where applicable using the rating definitions in Appendix E3 – Key scope review areas (detailed findings) ratings.

1: Review of operating phase

[Insert brief paragraphs setting out key findings, highlighting:

- Demonstrated good practice;
- Areas for improvements/concerns;
- Consideration of whole-of-government ICT policies, standards and priorities;
- Recommendations linked to areas of improvement;and
- Key review scope area rating: [Choose an item.]

2: Business Case and benefits management

[Insert brief paragraphs setting out key findings, highlighting:

- Demonstrated good practice;
- Areas for improvements/concerns.
- Recommendations linked to areas of improvement.
- Key review scope area rating: [Choose an item.]

3: Plans to improve value for money

[Insert brief paragraphs setting out key findings, highlighting:

- Demonstrated good practice;
- Areas for improvements/concerns;
- Recommendations linked to areas of improvement; and
- Key review scope area rating: [Choose an item.]

4: Plans to improve performance and innovation

[Insert brief paragraphs setting out key findings, highlighting:

- Demonstrated good practice;
- Areas for improvements/concerns;
- Recommendations linked to areas of improvement; and
- Key review scope area rating: [Choose an item.]

5: Review of organisational learning and maturity targets

[Insert brief paragraphs setting out key findings, highlighting:

- Demonstrated good practice;
- Areas for improvements/concerns;
- Recommendations linked to areas of improvement; and

- Key review scope area rating: [Choose an item.]

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

[Insert brief paragraphs setting out key findings, highlighting:

- Demonstrated good practice;
- Areas for improvements/concerns;
- Recommendations linked to areas of improvement.
- Key review scope area rating: [Choose an item.]

Appendix A – Project background

Aims of the project

[Insert two or three paragraphs on the key aims of the project.]

Driving force for the project

[Describe why the project came into existence and/or is necessary. Consider, for example, the deficiency, need, issue, political imperative or opportunity that instigated the project. Also state the program to which the project contributes, if applicable.]

Procurement/delivery status

[Describe how far the procurement process has progressed within the project.]

Current position regarding previous assurance reviews:

[Describe which assurance reviews have already taken place on the project.

Note whether existing recommendations have been implemented and, if not, comment on the justification for any alternative course of action. If not in place, please indicate the reason and expected date of approval.]

Appendix D summarises recommendations, progress and status from the previous Gateway.

Appendix B – Stakeholders consulted

Name	Organisation and role

Appendix B – Stakeholders consulted

Appendix C – Documents reviewed

Author	Document name

Appendix C – Documents reviewed

Appendix D – Progress against previous assurance review

Rating descriptions can be found at Appendix E1 – Report recommendations ratings.

Progress against previous assurance review [insert review dates] recommendations:

Recommendation from previous report	Critical / Essential / Recommended	Current status
	Select Rating	
	Select Rating	
	Select Rating	
	Select Rating	
	Select Rating	
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	Select Rating	

Appendix E – Ratings

E1 – Report recommendations ratings

Rating	Criteria description
Critical (Do Now)	This item is critical and urgent, and action must be taken immediately. DCS will not clear this Gateway until this recommendation is actioned.
Essential (Do By)	The recommendation is important but not urgent – it should be actioned before further key decisions are taken. DCS will only clear this Gateway once it has approved a plan to respond to this recommendation.
Recommended	The recommendation is not critical or urgent, but the project may benefit from addressing it.

E2 – Delivery confidence level definitions

The review teams provide an assessment of confidence status using the definitions below.

Rating	Criteria description
High	• Project has delivered outcomes and benefits against its agreed objectives, to time, cost and quality. Lessons learned have been considered, and anticipated benefits are being delivered and/or on track to being delivered; and • There are no outstanding issues that appear to threaten benefits realisation and/or plans for ongoing improvements in value, service enhancements and performance.
Medium-High	• Project has delivered most outcomes against its agreed objectives, to time, cost and quality. • Lessons learned have been considered, and anticipated benefits are being delivered and/or on track to being delivered; and • There are no major outstanding issues that appear to threaten benefits realisation and/or plans for ongoing improvements in value, service enhancements and performance.
Medium	• Project has delivered outcomes against its agreed objectives, to time, cost and quality; • Lessons learned have not been considered in their entirety, and/or there are risks that may threaten plans for ongoing improvements in value, service enhancements and performance; or • The benefit realisation plan of the anticipated benefits is not completed, the outstanding issues appear to be resolvable at this stage, if addressed promptly.
Medium-Low	• Project has delivered most outcomes against its agreed objectives, to time, cost and quality; • Lessons learned have not been considered in their entirety, and/or there are major risks/issues that may threaten plans for ongoing improvements in value, service enhancements and performance; or • Major risks and/or issues exist that threaten the realisation of anticipated benefits which, at this stage, do not appear to be manageable or resolvable.
Low	• Project has not delivered most of the outcomes against its agreed objectives, or had not delivered to time, cost and quality; • Lessons learned have not been considered in their entirety, and there are major risks/issues that threaten plans for ongoing improvements in value, service enhancements and performance; or • Major risks and/or issues exist that threaten the realisation of anticipated benefits which, at this stage, do not appear to be manageable or resolvable.

E3 – Key scope review areas (detailed findings) ratings

Review teams may include this additional rating for every detailed finding in the key scope review areas.

Rating	Criteria description
High	There are no major outstanding issues in this key scope review area that at this stage appear to threaten benefits realisation and/or the plans for ongoing improvements in value, service enhancements and performance.
Medium	Some issues in this key scope area require timely management attention and may threaten the realisation of benefits or the plans for ongoing improvements in value, service enhancements and performance.
Low	Significant issues in this key scope area may jeopardise the realisation of benefits or the plans for ongoing improvements in value, service enhancements and performance.

E3 – Key scope review areas (detailed findings) ratings

Appendix F – Seven focus areas

The review team will indicate how each of their recommendations align with the seven focus areas noted below. These seven focus areas are guided by NSW Treasury review policy.

Focus area	Description
	Affordability and value for money 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.
	Risk Management 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.
	Governance 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
	Stakeholder Management 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.
	Change Management Consideration of how the change will affect stakeholders, expected acceptance or resistance and actions required to move to new ways of working.
	Service Delivery 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.
	Sustainability 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.

Appendix G – 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	• Policy and business context • Business case and stakeholders • Risk management • Readiness for next phase	• Assessment of delivery approach • Business case and stakeholders • Risk management • Review of current phase • Readiness for next phase	• Assessment of delivery approach • Business case and stakeholders • Risk management • Review of current phase • Readiness for next phase	• Assessment of the proposed solution • Business case and stakeholders • Risk management • Review of current phase • Readiness for next phase	• Business case and stakeholders • Risk management • Review of current phase • Readiness for next phase	• 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:

	Gate 1	Gate 2	Gate 3	Gate 4	Gate 5	Gate 6
Risk Management	• Early identification of key risks, including risk for potential solutions/options and strategic risk • Outline risk management plans	• Early identification of key risks, including risk for potential solutions/options and strategic risk • Updated risk management plans	• Assessment of key risks • Key procurement and supplier risk • Stakeholder risks • Updated risk management plans	• Assessment of key risks • Key procurement and supplier risk • Updated risk management plans • Stakeholder & change risks	• Assessment of key risks • Key delivery and implementation risks • Updated risk management plans • Stakeholder & change management risks	• 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	• Stakeholder identification and end user input to service needs	• Assessment of the change impact to all stakeholders	• External (market) engagement and analysis	• Change preparation and planning	• Change, training and transition support	• Continuous improvement • End user support
Benefits Management	• High level benefits identified and agreed • Benefits strategy, plan and register	• Benefits aligned to business case and agreed • Governance and plans for realising and delivering benefits • Updated Benefits management plan	• Benefits aligned to business case and agreed • Governance and plans for realising and delivering benefits • Deviations to agreed and planned benefits	• Updated benefits strategy, realisation plan and register • Deviations to agreed and planned benefits • Benefits aligned to business case and agreed	• Achievability of planned benefits • Updated benefits strategy, realisation plan and register • Handover and measurement of benefits	• Assessment and measurement of the realisation of planned benefits • Planned future benefits • Measurement of benefits against the business case
Scope Management	• Requirements and scope are clear • Alignment to business needs • Options analysis	• Feasibility and options analysis to meet organisations needs and address government strategy	• Updated project scope including business change • Delivery plan defined and agreed	• Assessment of options to ensure they are still within scope	• Confirmation project scope still meets business needs and acceptance criteria	• Scope for improved value for money • Future needs and scope

HEALTH CHECKS / DEEP DIVES