Digital NSW | DSIA

Gate 6 Review Report: Closure Review

Project Name

MM YYYY

Contents

[1 Gate 6 – Closure Review 1](#_Toc169191311)

[2 Gate 6 Overview – About this review 2](#_Toc169191312)

[2.1 Gate 6 Closure Review Purpose and Process 2](#_Toc169191313)

[3 Executive Summary 4](#_Toc169191314)

[3.1 Review Rating 4](#_Toc169191315)

[3.2 Summary 4](#_Toc169191316)

[3.2.1 Program Delivery 4](#_Toc169191317)

[3.2.2 Ongoing Operations 5](#_Toc169191318)

[3.3 Recommendations 6](#_Toc169191319)

[3.4 Sponsor Comments 7](#_Toc169191320)

[4 Part A – Program Context 8](#_Toc169191321)

[4.1 Program Purpose 8](#_Toc169191322)

[4.2 Program Objectives & Benefits 8](#_Toc169191323)

[4.3 At Risk Objectives / Benefits 10](#_Toc169191324)

[4.4 Program Scope 11](#_Toc169191325)

[4.4.1 Business case scope 11](#_Toc169191326)

[4.4.2 Major scope changes following program commencement 11](#_Toc169191327)

[4.5 Functionality Issues 12](#_Toc169191328)

[4.6 Program Dashboard 13](#_Toc169191329)

[5 Part B – Program Handover 14](#_Toc169191330)

[5.1 Program Handover and Operation 14](#_Toc169191331)

[5.2 Program Risks 15](#_Toc169191332)

[5.3 Assessment of Whole-of-Life 16](#_Toc169191333)

[6 Part C – Lessons Learnt 17](#_Toc169191334)

[6.1 Lessons Learnt 17](#_Toc169191335)

[6.2 Record of top lessons learnt 17](#_Toc169191336)

[7 Part D – Recommendations 19](#_Toc169191337)

[8 Part E – Ongoing BAU Compliance risk 21](#_Toc169191338)

[9 Appendix A – Gateway Review Framework 22](#_Toc169191339)

[10 Appendix B – List of Interviewees 28](#_Toc169191340)

[11 Appendix C – List of Documents 29](#_Toc169191341)

[12 Appendix D – Seven focus areas 31](#_Toc169191342)

[13 Appendix E – Ratings Definitions 32](#_Toc169191343)

[13.1 E1 – Report recommendations ratings 32](#_Toc169191344)

[13.2 E2 – Delivery confidence level definitions 32](#_Toc169191345)

# Gate 6 – Closure Review

|  |  |
| --- | --- |
| **Program**  | [Program name]  |
| **Project name**  | [Project name]  |
| **Delivery agency**  | [Agency name]  |
| **Project Sponsor**  | [name of Project Sponsor]  |
| **Status of report**  | DRAFT Version [x]/ FINAL  |
| **ICT Assurance team**  | [name, Director] [name, Principal Manager][name, Case Officer] |
| **Review dates**  | Briefing [dd month YYYY] Interviews [dd – dd month YYYY] |
| **Review team leader**  | [Insert name of team leader]  |
| **Review team**  | [Insert name of team member] [Insert name of team member][Insert name of team member] |
| **Previous review**  | [Insert review type] [Insert dates][Insert Delivery Confidence Assessment – DCA] |
| **Report date** | Click or tap to enter a date. |

# Gate 6 Overview – About this review

## Gate 6 Closure Review Purpose and Process

The purpose of the Gate 6 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. In addition, the review confirms that all relevant whole-of-government ICT policies, standards and priorities have been considered.

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

The Gate 6 Report is to be finalised 4-8 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. (Approach to ongoing compliance with Cyber, AI and Privacy requirements as these present ongoing risks in BAU)

The Report content is to be initially jointly drafted by the project team and project director and reviewed by the sponsor. The drafting is led by the project director with oversight by the sponsor and must be completed within three weeks of the Gate 6 project briefing conducted with Digital Assurance NSW and the Lead Reviewer.

Digital Assurance NSW will appoint a Lead Reviewer and a review team member, where appropriate, to assess the draft Report and oversee the completion of the Gate 6 Report, including the Report’s recommendations and rating. Digital Assurance NSW and the Review team will participate in an alignment session (project briefing), which the agency will arrange along with any necessary further evidence (documentation) or interviews required by the review team.

The Gate 6 Report is in five 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
5. Status of BAU risk compliance approach over AI, Cyber and Privacy

While Recommendations can be suggested by the agency, it is the Lead Reviewer 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 Digital Assurance NSW.**

The Report is submitted as Final Draft to Digital Assurance NSW by the review team. On receipt of the Report, Digital Assurance NSW will:

* Review the Report, seek any clarifications required from the Lead Reviewer/Team, add or clarify recommendations and issue to the agency for fact checking and responses to recommendations.
* If deemed required, and at Digital Assurance NSW’s 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 Digital Assurance NSW, 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 Digital Assurance NSW IT Asset Management Assurance to be 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.

|  |
| --- |
| Revision history |
| **Revision date** | **Version status** | **Author** | **Version no.** |
|  | Initial draft | Program team | 0.1 |
|  | Response draft | Review team | 0.2 |
|  | Final report  | Review team  | 1.0 |

# Executive Summary

## Review Rating

|  |  |
| --- | --- |
| THE OVERALL LEVEL OF CONFIDENCE THAT THE PROJECT HAS BEEN EFFECTIVELY DEVELOPED AND DELIVERED IN ACCORDANCE WITH THE GOVERNMENT’S OBJECTIVES: | SELECT A RATING  |

## Summary

### Program Delivery

*Review team to fill out*

### Ongoing Operations

*Review team to fill out*

## Recommendations

|  |
| --- |
| Number of recommendations |
| **Critical** | **Essential** | **Recommended** |
|  |  |  |

This review makes four recommendations as follows:

|  |
| --- |
| Critical recommendations |
|  |
| **Essential recommendations** |
|  |
| **Recommended recommendations** |
|  |

Refer to Section 7 for the recommendations action plan.

Refer to Section 13 for ratings definitions.

## Sponsor Comments

*Sponsor to fill out*

# Part A – Program Context

## Program Purpose

|  |
| --- |
| Program Purpose |
|  |

## Program Objectives & Benefits

|  |  |  |  |
| --- | --- | --- | --- |
| Objective | Owner | Type | Achieved |
| [FBC Objective/Benefit 1] |  | Choose type | Choose an item |
| [FBC Objective/Benefit 2] |  | Choose type | Choose an item |
| [FBC Objective/Benefit 3] |  | Choose type | Choose an item |
| [FBC Objective/Benefit 4] |  | Choose type | Choose an item |
| [FBC Objective/Benefit 5] |  | Choose type | Choose an item |
| [FBC Objective/Benefit 6] |  | Choose type | Choose an item |

*Project team to add commentary*

*Review team to add commentary*

## At Risk Objectives / Benefits

For objectives/benefits which are at risk or not on track to be achieved, briefly explain (in 1-2 sentences each) what mitigation measures are being taken to address the risks and achieve the benefit.

|  |
| --- |
| At Risk Objectives / Benefits |
|  |

|  |
| --- |
| Context as to why project objectives or benefits listed above will not be or only partially met |
|  |

## Program Scope

### Business case scope

|  |
| --- |
| Program Scope |
|  |

### Major scope changes following program commencement

|  |  |
| --- | --- |
| Any major changes? | Yes |
|  |

## Functionality Issues

|  |  |  |
| --- | --- | --- |
| Functionality Issue | Owner | Reason |
| [Issue 1] |  | Choose a reason |
| [Issue 2] |  | Choose a reason |
| [Issue 3] |  | Choose a reason |
| [Issue 4] |  | Choose a reason |

## Program Dashboard

|  |  |  |
| --- | --- | --- |
| Milestone | Planned(Approved at Investment Decision) | Actual(End-Project) |
| **Project Commencement Date** | Click or tap to enter date | Click or tap to enter date |
| **Project Completion Date** | Click or tap to enter date | Click or tap to enter date |
| **Operations Commencement Date** | Click or tap to enter date | Click or tap to enter date |
| **Total Cost** | $  | $ |

# Part B – Program Handover

## Program Handover and Operation

|  |  |
| --- | --- |
| Item | Assessment |
| Is the full project scope operational? | Choose an item |
| Has the project completed transition to BAU?1. Has a cutover plan been successfully completed?
2. Does the business have clear ownership and accountability now for the system?
3. Have the outstanding issues registers, and risk registers been transferred to BAU operations and management?
4. Have all core change management activities achieved?
5. Have all staff trained, and process documentation completed?
 | Choose an item |
| Has the system been formally accepted into the production environment and signed over to BAU? | Choose an item |
| If the system is a SAAS operation are the SLAs in place and the vendor included in BAU performance monitoring? | Choose an item |
| If there are any decommissioned systems as a result of the project, has the relevant system owner/operator accepted ongoing responsibility? (e.g. Archive records management act etc.) | Choose an item |

Transition to BAU has been successfully completed, based on a thorough ITIL-based operational readiness transition plan.

|  |
| --- |
|  Any additional work required for the system owner/operator to optimally manage the system |
|  |
|  |
|  |
|  |

## Program Risks

|  |  |
| --- | --- |
| Item | Assessment |
| Have the retained risks from the delivery stage been recorded in the operational stage risk register? | Choose an item |
| Is there clear accountability assigned for the resolution of each risk? | Choose an item |

|  |
| --- |
| Comments on outstanding risks (if any) |
| [Enter here] |

## Assessment of Whole-of-Life

|  |  |
| --- | --- |
| Item | Assessment |
| Was the maintainability of the IT System properly contemplated in the design and delivery? | Choose an item |
| Have the incremental lifecycle costs of the project been included in the agency's IT Asset Management Plan or equivalent document? | Choose an item |

|  |
| --- |
| Comments on IT asset life-cycle costs  |
|  |

# Part C – Lessons Learnt

## Lessons Learnt

|  |  |
| --- | --- |
| Item | Assessment |
| Have lessons learnt from project delivery been documented and disseminated? | Choose an item |
| Was the planning pathway during project development, procurement and delivery clear, efficient and optimised? | Choose an item |

## Record of top lessons learnt

|  |  |
| --- | --- |
| **Brief description of lessons learnt in the Development and Procurement Stage (up to 5)** | **Category** |
| [Comment on Planning Pathway] | Handover to delivery |
| [Other development and procurement stage lessons learnt] | Choose an item |
|  | Choose an item |
|  | Choose an item |
|  | Choose an item |
| **Brief description of lessons learnt in the Delivery Stage (up to 5)** | **Category** |
|  | Choose an item |
|  | Choose an item |
|  | Choose an item |
|  | Choose an item |
|  | Choose an item |
| **Brief description of lessons learnt in Initial Operations Stage (up to 5)** | **Category** |
|  | Choose an item |
|  | Choose an item |
|  | Choose an item |
|  | Choose an item |
|  | Choose an item |

# Part D – Recommendations

The following recommendations are made relating to the Gate 6 of the project.

|  |
| --- |
| **Recommendation** |
|  |
| **Rating** | Choose a rating |
| **Accountability** | Choose an item |
| **Target date** | Click or tap to enter date |
| **Agency response** |  |
| **Recommendation** |
|  |
| **Rating** | Choose a rating |
| **Accountability** | Choose an item |
| **Target date** | Click or tap to enter date |
| **Agency response** |  |
| **Recommendation** |
|  |
| **Rating** | Choose a rating |
| **Accountability** | Choose an item |
| **Target date** | Click or tap to enter date |
| **Agency response** |  |
| **Recommendation** |
|  |
| **Rating** | Choose a rating |
| **Accountability** | Choose an item |
| **Target date** | Click or tap to enter date |
| **Agency response** |  |
| **Recommendation** |
|  |
| **Rating** | Choose a rating |
| **Accountability** | Choose an item |
| **Target date** | Click or tap to enter date |
| **Agency response** |  |
| **Recommendation** |
|  |
| **Rating** | Choose a rating |
| **Accountability** | Choose an item |
| **Target date** | Click or tap to enter date |
| **Agency response** |  |
| **Recommendation** |
|  |
| **Rating** | Choose a rating |
| **Accountability** | Choose an item |
| **Target date** | Click or tap to enter date |
| **Agency response** |  |

# Part E – Ongoing BAU Compliance risk

The following areas of ongoing material risk are to have an ongoing risk and mitigation strategy in place to safeguard the use of the system into the future.

**Compliance Risk Area**

|  |
| --- |
| **Cyber – Risk Review** |
| **Rating** | N/A |
| **Accountability** | N/A |
| **Target date** | N/A |
| **Agency response** |  |
| **Artificial Intelligence Monitoring** |
| **Rating** | N/A |
| **Accountability** | N/A |
| **Target date** | N/A |
| **Agency response** |  |
| **Privacy Compliance review** |
| **Rating** | N/A |
| **Accountability** | N/A |
| **Target date** | N/A |
| **Agency response** |  |

# Appendix A – Gateway Review Framework

|  |
| --- |
| Gate 1 – Strategic Alignment |
| **Purpose** | Ensures the business needs for the initiative are clearly defined & aligned with strategic Imperatives, Investment Principles & Enterprise Architecture. |
| **Review Scope** | * Policy and business context
* Business case and stakeholders
* Risk management
* Readiness for next phase
 |
| **7 Focus Areas Emphasis** | Reviews will assess the focus areas through various lenses including: |
| **Risk Management** | **Change and End Users** | **Benefits Management** | **Scope Management** |
| * Early identification of key risks, including risk for potential solutions/options and strategic risk
* Outline risk management plans.
 | * Stakeholder identification and end user input to service needs.
 | * High level benefits identified and agreed
* Benefits strategy, plan and register
 | * Requirements and scope are clear
* Alignment to business needs
* Options analysis
 |

**Gateway Review Framework** continued

|  |
| --- |
| 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** | * Assessment of delivery approach
* Business case and stakeholders
* Risk management
* Review of current phase
* Readiness for next phase
 |
| **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** |
| * Early identification of key risks, including risk for potential solutions/options and strategic risk
* Updated risk management plans
 | * Assessment of the change impact to all stakeholders
 | * Benefits aligned to business case and agreed
* Governance and plans for realising and delivering benefits
* Updated Benefits management plan
 | * Feasibility and options analysis to meet organisations needs and address government strategy
 |

**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** | * Assessment of delivery approach
* Business case and stakeholders
* Risk management
* Review of current phase
* Readiness for next phase
 |
| **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** |
| * Assessment of key risks
* Key procurement and supplier risk
* Stakeholder risks
* Updated risk management plans
 | * External (market) engagement and analysis
 | * Benefits aligned to business case and agreed
* Governance and plans for realising and delivering benefits
* Deviations to agreed and planned benefits
 | * Updated project scope including business change
* Delivery plan defined and agreed
 |

**Gateway Review Framework** continued

|  |
| --- |
| 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** | * Assessment of the proposed solution
* Business case and stakeholders
* Risk management
* Review of current phase
* Readiness for next phase
 |
| **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** |
| * Assessment of key risks
* Key procurement and supplier risk
* Updated risk management plans
* Stakeholder & change risks
 | * Change preparation and planning
 | * Updated benefits strategy, realisation plan and register
* Deviations to agreed and planned benefits
* Benefits aligned to business case and agreed
 | * Assessment of options to ensure they are still within scope
 |

**Gateway Review Framework** continued

|  |
| --- |
| 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** | * Business case and stakeholders
* Risk management
* Review of current phase
* Readiness for next phase
 |
| **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** |
| * Assessment of key risks
* Key delivery and implementation risks
* Updated risk management plans
* Stakeholder & change management risks
 | * Change, training and transition support
 | * Achievability of planned benefits
* Updated benefits strategy, realisation plan and register
* Handover and measurement of benefits
 | * Confirmation project scope still meets business needs and acceptance criteria
 |

**Gateway Review Framework** continued

|  |
| --- |
| Gate 6 – Benefits Realisation 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** | * Review of operating phase
* Business case and benefits
* Plans to improve value for money
* Review of organisational learning
* Readiness for the future
* Risk management, Al, cyber, privacy
 |
| **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** |
| * Ongoing plans for risk management
* Business continuity & operations risks
* Ongoing cyber & information security risk
* Updated risk management plans
* Ongoing change management & stakeholder management risks
 | * Continuous improvement
* End user support
 | * Assessment and measurement of the realisation of planned benefits
* Planned future benefits
* Measurement of benefits against the business case
 | * Scope for improved value for money
* Future needs and scope
 |

# Appendix B – List of Interviewees

The following individuals were interviewed by the Lead Reviewer for the purposes of the Gate 6 Review.

|  |  |
| --- | --- |
| **Name** | **Organisation and role** |
|  |  |
|  |  |
|  |  |
|  |  |
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|  |  |

# Appendix C – List of Documents

The following list of documents were reviewed by the Lead Reviewer for the purposes of the Gate 6 Review.

| **Document name** |
| --- |
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# Appendix D – Seven focus areas

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

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

# Appendix E – Ratings Definitions

## E1 – Report recommendations ratings

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

## E2 – Delivery confidence level definitions

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

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

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