

# Gate 6 Review: Guideline and Workbook

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## Closure Review

April 2024



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# 1

## Introduction

## 1.1 Overview of the gateway review process

The *NSW Gateway Policy* (TPG22-12) sets out guidance and minimum requirements for the delivery and monitoring of Gateway Reviews in NSW. Gateway Reviews are independent Reviews conducted at key points, or Gates, along the lifecycle of a project and are important for providing confidence to the NSW Government (through Cabinet) that projects are being delivered on time, to cost and in line with government objectives.

Figure 1. NSW Gateway Framework

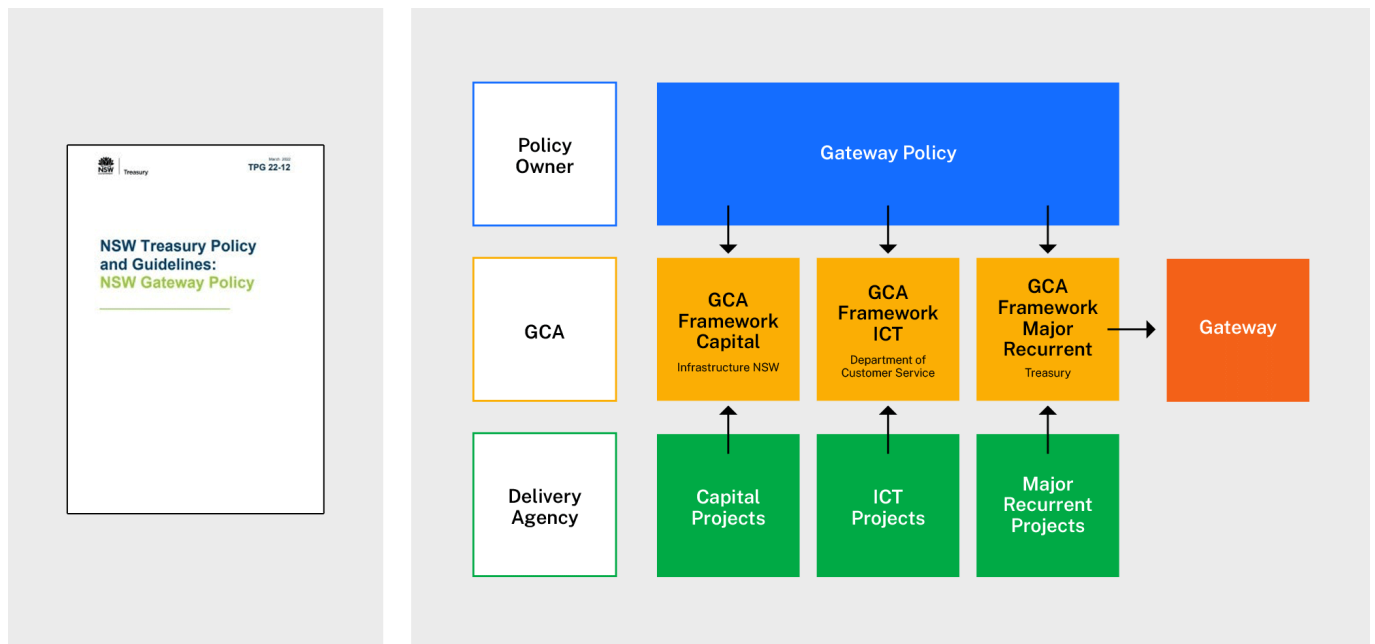


Figure 1 summarises the interaction between the NSW Gateway Policy, Gateway Coordination Agency (GCA Frameworks and delivery of Gateway reviews.

DCS is the Gateway Coordination Agency (GCA) for the government's ICT projects and programs. As the GCA, Digital NSW within DCS NSW developed, implemented, and administers the ICT Assurance Framework (IAF). (See Fig1.) The roles and responsibilities of DCS NSW as well as Delivery Agencies, in relation to assurance processes are set out in the IAF. It is the responsibility of all Delivery Agencies to meet the requirements of the IAF.

Gateway Reviews are a key tool DCS NSW uses to complete a risk-based assurance approach for all large ICT projects and programs valued at or more than \$5 million. The risk-based approach relies on an understanding of an agency's capability and capacity to deliver projects and programs.

The outcome of each Gateway Review is a Review Report that includes commentary to inform the NSW Government. The Review Report also includes a series of recommendations aimed at assisting the Delivery (or Accountable) Agency to develop and deliver their projects and programs successfully.

Gateway Reviews can consider an individual project or a program consisting of a number of projects (incl. sector specific and place-based). For the purposes of this workbook, the use of the term 'project' also covers the grouping of projects into a program.

## 1.2 Project lifecycle and gateway reviews

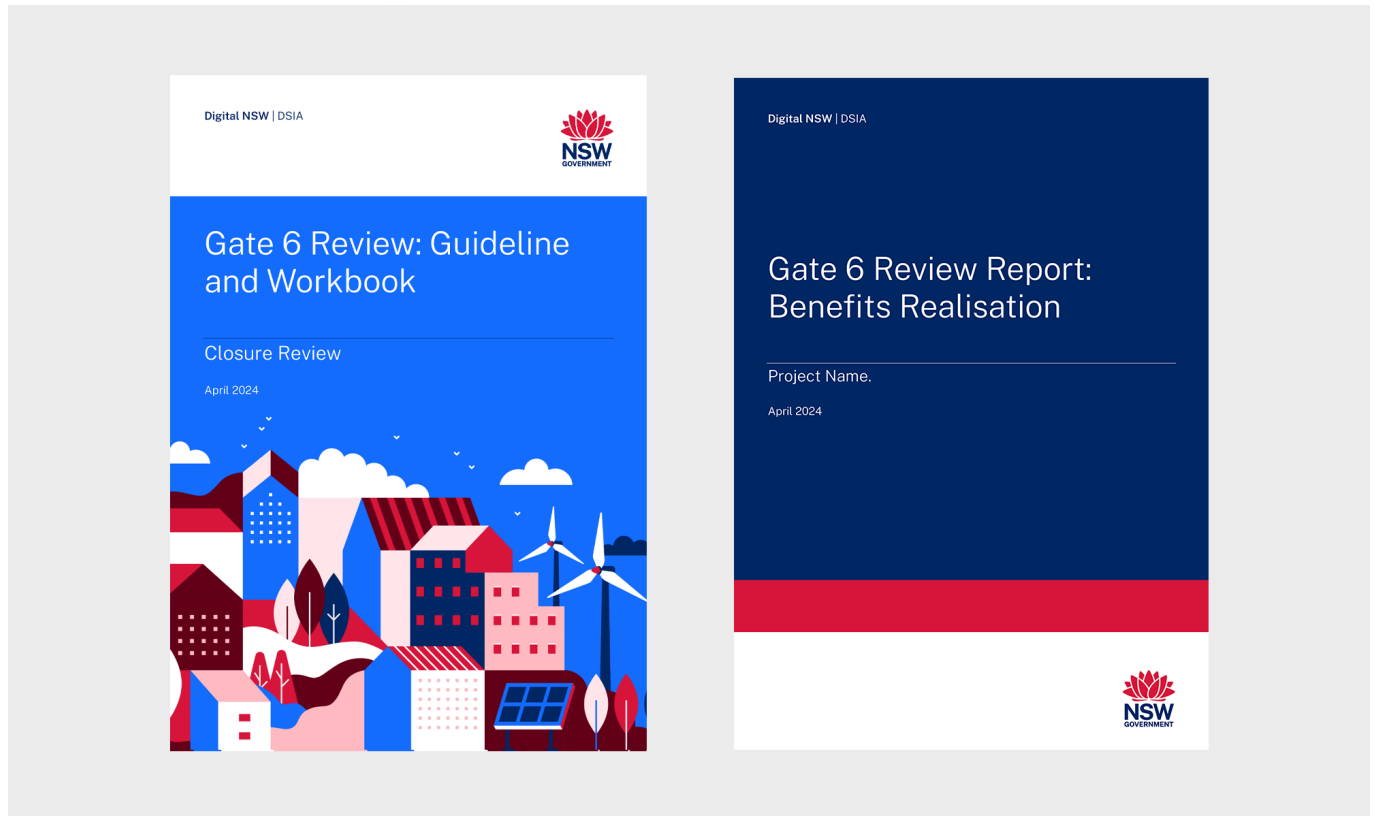
The diagram below outlines the typical Gates, along a project's lifecycle stages where Gateway Reviews can be conducted:





## 1.3 About this Guideline / Workbook

This guideline assists review teams and delivering agencies working on Gate 6: Closure Review of the ICT Assurance Framework (IAF) Gateway review process. It has been updated to include the guidance for review teams to simplify to reference material and should be read alongside the 'Gate 6 Review Report' template which is 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.

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## 1.4 How to use this workbook

At Gate 6, the IT asset has been commissioned and is in operation. Delivery and/or operating agencies should be able to demonstrate that the project's purpose, functionality, benefits and transition to operations are complete or appropriately on track for completion. There should be evidence of a lessons learnt process.

Gateway Review workbooks support a consistent, structured approach to Reviews. The workbooks define roles and responsibilities during reviews and assist Accountable Agencies and the Reviewer Team to properly prepare. IAF have remodelled their guideline and workbook into a single document for simplicity as part of the revision of the gateway assurance framework for ICT project/programs.

Part A: For agencies and the lead reviewer	
<ul style="list-style-type: none"><li>• Background information on the Gateway Review process</li><li>• Information on how the Gateway Review process applies to projects</li></ul>	Page: 10
Part B: For accountable agencies	
<ul style="list-style-type: none"><li>• Guidance on how to initiate a Gate 6 Review</li><li>• Documentation required</li></ul>	Page: 24
Part C: For the lead reviewer	
<ul style="list-style-type: none"><li>• Guidance on how to conduct a Gateway Review</li></ul>	Page: 28
Part D: Gate 6 report purpose and process	
<ul style="list-style-type: none"><li>• A summary overview of the Gate 6 Report purpose and process</li><li>• Where to find applicable templates</li><li>• Additional material for Reviewers including focus areas</li></ul>	Page: 33

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## 1.5 Gateway reviews and agency assurance processes

The assurance process, including Gateway Reviews, informs the NSW Government (through Cabinet) on the development and delivery progress of capital projects. Recommendations and commentary emerging from Gateway Reviews also assist Accountable Agencies to improve IT assets, with a focus on adding value through the expertise and experience of the Reviewer Team.

A Gateway Review provides an independent snapshot of project status at a point in time. Gateway Reviews are **not an audit or replacement for an Accountable Agency's internal governance**.

Every NSW Government agency should have its own governance structures and resources in place to undertake internal reviews and regularly track and report on its portfolio of projects.

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## 1.6 Why do gateway reviews?

The NSW Government requires visibility across the government's capital program and assurance that expected services and benefits will be delivered on time, to budget and in line with government policy. The Government also expects project issues and risks to be transparent, with delivery agencies acting on and mitigating problems before there is an impact on the community and stakeholder outcomes.

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## 1.7 Gateway review process principles

### 1.7.1 ICT Digital Assurance

The ICT Digital Assurance Framework (IDAF) is an independent risk-based assurance process for the State's capital and recurrent ICT and Digital projects. It identifies the level of confidence that can be provided to Cabinet and Cabinet sub-committees that the State's ICT and Digital projects are being effectively developed and delivered in accordance with the Government's objectives.

The framework's key features are categorised under the following headings:

- Accountability
- Transparency
- Agility
- Support

See *ICT Digital Framework for detailed description*. [\(Insert current web link\)](#)

### 1.7.2 Review Principles

- The Review Team is selected for their skillset and as far as practicable to match to the project's type, needs, stage, scale and complexity.
- The Review Report structure is followed by the agency and Review Team in undertaking the Review.
- All parties focus on value-adding to the project.
- Review Report commentary and recommendations are focused on practical issues and outcomes.

## 1.8 Conducting a Gate 6 Gateway Review

Gateway Reviews for Gate 6 follow the steps and timeframes shown in the table below:

Step	Activity	
1	Three Months prior to go live / commencement date, the Accountable Agency checks readiness for the Gate 6 Review and contacts the Gateway Coordination Agency (GCA).	3 months prior ↓
2	GCA Review Manager and Accountable Agency confirm the Review Dates.	
3	GCA Review Manager appoints an independent Reviewer Team to the review.	
4	GCA Review Manager conducts a project briefing with the Accountable Agencies and Reviewer Team to gain a common understanding of the project's status, identify any supporting documentation required and provide guidance on how to complete the Gate 6 Report template.	1 month prior ↓
5	The Accountable Agencies complete the Gate 6 Report template with input from the asset operator, delivery agency or other appropriate NSW government stakeholders.	
6	The Accountable Agencies provide the Reviewer Team with the draft Gate 6 Report and supporting documentation.	Conduct ↓
7	Reviewer Team meets with the Accountable Agencies to jointly review the draft Report, any supporting documentation and to seek any clarification required (including interviews if necessary).	
8	Reviewer Team determines the final content of the report, review rating and recommendations prior to submission of the final draft Report to the GCA Review Manager.	
9	GCA Review Manager reviews the final draft Report, seeks any clarification required from the agencies or Lead Reviewer, clarifies recommendations, and finalises the Report.	Reporting ↓
10	If deemed required, at GCA Review Manager's discretion, appoint a full independent review team and conduct a Deep Dive Review of the project.	
11	Post Review survey sent out to Accountable Agency, Reviewer Team and GCA Review Manager.	
12	Close-out Plan issued and managed by DCS ICT Assurance	Close

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## 1.9 Review ratings

Following a Gate 6 Review, a Review Report is produced using the Gate 6 Report template.

The Reviewer Team will assign the project an overall confidence rating:

**Overall rating: Confidence level that the project has been effectively developed and delivered in accordance with the government's objectives**

Rating	Criteria description
<b>Critical (Do Now)</b>	This item is critical and urgent, and action must be taken immediately. DCS will not clear this Gateway until this recommendation is actioned.
<b>Essential (Do By)</b>	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.
<b>Recommended</b>	The recommendation is not critical or urgent, but the project may benefit from addressing it.

## 1.10 Delivery confidence level definitions

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

Rating	Criteria description
High	<ul style="list-style-type: none"><li>• 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</li><li>• There are no outstanding issues that appear to threaten benefits realisation and/or plans for ongoing improvements in value, service enhancements and performance.</li></ul>
Medium-High	<ul style="list-style-type: none"><li>• Project has delivered most outcomes against its agreed objectives, to time, cost and quality.</li><li>• Lessons learned have been considered, and anticipated benefits are being delivered and/or on track to being delivered; and</li><li>• There are no major outstanding issues that appear to threaten benefits realisation and/or plans for ongoing improvements in value, service enhancements and performance.</li></ul>
Medium	<ul style="list-style-type: none"><li>• Project has delivered outcomes against its agreed objectives, to time, cost and quality;</li><li>• 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</li><li>• The benefit realisation plan of the anticipated benefits is not completed, the outstanding issues appear to be resolvable at this stage, if addressed promptly.</li></ul>
Medium-Low	<ul style="list-style-type: none"><li>• Project has delivered most outcomes against its agreed objectives, to time, cost and quality;</li><li>• 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</li><li>• 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.</li></ul>
Low	<ul style="list-style-type: none"><li>• Project has not delivered most of the outcomes against its agreed objectives, or had not delivered to time, cost and quality;</li><li>• 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</li><li>• 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.</li></ul>

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# 2

## Part A: For accountable agencies and Lead Reviewer

Background on NSW gateway and the risk-based approach to project assurance

## 2.1 Overview of gateway review

Gateway Reviews are short, focused and independent expert Reviews into the progress and direction of a project at key points in its lifecycle.

Each of the six Gates in the IAF occur at a point within a project phase, timed to inform government decision-making and project progression.

Bringing it all together, the relationship of the Gates to the project lifecycle stages and phases can be represented as:

Stage	Purpose	Scope	Health Checks
<b>Portfolio review</b>	Initiatives assessed using a value-based priority rating system to determine which initiatives should be developed.		
<b>Strategy and Business Plan</b>	Cluster or agency plan from which initiatives are formed.		
<b>Planning</b>			
<b>GATE 1 Strategic Alignment</b>	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"> <li>• Policy and business context</li> <li>• Business case and stakeholders</li> <li>• Risk management</li> <li>• Readiness for next phase</li> </ul>	
<b>GATE 2 Business Case</b>	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"> <li>• Assessment of delivery approach</li> <li>• Business case and stakeholders</li> <li>• Risk management</li> <li>• Review of current phase</li> <li>• Readiness for next phase</li> </ul>	Potential for multiple or recurrent health checks and milestone reviews.
<b>GATE 3 Pre-execution</b>	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"> <li>• Assessment of delivery approach</li> <li>• Business case and stakeholders</li> <li>• Risk management</li> <li>• Review of current phase</li> <li>• Readiness for next phase</li> </ul>	Potential for multiple or recurrent health checks and milestone reviews.



Stage	Purpose	Scope	Health Checks
<b>Delivery</b>			
<b>GATE 4 Tender Evaluation</b>	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"> <li>• Assessment of the proposed solution</li> <li>• Business case and stakeholders</li> <li>• Risk management</li> <li>• Review of current phase</li> <li>• Readiness for next phase</li> </ul>	<p>Potential for multiple or recurrent health checks and milestone reviews.</p> <p>Test leading indicators of problems to catch risks and issues early.</p> <p>Ensure appropriate measures and checks are in place for ongoing assurance.</p>
<b>GATE 5 Pre-commissioning</b>	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"> <li>• Business case and stakeholders</li> <li>• Risk management</li> <li>• Review of current phase</li> <li>• Readiness for next phase</li> </ul>	<p>Potential for multiple or recurrent health checks and milestone reviews.</p> <p>Test leading indicators of problems to catch risks and issues early.</p> <p>Ensure appropriate measures and checks are in place for ongoing assurance.</p>
<b>You are here GATE 6 Benefits Realisation</b>	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"> <li>• Review of Operating Phase</li> <li>• Business Case and Benefits</li> <li>• Plans to improve Value for Money</li> <li>• Review of organisational</li> <li>• Review Organisational learning</li> <li>• Readiness for future</li> <li>• Risk Management over AI, Cyber, Privacy</li> </ul>	Potential for multiple or recurrent health checks and milestone reviews.

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## 2.2 Gateway review process

The Gateway Review process integrates project development and delivery processes with informed decision-making. Each Gate has a clear purpose reflecting the increasing requirement for certainty as a project moves through its lifecycle.

The Gateway Review process also includes 'Health Checks' and 'Deep Dives', which are Reviews conducted at any point through the project lifecycle.

All Gates, Health Checks and Deep Dives include the involvement of an Independent Expert Reviewer, Review Team Lead and/or Review Team. These individuals are appointed by the GCA based on their independence from the project, experience and expertise.

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## 2.3 Gate 0 – Project initiation

As project development is at an early stage in the project lifecycle, Gate 0 Go/No-Go Gateway Reviews have a relatively narrow focus compared to later Gateway Reviews and Health Checks. The Gate 0 Review is undertaken by the GCA's Gate 0 Committee shortly following the registration of the project. The Gate 0 Review focuses on how well the project fits with government priorities, the criticality of its service need and how well it is aligned to the Accountable Agency's Asset Management Plan or framework.

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## 2.4 Gates 1 to 5 – Project development and delivery

Gateway Reviews (Gates 1 to 5) are independent expert Reviews conducted over a short period. The structure of each of these Reviews is similar and focused on high value areas that have greatest impact on successful project development and delivery.

Seven Key Focus Areas support a consistent structure in undertaking Gateway Reviews and preparing Review Reports. Review Report commentary and recommendations are intended to address the Key Focus Areas, the Terms of Reference and be constructive in raising issues essential to the project's success.

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## 2.5 Health checks and deep dive reviews

Health Check Reviews are similar to the Gateway Reviews (Gates 1 to 5) and follow the same format to address and rate overall delivery confidence as well as each of the seven Key Focus Areas. The customisation of the Health Check is achieved using the appropriate Health Check Workbook and Terms of Reference.

For some projects, Health Checks are conducted at regular intervals (every six to nine months) during the Delivery stage of the project lifecycle. Health Checks during other lifecycle stages are generally only conducted upon request by Government, the GCA, NSW Treasury or the Accountable Agency.

Capital Portfolio Health Checks are periodically conducted into an Accountable Agency's capability and capacity to prioritise and manage the agency's entire capital infrastructure program. The Key Focus Areas are different to the other Gateway and Health Check workbooks to reflect the assessment of the program and portfolio management requirements.

Deep Dive Reviews have a limited Terms of Reference and do not cover the seven Key Focus Areas, instead they examine and report on a specific or detailed technical issue(s).

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## 2.6 Gate 6 – Closure Review

The purpose of the Gate 6 Closure Review Report is to support the close-out of the delivery stage into operations and to assess the successful delivery of the purpose and benefits of the government's investment in the project. The Report is to be finalised four to eight months from the first operations commencement date.

The GCA appoints an independent review team of two to work with the responsible agencies to complete the Gate 6 Report. The Gate 6 Report follows a structured template. The most appropriate agency leads the preparation of the initial draft and then the review team finalises the draft content of the Report, including the overall rating and recommendations. The Review team then provides the Gate 6 Report to the GCA for review and finalisation.

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## 2.7 Gateway review reports

The primary output of the Review is a high-quality written report which follows the appropriate GCA issued Report template. For Gate 6, the final draft of the Report template, the recommendations and overall Review Rating are determined by the review team.

The primary purpose of the Review Report is to inform the NSW Government of initial operational status of the asset (following project completion) and key issues impacting functionality and benefits realisation. The Review Report, once finalised by the GCA, is provided to the NSW Cabinet. The Accountable Agency is expected to act on the recommendations documented in the Review Report. Close out of recommendations is undertaken by the GCA's Asset Management Assurance team.

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## 2.8 Report distribution

- Gate 6 Reports are Cabinet documents.
- The review team must not distribute copies of any versions of Review Reports directly to Accountable Agencies, project teams or any other party.
- The review team sends the draft Review Report to the GCA for distribution.
- The Review Report must not be distributed outside of the Accountable Agency until the report is finalised, including agency responses to the Review Recommendations.
- Copies of final Review Reports (including agency responses to the Review Recommendations) are only distributed by the GCA in accordance with the protocols outlined in the IAF.
- The final Review Report must not be distributed to any other parties unless directed by the Accountable Agency Head or delegate of the GCA. No Report may be distributed outside the NSW Government by either the GCA or Accountable Agency Head, unless permission is explicitly granted by the Chief Executive of Infrastructure NSW.
- The Accountable Agency Head or delegate may distribute the final Review Report at their discretion, having regard to the confidential nature of the Report – but this does not include outside the NSW Government.

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## 2.9 Clearance of gate

Following the conclusion of the Gateway Review and the finalisation of the Review Report, the Delivery Agency can request a 'Clearance of Gate' Certificate from the GCA. 'Clearance of Gate' will be determined by the GCA.

The Certificate confirms the Gateway Review has been completed for a particular stage and that an appropriate Close-out Plan is in place to assist with project development or delivery. The Certificate is not a Gateway Review approval or an endorsement of the project.

To achieve a 'Clearance of Gate' the Accountable Agency must:

- Respond appropriately to the Review Recommendations (to the satisfaction of the GCA)
- Address all CRITICAL Review Recommendations (to the satisfaction of the GCA)

Accountable Agencies do not have to request a 'Clearance of Gate' Certificate, but its absence does not negate the mandatory requirement on an Accountable Agency to respond to and act upon the Review recommendations.

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## 2.10 What gateway reviews do not do

**A Gateway Review is not an audit.**

The Reviews are intended to be confidential and constructive, providing an expert assessment of a project's status.

Accountable Agencies should note that Gateway Reviews will not:

- Represent a government decision in relation to funding, planning, approvals or policy
- Quality check or provide direct detailed assessment of management plans and project team deliverables
- Provide a forum for stakeholders or other parties to inappropriately disrupt the direction or nature of a project
- Provide a detailed mark-up of management plans and specific project team deliverables.

## 2.11 Roles within a gateway review applicable to Gate 6

The typical roles within a Gate 6 Review are outlined below:

Role	Description
<b>Gateway Coordination Agency (GCA)</b>	<p>The agency identified in the NSW Gateway Policy as responsible for the Gateway Review processes, procedures, advice and reporting for either infrastructure, recurrent or ICT projects.</p> <p>The Gateway Coordination Agency (GCA) administers the Gateway Review process for the nominated asset type (capital infrastructure, ICT or recurrent). The Head of Investor Assurance within the GCA ensures systems, processes and resources are in place to facilitate successful Gateway Review processes and outcomes. The GCA is responsible for providing reports, briefings and commentary to the NSW Cabinet on the outcomes of Gateway Reviews.</p>
<b>GCA Review Manager</b>	<p>The senior GCA representative responsible for guiding the implementation of the Gateway Review. The GCA Review Manager has Cabinet level reporting responsibilities for project assurance. The GCA Review Manager directs and manages the process of the Review, but does not participate in the Review itself.</p>
<b>Accountable Agency Head</b>	<p>The Secretary or CEO of the Accountable (or Delivery) Agency responsible for the project.</p>
<b>Senior Responsible Officer (SRO)</b>	<p>The Accountable Agency's nominated senior executive with strategic responsibility and the single point of overall accountability for a project. The SRO receives the Review Report from the GCA for action, is debriefed by the Lead Reviewer and the GCA Review Manager following the Review. The SRO may also be referred to as the Project Sponsor. SROs are not to contact the Lead Reviewer outside the protocols set by the GCA, including following the Review.</p>
<b>Accountable Agency's Project Director</b>	<p>The Accountable Agency's nominated Project Director leads the drafting of the Gate 6 Report for submission to the Lead Reviewer. The Project Director takes an active part in the Gateway Review and assists in responding to the GCA Review Manager and Lead Reviewer's requests. The Project Director must ensure they and their team do not initiate contact with the Lead Reviewer outside the protocols of the Review. There is no 'informal' communication permitted.</p>
<b>Reviewer team</b>	<p>The Reviewer team is appointed by the GCA Review Manager. The Reviewer team works with the agency to complete the Gate 6 Report. The Reviewer Team reviews the draft Report provided by the Agency, undertakes any updates and determines the overall rating and recommendations. In Gates 1 to 5, Health Checks and Deep Dives, the Lead Reviewer would be referred to as the Review Team Lead (RTL).</p> <p>There is no 'informal' aspect to Reviews and specifics of the Review Report commentary or recommendations are not to be discussed outside the protocols set by the GCA, including with Agency Heads or SROs.</p> <p>The Lead Reviewer has primary responsibility for delivering a high quality, consolidated Gate 6 Review Report using the appropriate template.</p>
<b>Stakeholder</b>	<p>Organisations, groups or individuals, either internal or external to government, that are impacted by the project and may be interviewed at the discretion of the Lead Reviewer.</p>

## 2.12 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

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## 2.13 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.

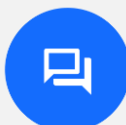

## 2.14 Gateway Review Framework

Gate 1 – Strategic Alignment				
<b>Purpose</b>	Ensures the business needs for the initiative are clearly defined & aligned with strategic Imperatives, Investment Principles & Enterprise Architecture.			
<b>Review Scope</b>	<ul style="list-style-type: none"> <li>• Policy and business context</li> <li>• Business case and stakeholders</li> <li>• Risk management</li> <li>• Readiness for next phase</li> </ul>			
<b>7 Focus Areas Emphasis</b>    	Reviews will assess the focus areas through various lenses including:			
	<b>Risk Management</b>	<b>Change and End Users</b>	<b>Benefits Management</b>	<b>Scope Management</b>
	<ul style="list-style-type: none"> <li>• Early identification of key risks, including risk for potential solutions/options and strategic risk</li> <li>• Outline risk management plans.</li> </ul>	<ul style="list-style-type: none"> <li>• Stakeholder identification and end user input to service needs.</li> </ul>	<ul style="list-style-type: none"> <li>• High level benefits identified and agreed</li> <li>• Benefits strategy, plan and register</li> </ul>	<ul style="list-style-type: none"> <li>• Requirements and scope are clear</li> <li>• Alignment to business needs</li> <li>• Options analysis</li> </ul>






Gate 2 – Business Case				
Purpose	Ensures that the business case is robust & there are outline plans to realise benefits & align with Strategic Imperatives, Investment Principles & Enterprise Architecture.			
Review Scope	<ul style="list-style-type: none"><li>• Assessment of delivery approach</li><li>• Business case and stakeholders</li><li>• Risk management</li><li>• Review of current phase</li><li>• Readiness for next phase</li></ul>			
Health checks / Deep dives				
7 Focus Areas Emphasis	Reviews will assess the focus areas through various lenses including:			
	Risk Management	Change and End Users	Benefits Management	Scope Management
	<ul style="list-style-type: none"><li>• Early identification of key risks, including risk for potential solutions/options and strategic risk</li><li>• Updated risk management plans</li></ul>	<ul style="list-style-type: none"><li>• Assessment of the change impact to all stakeholders</li></ul>	<ul style="list-style-type: none"><li>• Benefits aligned to business case and agreed</li><li>• Governance and plans for realising and delivering benefits</li><li>• Updated Benefits management plan</li></ul>	<ul style="list-style-type: none"><li>• Feasibility and options analysis to meet organisations needs and address government strategy</li></ul>

## Gateway Review Framework continued

Gate 3 – Pre-execution				
Purpose	Assesses the procurement and tendering approach, identifies problems early in the project and ensure plans for the delivery of the project are in place.			
Review Scope	<ul style="list-style-type: none"><li>• Assessment of delivery approach</li><li>• Business case and stakeholders</li><li>• Risk management</li><li>• Review of current phase</li><li>• Readiness for next phase</li></ul>			
Health checks / Deep dives				
<div>7 Focus Areas Emphasis</div> <div></div>	Reviews will assess the focus areas through various lenses including:			
	Risk Management	Change and End Users	Benefits Management	Scope Management
	<ul style="list-style-type: none"><li>• Assessment of key risks</li><li>• Key procurement and supplier risk</li><li>• Stakeholder risks</li><li>• Updated risk management plans</li></ul>	<ul style="list-style-type: none"><li>• External (market) engagement and analysis</li></ul>	<ul style="list-style-type: none"><li>• Benefits aligned to business case and agreed</li><li>• Governance and plans for realising and delivering benefits</li><li>• Deviations to agreed and planned benefits</li></ul>	<ul style="list-style-type: none"><li>• Updated project scope including business change</li><li>• Delivery plan defined and agreed</li></ul>

Gate 4 – Tender evaluation				
Purpose	Evaluates the solution & the preferred option prior to committing funds, ensuring that the project will be delivered effectively and checks requirements against milestones.			
Review Scope	<ul style="list-style-type: none"><li>• Assessment of the proposed solution</li><li>• Business case and stakeholders</li><li>• Risk management</li><li>• Review of current phase</li><li>• Readiness for next phase</li></ul>			
Health checks / Deep dives				
7 Focus Areas Emphasis	Reviews will assess the focus areas through various lenses including:			
	Risk Management	Change and End Users	Benefits Management	Scope Management
	<ul style="list-style-type: none"><li>• Assessment of key risks</li><li>• Key procurement and supplier risk</li><li>• Updated risk management plans</li><li>• Stakeholder &amp; change risks</li></ul>	<ul style="list-style-type: none"><li>• Change preparation and planning</li></ul>	<ul style="list-style-type: none"><li>• Updated benefits strategy, realisation plan and register</li><li>• Deviations to agreed and planned benefits</li><li>• Benefits aligned to business case and agreed</li></ul>	<ul style="list-style-type: none"><li>• Assessment of options to ensure they are still within scope</li></ul>

Gate 5 – Pre-commissioning				
Purpose	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.			
Review Scope	<ul style="list-style-type: none"><li>• Business case and stakeholders</li><li>• Risk management</li><li>• Review of current phase</li><li>• Readiness for next phase</li></ul>			
Health checks / Deep dives				
<div>7 Focus Areas Emphasis</div> <div></div>	Reviews will assess the focus areas through various lenses including:			
	Risk Management	Change and End Users	Benefits Management	Scope Management
	<ul style="list-style-type: none"><li>• Assessment of key risks</li><li>• Key delivery and implementation risks</li><li>• Updated risk management plans</li><li>• Stakeholder &amp; change management risks</li></ul>	<ul style="list-style-type: none"><li>• Change, training and transition support</li></ul>	<ul style="list-style-type: none"><li>• Achievability of planned benefits</li><li>• Updated benefits strategy, realisation plan and register</li><li>• Handover and measurement of benefits</li></ul>	<ul style="list-style-type: none"><li>• Confirmation project scope still meets business needs and acceptance criteria</li></ul>

Gate 6 – Closure Review				
Purpose	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"><li>• Review of Operating Phase</li><li>• Business Case and Benefits</li><li>• Plans to improve Value for Money</li><li>• Review of organisational</li><li>• Review Organisational learning.</li><li>• Readiness for future</li><li>• Risk Management over AI, Cyber, Privacy</li></ul>			
Health checks / Deep dives				
<div>7 Focus Areas Emphasis</div> <div></div> <div></div>	Reviews will assess the focus areas through various lenses including:			
	Risk Management	Change and End Users	Benefits Management	Scope Management
	<ul style="list-style-type: none"><li>• Ongoing plans for risk management</li><li>• Business continuity &amp; operations risks</li><li>• Ongoing cyber &amp; information security risk</li><li>• Updated risk management plans</li><li>• Ongoing change management &amp; stakeholder management risks</li></ul>	<ul style="list-style-type: none"><li>• Continuous improvement</li><li>• End user support</li></ul>	<ul style="list-style-type: none"><li>• Assessment and measurement of the realisation of planned benefits</li><li>• Planned future benefits</li><li>• Measurement of benefits against the business case</li></ul>	<ul style="list-style-type: none"><li>• Scope for improved value for money</li><li>• Future needs and scope</li></ul>

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# 3

## Part B: For accountable agencies

Initiating and preparing for a Gate 6 Review

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## 3.1 Gate 6 – Assessing if benefits sought have been realised

The Gate 6 assesses the project's purpose, benefits, residual risks.

Gate 6 falls within the Closure phase of the project's Operation stage. It considers how the project's benefits have been targeted, measured and realised and provides an opportunity to reflect on risks and opportunities, in addition to capturing and disseminating lessons learnt.

Timing for Gate 6 is at a point after the IT asset has been in operation for a timeframe that allows for the demonstration of key benefits and functionality has been tested. Typically, this may be four to eight months after initial operational commencement, however, the timing of this Review should be discussed with the GCA and articulated in the Benefits Realisation Plan.

The Accountable Agency's SRO may have changed, and the project team may have transitioned. It is therefore important that good quality document management has been put in place and some early preparation and planning for the project's Gate 6 has occurred.

The Gate 6 Review examines how the benefits sought from the delivery solution and approach have been measured, the effectiveness of project handover to operations, any ongoing risks, opportunities and lessons learnt.

The Accountable Agency is required to identify, capture and report on key benefits delivered by the project and should be confident of the controls in place to capture benefits through the implementation of the benefits management plan.

Positive outcomes from this Review will be achieved if the Accountable Agency can demonstrate operational results, good functionality, and service outcomes, including benefits achieved beyond those in the original Final Business Case.

The Gate 6 Review focuses on the transition from the delivery stage into operations. This Review focuses on fulfilling purpose and functionality through identifying if a project is on-track to meet its benefits. It is not assessing if all the promised benefits have been achieved. As such, the Review is held four to eight months following delivery completion.

Open to operation	Measurement of performance	Assessment of benefits	Gate 6 Gateway Review	Ongoing Operation
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## 3.2 Initiating a Gate 6 Review

The Accountable Agency contacts the relevant GCA Review Manager to initiate the Review.

On initiation of the Review, the GCA will appoint a Lead Reviewer and conduct an alignment (project briefing) session. The Accountable Agency uses this time to draft the Gate 6 Report template. The Accountable Agency then provides the draft Report to the Lead Reviewer within three weeks of the alignment session. This is followed by the review of the report by the Lead Reviewer and discussions with the Accountable Agency. The Accountable Agency and GCA Review Manager will discuss and agree:

- Dates for the alignment (project briefing) session
- Any urgency in the completion of the Gateway Review Report
- Any additional issues to be covered.

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## 3.3 Gate 6 Gateway Review and documents

The Accountable Agency is responsible for initiating a Gateway Review at the appropriate time. Accountable Agencies should seek authorisation from the Accountable Agency's governance structure and the Gateway Review should be led by the Accountable Agency's SRO.

It is intended that Accountable Agencies **use existing project documentation, assistance from the delivery team and asset operator** and not create or customise documents for the Review.

### 3.3.1 Mandatory documents

- Main body of the original Final Business Case
- Summary presentation of the project, including scope, deliverables and purpose
- Benefits Realisation Plan (or similar)
- Any agency project evaluation documentation
- Final project reports from the completion of the project

### 3.3.2 Required information

At Gate 6, documents should exist that outline the benefits in the Final Business Case and how they are being measured and monitored. A formal benefits realisation approach that broadly aligns with the NSW Benefits Realisation Management Framework should be documented. The lessons learnt from the project should be captured with planning in place to disseminate the findings.

### 3.3.3 Information documented to support Gate 6 (if required)

- Final Business Case with any updates made post funding approval.
- Close out documentation, including a close out report confirming financial completion.
- Benefits realisation plan and register/matrix in line with the NSW Benefits Realisation Management Framework.
- Evidence of a post completion review, and monitoring of key performance indicators.



- Review of final project cost and schedule (including variations) against approved budget and schedule.
- Evidence of a lessons learnt review identifying areas of best practice and potential improvements for the future and an agency plan for dissemination of the key findings.
- Evidence to show all delivery stage project risks have been closed out or handed over to the asset owner with appropriate mitigation actions.
- Post-operational demand, stakeholder and customer satisfaction, and workforce and organisational impacts.
- Identification of any outstanding obligations on the asset owner / operator, including scope elements and ongoing monitoring of AI, Cyber and Privacy controls that must be effective and monitored in BAU.

For projects that have only entered initial operations and have further stages of delivery to complete, Accountable Agencies should attempt to provide the appropriate level of documentation.

### **3.3.4 Alignment (Project Briefing) session**

The alignment (project briefing) session is set up by the GCA in coordination with the Accountable Agency and Reviewer Team, to gain an overview of the project and provide guidance on how to complete the Report template.

The Accountable Agency organises the venue and the GCA Review Manager issues diary invitations. The alignment (project briefing) session may on site or via MS Teams.

### **3.3.5 Collaboration**

The Accountable Agency prepares the draft Report in collaboration with the IT asset owner, IT asset operator and Delivery Agency (as applicable). The Reviewer Team finalises the content of the Gate 6 Report and determines the overall Review Rating and Recommendations. Consideration may need to be taken on the ownership of the Asset if it is considered a State Digital Asset. IAF will provide this context at the time of planning.

### **3.3.6 Draft and final review report**

The Draft Report, prepared by the Accountable Agency, shall be issued by the Accountable Agency SRO to the Reviewer Team for their review.

The Reviewer Team reviews the report and submits a Final Draft Report to the GCA for review. The GCA reviews the Final Draft Report and seeks responses to the recommendations from the Accountable Agency, along with any clarifications from the Accountable Agency or Lead Reviewer. The Report is then finalised in accordance with the ICT Assurance Framework (IAF).

If deemed required, and at the GCA's discretion, the GCA may convene, a Deep Dive Review Terms of Reference. It will be prepared and evidence supporting the Review will need to be provided by the Accountable Agency.

The Gate 6 Report only becomes final once the GCA has reviewed and approved the Report. The GCA will send a copy of the final Report to the SRO and it will be included in Assurance Cabinet reporting.

Recommendations from the Review are transferred to the GCA's Asset Management Assurance team to be actioned or closed-out as appropriate.

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# 4

## Part C: For the Reviewer

Conducting the Review

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## 4.1 Gate 6 Approach

The Gate 6 Review is conducted **post initial opening to operations** to capture the level of fulfillment of the project's purpose, benefits, residual risks from delivery, functionality, transition to operations and lessons learnt.

The Reviewer Team should use this workbook to guide an assessment of the project against the scope and objectives outlined in the Final Business Case and/or Benefits Realisation Plan and provide practical recommendations. The focus is on project delivery objectives, project handover and lessons learnt. The outcome of the Gate 6 Review provides the NSW Government with an assessment and status of the initial operations of the project and lessons learnt that could enhance future projects.

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## 4.2 Gate 6 Review

The Gate 6 Review is structured in four parts: context, handover, lessons learnt and recommendations. The initial draft of the Gate 6 Report is completed by the Accountable Agency and provided to the Reviewer Team.

The Reviewer Team conducts interviews with the Accountable Agency and stakeholders (as required) to complete the final draft of the Gate 6 Report, writes recommendations and determines the final overall rating for the Report.

The Gateway Review includes:

- Project documentation is released by the Accountable Agency to the Reviewer Team
- An alignment (project briefing) session, hosted by the Accountable Agency, is attended by the Reviewer Team, agency SRO and the GCA Review Manager
- Gate 6 Report drafted by the Accountable Agency in the Gate 6 Report template for the Reviewer Team to assess
- Final Draft Report completed by the Reviewer Team for the GCA Review Manager, including any updates to the content, recommendations and review rating
- GCA manages responses from the Accountable Agency to address the recommendations
- Finalisation of the Gate 6 Report by the GCA and issue of the Report to the SRO
- Close-out of the recommendations by the GCA's ICT Management Assurance team.

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## 4.3 Gateway Review reviewer team

For the Gate 6 Review, the GCA will appoint a Reviewer Team with a mix of skills and expertise. The Reviewer Team is expected to work collaboratively with the Accountable Agency and take responsibility for producing a high-quality, well written Gate 6 Report using the appropriate template.

In the circumstance where the GCA determines that a Deep Dive Review is required following the finalisation of the Gate 6 Review Report, the GCA Review Manager will select the Gateway Review Team (typically two to three members), from the GCA's established Expert Reviewer Panel.

The Lead Reviewer and any member of a Deep Dive Review Panel must be independent of the project. Reviewers must immediately inform the GCA of any potential or current conflict of interest that arises prior to or during the Review. The Reviewer's participation in the Review may preclude them, and their organisation, from participating in the project in any other capacity. For all Tier 1 projects, members must be high profile industry experts and independent of the NSW Government.

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## 4.4 Review principles and behaviours

Throughout the Review, the Reviewer Team is expected to add real value to the project and IT asset by:

- Being helpful and constructive in conducting the Review and developing the Review Report
- Being independent, with the Review Report's recommendations not directed or influenced by external parties
- Adhering to any Terms of Reference provided by the GCA
- Providing a Review Report that clearly highlights substantive issues, their causes and consequences
- Providing specific and actionable recommendations.
- Gateway Reviews are not adversarial or a detailed assessment of management plans and project team deliverables. Poor or disrespectful behaviour will not be tolerated by the GCA.

## 4.5 Part C: Review communication protocols

Topic	Details
<b>Report Confidentiality</b>	<ul style="list-style-type: none"> <li>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.</li> <li>All Review Reports are marked “OFFICIAL: Sensitive - NSW Cabinet” and are submitted to Cabinet.</li> <li>All participants must keep all information, including documentation, confidential at all times.</li> <li>Review Team Members must not directly contact the agency or stakeholders without the permission of the GCA Review Manager.</li> </ul>
<b>Report Distribution</b>	<ul style="list-style-type: none"> <li>The Reviewer Team must not distribute copies of any versions of Review Reports directly to agencies, project teams or any other party.</li> <li>The Reviewer Team sends the final draft of the Review Report to the GCA for review and distribution.</li> <li>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.</li> <li>The Reviewer Team may not keep any copies of any version of the Review Report, or supporting documents, following submission to the GCA.</li> </ul>
<b>Review Debrief</b>	<ul style="list-style-type: none"> <li>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.</li> <li>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.</li> </ul>
<b>Report Format</b>	<ul style="list-style-type: none"> <li>All Review Reports must include a document control table.</li> <li>All Review Reports must include a list of people interviewed by the Lead Reviewer.</li> <li>All versions of reports issued by the Reviewer Team to the GCA are to be in MS WORD format.</li> <li>The final Review Report issued to the Accountable Agency SRO is to be watermarked as ‘FINAL’ and issued in PDF.</li> </ul>
<b>Report Transmittal</b>	<ul style="list-style-type: none"> <li>The GCA is required to keep a record of all parties, noting the Review Report version, and to whom the reports are issued.</li> <li>Reviewers should minimise the use of hard copies of Accountable Agency documents and must not keep documents in any form following the Review.</li> </ul>

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## 4.6 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 6 Report should be succinct and between 10 and 15 pages.

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# 5

## Part D: Gate 6 Purpose and Report Process

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## 5.1 Gate 6 Closure Review Purpose and Process

The purpose of the Gate 6 Closure Review Report is to support the close-out of the delivery stage into operations and to assess the successful delivery of the purpose and benefits of the government's investment in the project.

**The Gate 6 Report is to be finalised four to eight months** from the first operations commencement date. The focus is on the project's purpose, functionality, benefits, residual risks from delivery, transition to operation and lessons learnt.

The Report content is to be initially jointly drafted by the Delivery Agency and asset owner/operator agency. The drafting is led by the most appropriate agency and must be completed within three weeks of the Gate 6 project briefing conducted with Infrastructure NSW and the Lead Reviewer.

DCS ICT Assurance will appoint the Reviewer Team to assess the draft Report and oversee the completion of the Gate 6 Report, including the Report's recommendations and rating. DCS ICT Assurance and the Reviewer Team will participate in an alignment session (project briefing), which the agency will arrange along with any necessary further evidence (documentation), site tour or interviews required by the Reviewer Team.

The Gate 6 Report is in four parts:

1. Project Context – a summary of the delivery outcomes of the project to time, cost, scope and benefits
2. Project Handover – a summary of the status of the handover of the project from delivery into operations
3. Lessons Learnt – the agency's reflection on actions taken that impacted outcomes (good & bad)
4. Recommendations – actions the agency could take to improve any existing issues or for the future.

While Recommendations can be suggested by the agency, it is the Reviewer Team that will determine both the final draft Report content, Review Rating and final Recommendations.

The Report is to be completed in the template provided by DCS ICT Assurance.

The Report is submitted as Final Draft to DCS ICT Assurance by the Reviewer Team. It should be between 10 and 15 pages. On receipt of the Report, DCS ICT Assurance will:

- Review the Report, seek any clarifications required from the Reviewer Team, add or clarify recommendations and issue to the agency for fact checking and responses to recommendations.
- If deemed required, and at DCS ICT Assurance discretion, appoint an independent review panel to conduct a Deep Dive Review into the project.

In the instance where an independent review panel is convened by DCS ICT Assurance, a Deep Dive Review Terms of Reference will be prepared and the agency will need to support the Review.

Recommendations from the Review are transferred to DCS ICT Assurance to be actioned or closed-out as appropriate.

Gate 6 does not substitute, negate or supersede any mandatory requirements, policies or guidelines set out by the relevant agencies, project sponsor or NSW Treasury in assessing project outcomes or benefits.



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# 6

## Glossary

Term	Definition
<b>Accountable Agency</b>	The agency accountable for the project at its current stage (may be more than one). In the instance where it is more than one, the GCA will assign the lead Accountable Agency responsibilities.
<b>Benefit Owner</b>	The agency or role responsible for the realisation of the benefit.
<b>Capital Project</b>	A project primarily comprised of one or more of the following elements: <ul style="list-style-type: none"> <li>• Design Documentation</li> <li>• Application Software</li> <li>• Platform Licences</li> <li>• Operational technology</li> </ul>
<b>CEO</b>	Chief Executive Officer.
<b>Close-Out Plan</b>	Document outlining actions, responsibilities, accountabilities and timeframes that respond to recommendations identified in Gateway, and Health Check and Deep Dive Final Review Reports.
<b>Decision-Making</b>	The Gateway, Health Check and Deep Dive Reviews inform decision-making by government. Government in this context refers to all parts of government including Delivery Agencies.
<b>Deep Dive Reviews</b>	Deep Dives Reviews are similar to a Health Check but focus on a particular technical issue informed by the Terms of Reference rather than the seven Key Focus Areas considered at a Health Check. These Reviews are generally undertaken in response to issues being raised by key stakeholders to the project or at the direction of the relevant Government Minister.
<b>Delivery Agency</b>	The Government agency (also the Accountable Agency) tasked with developing and/or delivering a project at its stages in its lifecycle applicable under the ICT Assurance Framework (IAF) and the NSW Gateway Policy.
<b>ETC</b>	Estimated Total Cost.
<b>Expert Reviewer Panel</b>	Panel comprising independent highly qualified Expert Reviewers established to cover all aspects of Gateway Review needs.
<b>FBC</b>	Final Business Case.
<b>Gate</b>	Particular decision point(s) in a project/program's lifecycle when a Gateway Review may be undertaken.
<b>Gateway Coordination Agency (GCA)</b>	The agency responsible for the design and administration of an approved, risk-based model for the assessment of projects/programs, the coordination of the Gateway Reviews and the reporting of performance of the Gateway Review Process.
<b>Gateway Policy</b>	The NSW Gateway Policy sets out the key points along the project lifecycle important for providing confidence to the NSW Government that projects are being delivered to time, cost and in-line with government objectives.

Term	Definition
<b>Gateway Review</b>	<p>A Review of a project/program by an independent team of experienced practitioners at a specific key decision point (Gate) in the project's lifecycle.</p> <p>A Gateway Review is a short, focused, independent expert appraisal of the project that highlights risks and issues, which if not addressed may threaten successful delivery. It provides a view of the current progress of a project and assurance that it can proceed successfully to the next stage if any critical recommendations are addressed.</p>
<b>Health Check</b>	Independent Reviews carried out by a team of experienced practitioners seeking to identify issues in a project/program which may arise between Gateway Reviews.
<b>Key Focus Area</b>	A specific area of investigation that factors in Gateway Review deliberations.
<b>NSW Assurance Portal</b>	Online portal administered by the GCA for the management of IAF functions.
<b>Program</b>	<p>A temporary, flexible organisation created to coordinate, direct and oversee the implementation of a set of related projects and activities in order to deliver outcomes and benefits related to the organisation's strategic objectives. A program is likely to be longer term and have a life that spans several years. Programs typically deal with outcomes; whereas projects deal with outputs.</p> <p>Projects that form part of a program may be grouped together for a variety of reasons including spatial co-location (e.g. Western Sydney Infrastructure Program), the similar nature of the projects (e.g. Bridges for the Bush) or projects collectively achieving an outcome (e.g. 2018 Rail Timetable). Programs provide an umbrella under which these projects can be coordinated.</p> <p>The component parts of a program are usually individual projects or smaller groups of projects (sub-programs). In some cases, these individual projects or sub-programs may have a different Project Tier to the overall program.</p>
<b>Project</b>	<p>A temporary organisation, usually existing for a much shorter duration than a program, which will deliver one or more outputs in accordance with an agreed business case. Under the IIAF a capital project is defined as infrastructure, equipment, property developments or operational technology that forms a component of a capital project.</p> <p>Projects are typically delivered in a defined time period on a defined site. Projects have a clear start and finish. Projects may be restricted to one geographic site or cover a large geographical area, however, will be linked and not be geographically diverse.</p> <p>A particular project may or may not be part of a program.</p> <p>Where a project is delivered in multiple stages and potentially across varying time periods it is considered a 'complex project'. Refer to the definition for 'complex project'.</p>
<b>Project Team</b>	The Delivery Agency's assigned group with responsibility for managing the project through the Gateway Review.

Term	Definition
<b>Project Tier</b>	Tier-based classification of project profile and risk potential based on the project's estimated total cost and qualitative risk profile criteria (level of government priority, interface complexity, procurement complexity, agency capability and whether it is deemed as an essential service). The Project Tier classification is comprised of four Project Tiers, where Tier 1 encompasses projects deemed as being the highest risk and profile (Tier 1 – High Profile/High Risk projects), and Tier 4 with the lowest risk profile.
<b>Review Team</b>	A team of expert independent practitioners, sourced from the Expert Reviewer Panel engaged by the GCA to undertake a Gateway Review 1 to 5, Health Check or Deep Dive Review.
<b>Review Team Leader (RTL)</b>	<p>For Gates 1 to 6, Health Checks and Deep Dives the RTL is appointed by the GCA Review Manager and leads the independent Review Team for the Review. The RTL acts as Chair for the project briefing and interview days and has primary responsibility for delivering a high quality, consolidated Review Report using the appropriate template.</p> <p>The RTL acts as the point of contact between the Review Team and the GCA Review Manager. If agreed by the GCA Review Manager, the RTL may act as the liaison between the Review Team and the delivery agency's SRO and/or Project Director. The RTL provides the Review debrief to the GCA and the delivery agency's SRO on behalf of the Review Team.</p>
<b>Review Team Member</b>	For Gates 1 to 6, Health Checks and Deep Dives provides the benefit of their independent and specialist expertise and advice in the Review of the project, focusing on issues appropriate to the project's lifecycle stage and the level of development and delivery confidence. Each Review Team member participates in the project briefing and interviews, and contributes to the Review Report and recommendations.
<b>Risk Review Advisory Group (RRAG)</b>	A committee of the Gateway Coordination Agency (GCA) that reviews project registrations made by agencies in the NSW Assurance Portal and recommends a risk tier (being tier 1, 2, 3 or 4) to the GCA. RRAG is a multi-agency committee and its recommendation is based on a risk review conducted across four criteria, along with the Estimated Total Cost of the project.
<b>Senior Responsible Officer (SRO)</b>	The delivery agency executive with strategic responsibility and the single point of overall accountability for a project.

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# 7

## Additional guidelines material for Review Teams

## 7.1 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
	<b>Affordability and value for money</b> 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.
	<b>Risk Management</b> 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.
	<b>Governance</b> 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.
	<b>Stakeholder Management</b> 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.
	<b>Change Management</b> Consideration of how the change will affect stakeholders, expected acceptance or resistance and actions required to move to new ways of working.
	<b>Service Delivery</b> 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.
	<b>Sustainability</b> 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.
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.



## 7.2 Review of Operating Phase

Each numbered item below is an area to be probed.



### 7.2.1 Is the service operating to defined parameters?

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


### 7.2.2 Has the service been benchmarked or market tested?

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


### 7.2.3 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"> <li>• New staff trained and existing staff updated at appropriate intervals;</li> <li>• All material updated – no backlog;</li> <li>• Responsibilities for updating training material and documentation defined; and</li> <li>• Health and safety file updated as required.</li> </ul>	

### 7.2.4 Are governance and contractual relationships satisfactory?



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

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


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




## 7.2.6 Are plans for ongoing risk management up-to-date?

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


## 7.2.7 Is change management effective?

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

## 7.2.8 Is relationship management effective?

	Evidence expected	Status/Ref
	<ul style="list-style-type: none"> <li>• Plans in place for meetings between various parties;</li> <li>• Formal and informal communication and meeting structure established for all parties including stakeholders;</li> </ul>	


## 7.2.9 Is training and support adequate?

	Evidence expected	Status/Ref
	<ul style="list-style-type: none"> <li>• Key post holders have appropriate skills and experience; and</li> <li>• Access to expertise or specialist training available as required.</li> </ul>	



### 7.2.10 Does the project meet whole-of-government ICT policies, standards and priorities?

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


### 7.2.11 For ongoing development, are release and deployment resourced and agreed?

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

### 7.2.12 Is the project progressing towards the target service model?

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




### 7.2.13 Are there checkpoints to determine ongoing deployment?

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


## 7.3 Business Case and Benefits Management

Each numbered item below is an area to be probed.



### 7.3.1 Is the Business Case still valid?

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




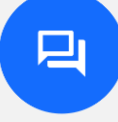
### 7.3.2 Are the benefits as set out in the Business Case being realised? Have the delivery agency achieved more or less than expected?

	Evidence expected	Status/Ref
	<ul style="list-style-type: none"><li>• Findings from Benefits Realisation 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;</li><li>• Contribution to project benefits (as appropriate) and strategic outcomes tracked;</li><li>• Updated benefits capture plans compared with Gates 4 and 5;</li><li>• Assessment of benefits in operating regime using the benefits measurement basis confirmed by Gate 5; and</li><li>• Anticipated future benefits.</li></ul>	




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

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



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

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



### 7.3.5 Are users satisfied with the operational service?

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


### 7.3.6 Are user and business needs reviewed and benefits being tracked?

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

### 7.3.7 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"><li>• Latest Business Case and upkeep arrangements reviewed.</li></ul>	


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

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


## 7.4 Plans to improve value for money

Each numbered item below is an area to be probed.


### 7.4.1 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"><li>• Analysis of value for money against scenarios for future services;</li><li>• Commercial intelligence about the supplier's track record providing similar services; and</li><li>• Details of efficiency gains expected and achieved.</li></ul>	


### 7.4.2 Has the delivery agency compared contracted processes with equivalent organisations and relationships?

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


### 7.4.3 Are commercial mechanisms providing appropriate incentives?

	Evidence expected	Status/Ref
	<p>Evidence may include:</p> <ul style="list-style-type: none"><li>• Payments to the supplier depend on benefits derived from implementing certain elements;</li><li>• Supplier incentivised to deliver and to ensure individual investments are well planned, achievable and will deliver value;</li><li>• Clear business justification with robust benefits identified;</li><li>• Targeted incentive mechanisms where work is task-based; and</li><li>• 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.</li></ul>	

#### 7.4.4 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"><li>• Future planning and budget information.</li></ul>	


#### 7.4.5 Has the condition of the asset been predicted for the end of the contract period?

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


## 7.5 Plans for ongoing improvements in performance and innovation

Each numbered item below is an area to be probed.


### 7.5.1 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"><li>• Understanding and use of key techniques such as balanced scorecard, business excellence model, ongoing stakeholder analysis, benchmarking, or goal/question/metric approach.</li></ul>	

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


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

### 7.5.3 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"><li>• Performance information linked to planned outcomes, enabling assessment of performance in terms of effectiveness, efficiency and service quality;</li><li>• Core performance information meets multiple purposes, is consistent and complementary;</li><li>• Ongoing assessment of appropriateness of performance information;</li><li>• Responsibilities for performance management are defined and understood by delivery agency and supplier;</li><li>• Direct links between planning and results;</li><li>• Ongoing monitoring of performance and periodic evaluation; and</li><li>• Integration with corporate and business planning.</li></ul>	



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

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


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

	Evidence expected	Status/Ref
	<ul style="list-style-type: none"><li>• 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.</li></ul>	

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

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


**7.5.7 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"><li>• Formal SLA approaches and related measures;</li><li>• Investment appraisal and benefits management techniques constructed case-by-case; and</li><li>• Objectives identified during project scoping and in preliminary Business Case should draw on the delivery agency's long-term business strategy.</li></ul>	


## 7.6 Review of organisational learning and maturity targets

Each numbered item below is an area to be probed.


### 7.6.1 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"><li>• Mechanism for capturing and recording the initial data;</li><li>• Internal evaluation of lessons learned;</li><li>• Mechanisms and policy for releasing information within and outside the delivery agency;</li><li>• Process for feeding back to project teams;</li><li>• Participation in knowledge-sharing forums;</li><li>• Appropriate help and expertise available from delivery agency; and</li><li>• Details of the application of learning from the supplier's systems.</li></ul>	


### 7.6.2 Has project management been reviewed?

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

### 7.6.3 Are suppliers encouraged to learn from experience?

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

### 7.6.4 Are lessons learned collected and promoted?


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

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## 7.7 Readiness for the future: Plans for future service provision

Each numbered item below is an area to be probed.

### 7.7.1 Is there an ongoing need for the service?



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

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

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

### 7.7.3 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"><li>• Updated risk register and issue log;</li><li>• Exception reporting from regular client/provider progress meetings; • Reports from contract and service management functions; and</li><li>• Exit strategy and details of handover arrangements.</li></ul>	

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## 7.8 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.

