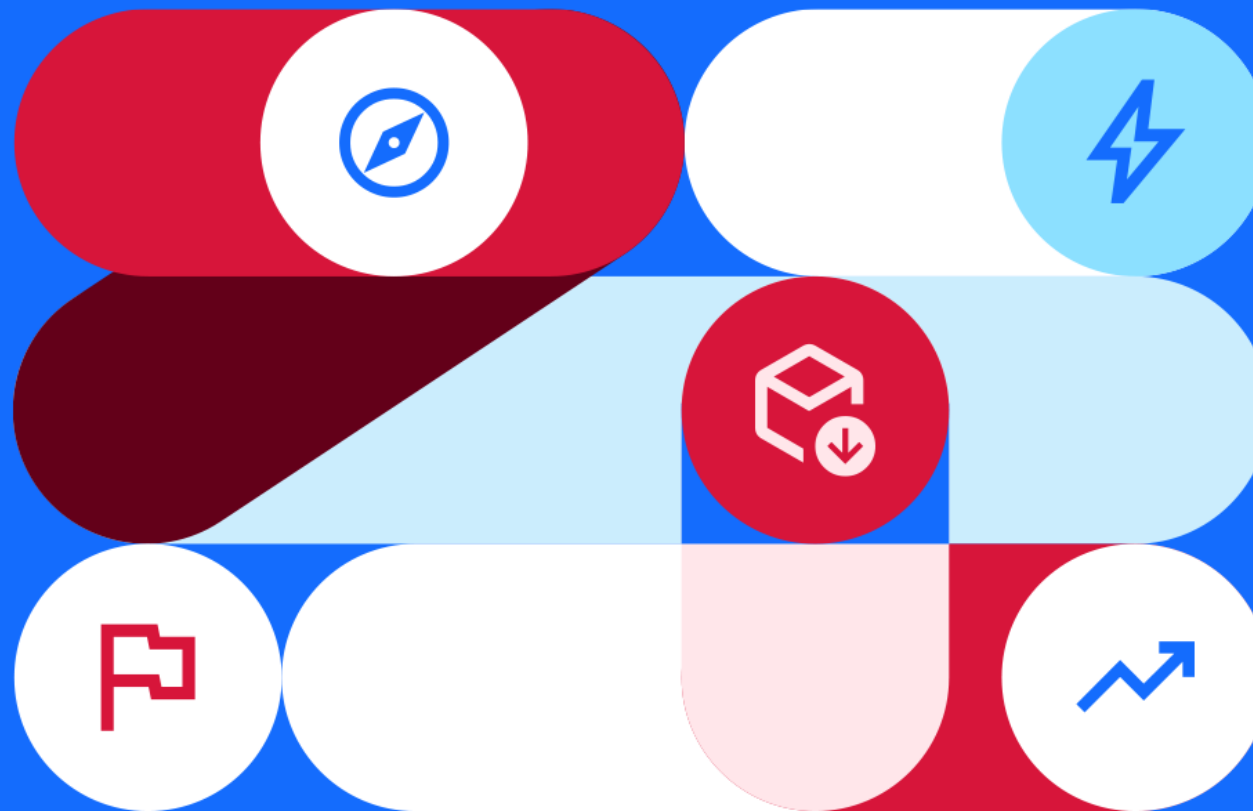# Gate 2 Review Report: Presentation
## Business case

November 2024

# Acknowledgement of Country

Digital Strategy, Investment and Assurance (DSIA) acknowledges and respects the Traditional Custodians of the lands on which we live, walk and work.

We pay our respects to Elders past, present and future, and celebrate Aboriginal people's unique cultural and spiritual connection to lands, waters and seas.
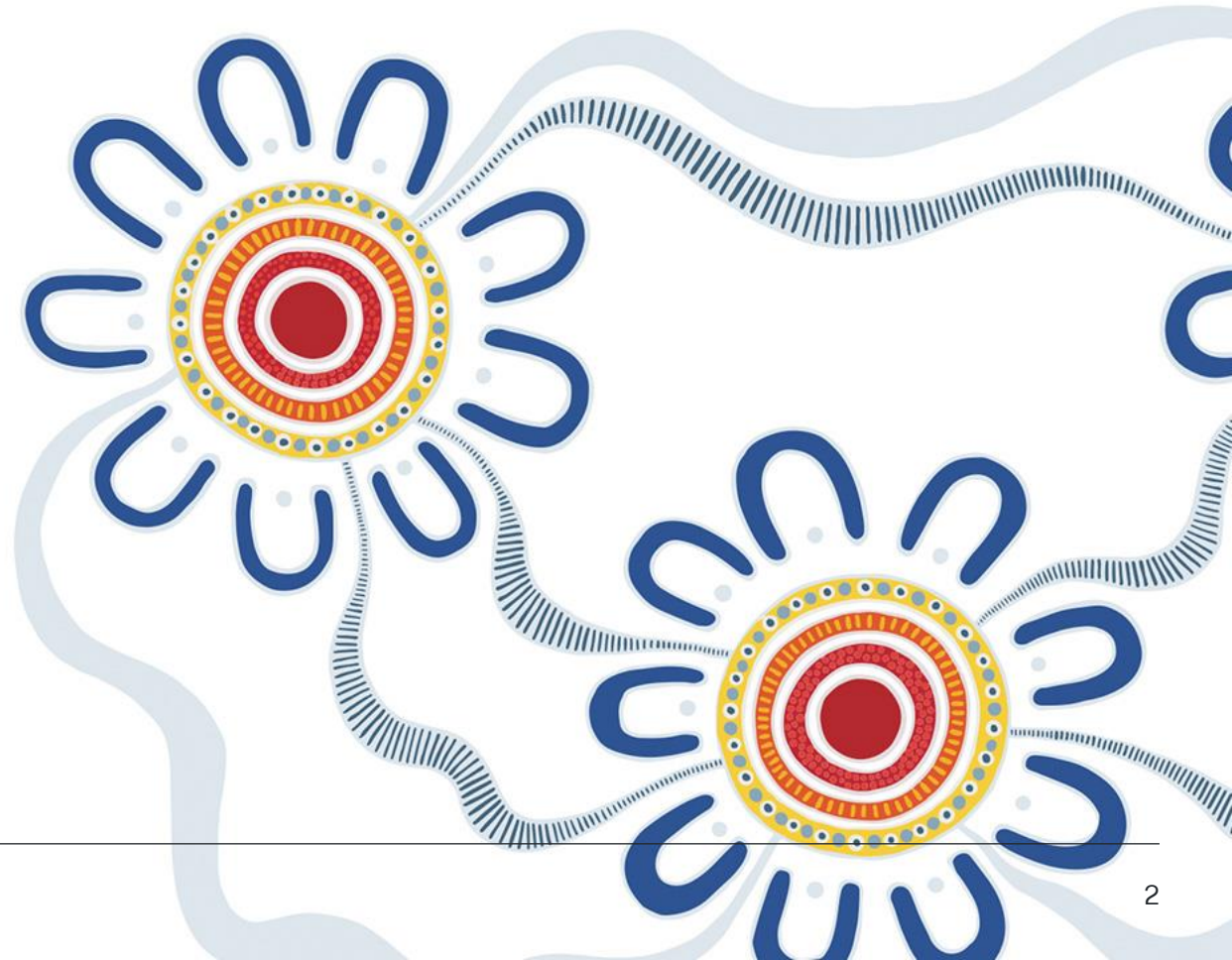
# Note

We are providing users with 3 main documents listed below to supplement the presentation.

These documents should be used by all parties during the review to ensure consistent and high-quality results throughout the process.

1.  Guideline

2.  Term of Reference (TOR)

3.  Report Template

Link: <u>Resources for agencies and expert reviewers | Digital NSW</u>

# The Digital Assurance Framework

**Objectives of the DAF**

- To ensure NSW Government's ICT/digital projects are delivered on time and on budget through the implementation of a risk-based independent assurance framework.

- To improve strategic alignment and assurance for ICT/digital projects across the project lifecycle.
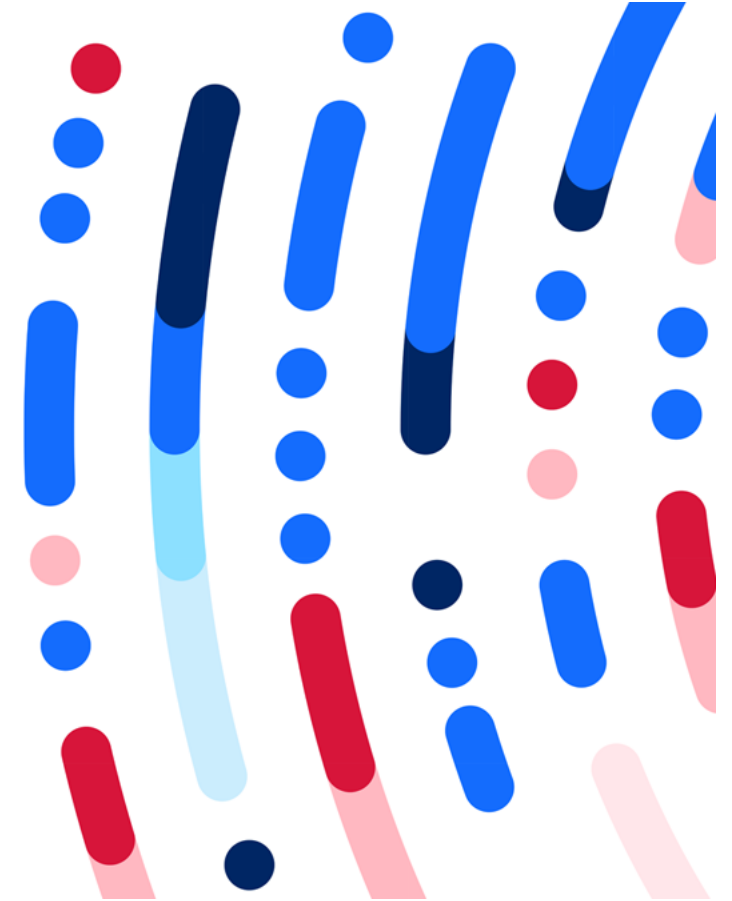
# Reviews under the DAF and confidentiality

**Gateway reviews:**

- Are structured, expert peer reviews performed at critical points during the project lifecycle

- Are not an audit

- Provide a point in time snapshot of project performance, risks and issues

- Help inform NSW Cabinet on delivery progress

- Help Projects and Sponsors achieve their intended outcomes, on budget, on time

- Are independent and confidential - interview discussions are not /should not be repeated

- Encourage open and frank conversations - findings / discussions are not attributed to individuals, interviews with individuals (not groups)
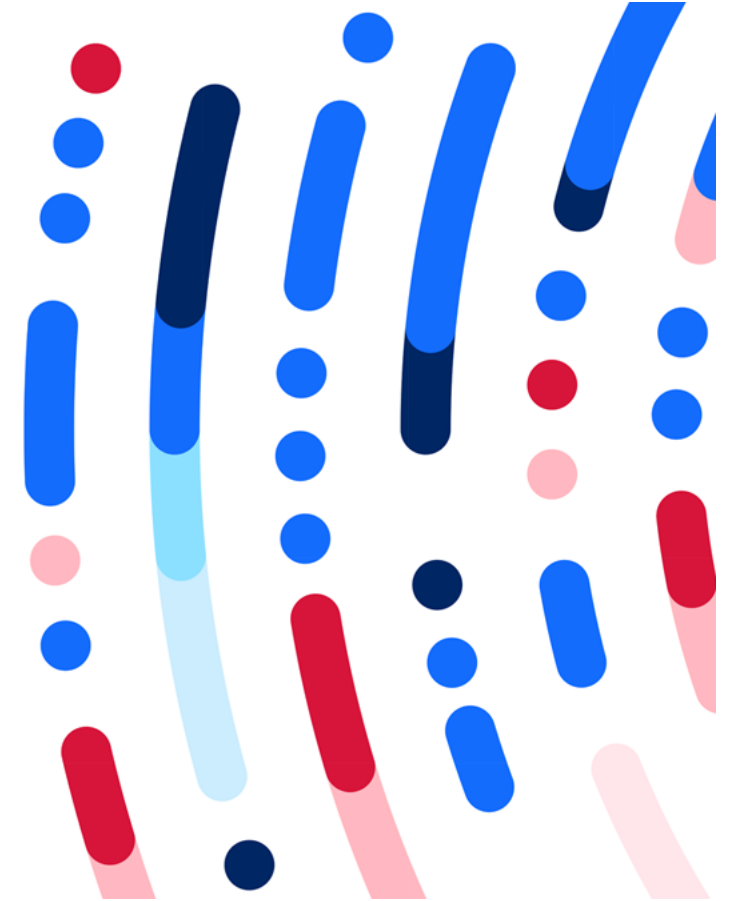
# Gateway Review purpose
## GATE 2: Business case

- Ensures that the business case is robust and there are plans to realise benefits and align with Strategic imperatives, Investment Principles and Enterprise Architecture.

- Demonstrated Alignment to Government priorities and relevant policies

- Funding model to operate is sustainable for whole of life

- Feasibility and options analysis are robust in meeting organisations needs and address government strategy

- Assessment of delivery approach

- Business case and stakeholders

- Risk management

- Review of current phase

- Readiness for next phase

- Assessment of Cyber, Privacy and AI compliance requirements, ensuring all implications are understood and addressed in the BC

- Alignment to Government Enterprise Architecture

- Identification of future multiple or recurrent health checks and milestone reviews.

# Gate 2 – Digital Assurance

- Aims of Gate

- Important input

- Focus of review

- Review outputs include

# Aims of Gate

## 1
The project will deliver value for money.

## 2
Ensure all work and material is complete to enable a fully informed and supported investment decision

## 3
Demonstration that the project objectives are alignment with Strategic Imperatives and Investment Principles (show how principles have been addressed or explicitly state why they have not).

## 4
Set up an appropriate assurance plan for delivery phase of the project.

# Important input

- Output from previous Gate

- Complete business case

  – Benefits realisation

  – Project Management Plan etc

- Relevant financial and economic appraisals/models

- Options analysis and relevant prototyping

- High level change management, risk and stakeholder engagement plans

- Documentation of how project aligns to Strategic Imperatives, Investment Principles and EA

- Comparisons to business cases from similar projects

- Lessons learned from other projects
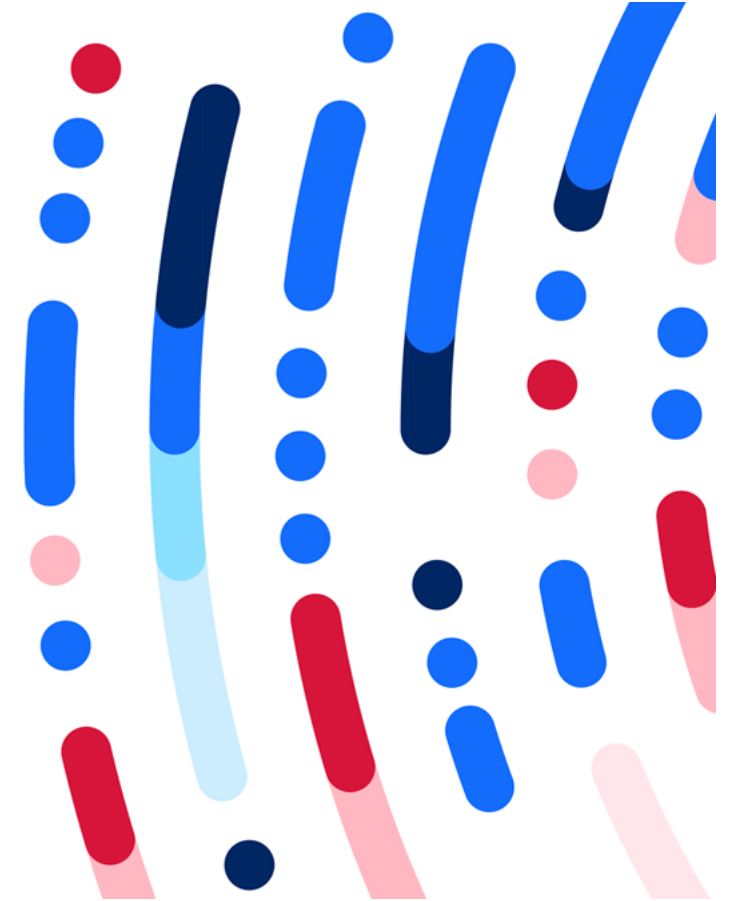
# Focus of review

- Is there material departure from last Gate?

- Have previous issues been addressed?

- Is the project modular, with modules no longer than 2 years (delivering benefits within that time)?

- Is benefits realisation plan realistic, achievable and measurable where possible?

- Does analysis provide confidence in solution?

- Is there clear alignment with Strategic Imperatives, Investment Principles and EA?

- Are all cost components included (eg change management)?

- Does contingency match risk?

- Is sufficient governance and sponsorship in place?

- Has an appropriate project methodology been selected?

- Have lessons learned been applied?

# Review outputs include

- End-of-day Sponsor update

- Sponsor Debrief (coinciding with issue of Draft Report)

- The Final Report covering:

  – Review Team's delivery confidence assessment rating
  i.e. High / Medium-High / Medium / Medium-Low / Low

  – Detailed Recommendation explanation and classification
  i.e. Critical / Essential / Recommended

  – Sponsor's acknowledgement & comments

  – Agency's Recommendation responses / close out plan

  – Agreement on next Review timing
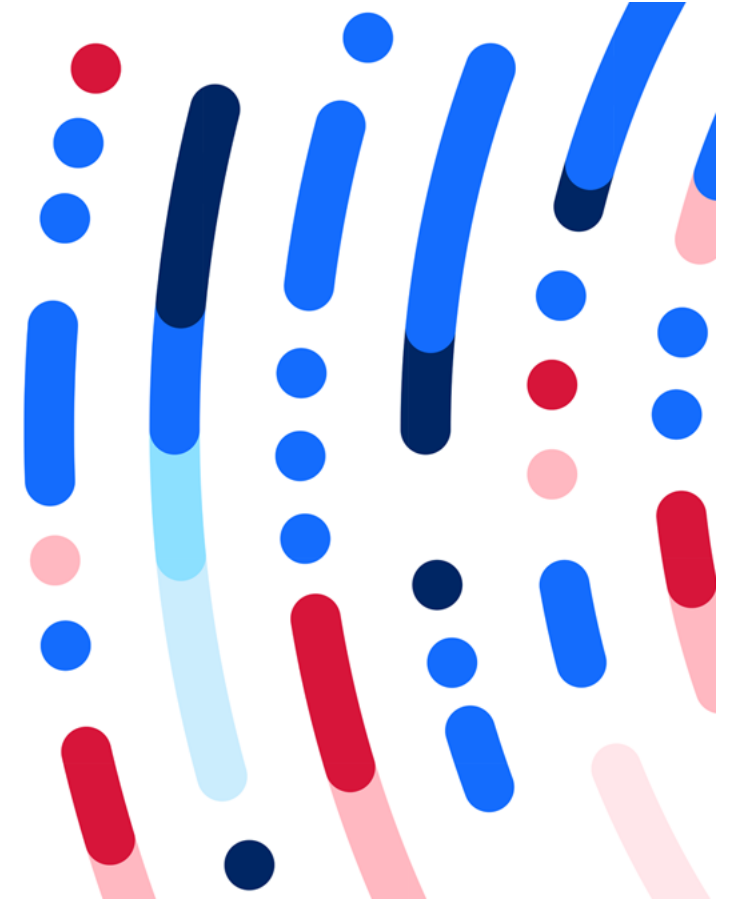
# Conducting a Gate 2 Gateway Review

# Conducting a Gate 2 Gateway Review

| Step | Activity | |
|---|---|---|
| 1 ✅ | **Entry Criteria**<br><br>Prior to the Gate 1 or 2 the project must be registered in the ICT portal– DSIA, this is a prerequisite for initiating a Gate 2 review. ( It should be undertaken at least 6 weeks before initiating a Gate 6 ).<br><br>6 weeks prior to the Gateway commencement date, the Accountable Agency checks readiness of the project for the Gate 2 Review and contacts the Gateway Coordination Agency (GCA).<br><br>(Note the DCS Assurance team will also monitor the likely timeframe through the regular assurance catch ups each month.) | 6 Weeks + prior |
| 2 ✅ | GCA Review Manager (Digital Assurance) and Accountable Agency confirm the Review Dates.<br><br>(Dates must consider key stakeholder availability including the Sponsor) | |
| 3 ✅ | GCA Review Manager appoints an independent Reviewer Team to the review.<br><br>(As per the expert reviewer panel appointment process.) | |

# Conducting a Gate 2 Gateway Review

| Step | Activity | |
|------|----------|---|
| 4 ✓ | GCA Review Manager conducts a briefing with the Accountable Agency to gain a common understanding of the project's status, identify any supporting documentation required and provide guidance on how to complete the Gate 2 readiness checklist template. | 📄 1 Month prior Preparation / Planning TOR |
| 5 ✓ | The Accountable Agency complete the Gate 2 readiness checklist template with input from key Agency stakeholders. A draft Terms of Reference (ToR) is also completed at this time by the GCA Review Manager (Digital Assurance), this is shared with the Agency to refine. The project sponsor to agree/sign off.) | |

# Conducting a Gate 2 Gateway Review

| Step | Activity | |
|------|----------|---|
| 6 ✓ | The Accountable Agency provide the Reviewer Team with the readiness checklist and provide supporting documentation to the allocated secure shared drive location. | |
| 7 ✓ | **Pre-Planning**<br><br>GCA Review Manager meets with the Independent Review Team to jointly review the Terms of Reference for the Gate 2 and if additional documentation is considered then the request can be made for this as well the key interviewees. | 📄<br><br>Finalise Plan and Conduct |
| 8 ✓ | **Planning formal Kick off**<br><br>This starts with the kick-off meeting where the sponsor and delegates outline the project to be assessed and any key background needed to provide context.<br><br>High level run through of the Gateway process, roles and responsibilities.<br><br>Documentation requirements are confirmed, and interview are scheduled and confirmed. | |

# Conducting a Gate 2 Gateway Review

| Step | Activity | |
|------|----------|---|
| 9 | **Review Week**<br>**Entry criteria**<br>• TOR Approved,<br>• All documentation is loaded and available to the team,<br>• All interviews are scheduled and confirmed, MS Teams Channel for Review teams set up and tested.<br>Interview week commences and the scheduled interviews are undertaken by the Gateways reviewers.<br>Up to 18 interviews could be held over this time with the Independent Review team<br>The Review team complete the interviews and maintain feedback to the sponsor daily or as deemed appropriate. | Review Week |

# Conducting a Gate 2 Gateway Review

| Step | Activity | |
|------|----------|---|
| 10 | The draft findings are prepared using the Gate 2 reporting Template. Noting the Scope items need to all be addressed including core areas of focus.<br><br>The draft report is shared with Digital Assurance for initial QA<br><br>Sponsors debrief is undertaken to outline the findings – this is a confidential meeting directly with sponsor.<br><br>Report circulated to the Agency for fact check post Sponsor Debrief.<br><br>Attention is to be given to Cyber, Privacy and now AI impact on the plan. | Reporting |
| 11 | Post Review survey sent out to Accountable Agency, Reviewer Team and GCA Review Manager. | |

# Conducting a Gate 2 Gateway Review

| Step | Activity | |
|------|----------|---|
| 12 | Close-out Plan issued and managed by DCS ICT Assurance. | |
| 13 | **Post Review Activities**<br><br>Record Critical and Essential issues for ongoing assurance follow up – note the Agency will need to provide adequate evidence of item closure.<br><br>Critical rated items need to be closed before the clearance letter can be issued.<br><br>This clearance can impact approval of funding.<br><br>Charge back to be completed and reviewer invoice payment completed. | Post Review Within 4 weeks of report issue<br><br>Post Review Activities |

# Review communications protocols

# Review communications protocol

| Topic | Details |
|---|---|
| Report Confidentiality | • Review Reports are primarily for the consideration and noting of the NSW Cabinet to assist them in making key decisions about the project or to take action as required.<br>• All Review Reports are marked "OFFICIAL: Sensitive - NSW Cabinet" and are submitted to Cabinet.<br>• All participants must keep all information, including documentation, confidential at all times.<br>• Review Team Members must not directly contact the agency or stakeholders without the permission of the GCA Review Manager. |
| Report Distribution | • The Reviewer Team must not distribute copies of any versions of Review Reports directly to agencies, project teams or any other party.<br>• The Reviewer Team sends the final draft of the Review Report to the GCA for review and distribution.<br>• There is no 'informal' element to a Gateway Review or the Review Report, and action will be taken if a Review Report is distributed without permission of the GCA.<br>• The Reviewer Team may not keep any copies of any version of the Review Report, or supporting documents, following submission to the GCA. |

# Review communications protocol

| Topic | Details |
|---|---|
| Review Debrief | • The GCA Review Manager and the Reviewer Team will agree on the process and timing to conduct a Review debrief with the Accountable Agency following the development of the Review Report. The GCA Review Manager will approve the agency representatives that attend the debrief and may attend the debrief.<br>• There is no 'informal' element to Gateway Reviews. A debrief to the SRO or any agency executive must not occur without the approval of the GCA representative. |
| Report Format | • All Review Reports must include a document control table.<br>• All Review Reports must include a list of people interviewed by the Lead Reviewer.<br>• All versions of reports issued by the Reviewer Team to the GCA are to be in MS WORD format.<br>• The final Review Report issued to the Accountable Agency SRO is to be watermarked as 'FINAL' and issued in PDF. |
| Report Transmittal | • The GCA is required to keep a record of all parties, noting the Review Report version, and to whom the reports are issued.<br>• Reviewers should minimise the use of hard copies of Accountable Agency documents and must not keep documents in any form following the Review. |

# Gateway Review Report

- The primary output of a Gateway Review is a high-quality written report that is candid and clear, absent of errors and without contradiction and inconsistencies.

- The primary purpose of the Review Report is to inform the NSW Cabinet of project status and issues, with recommendations so appropriate action can be taken.

- The Review Team should utilise the appropriate Review Report template incorporating the Gateway Review Ratings and the Review Recommendations Table.

- The Gate 2 Report should be succinct and between 10 and 15 pages.



Digital NSW | DSIA

Gate 2 Review Report:
Business Case

Project Name

September 2024

# Agency support

- Project documentation – upload to Share
- Planning meeting room and conference call set up point
- Planning meeting invitation
- Planning meeting project presentation
- Interview schedule/register (prefer 1 person per interview)
- Document register – SharePoint

- Interview room:
  - Internet access
  - Report writing room with screen

- Interview invitations
- Building access for panel
- Additional documentation and interview requests from the review team panel
- All review expenses